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January 20, 2009

**MEMORANDUM TO:** Faculty and Professional Staff  
**FROM:** Richard F. Antonak  
Vice Provost for Research  
**SUBJECT:** Request for Proposals: University of Massachusetts President's  
2009 Science and Technology Initiatives Fund

The University of Massachusetts (UMass) President's Office is pleased to announce the 2009 Science and Technology (S&T) Initiatives Fund. Total funding available will be contingent on the university's budget situation

The fund represents President Jack M. Wilson's continued commitment to advancing UMass's interests as the Commonwealth's public research university and to ensuring that the University of Massachusetts contributes significantly to social and economic development in Massachusetts. It also directly responds to the UMass Board of Trustees' strategic priority on strengthening the university's research enterprise and growing its portfolio substantially. Investments to date have totaled \$5.3 million, and have generated additional of more than \$100 million for projects such as the Center for Hierarchical Manufacturing, the Massachusetts BioManufacturing Center, the Massachusetts Medical Device Development Center, and the GoKids Boston Youth Health Promotion Center.

### **Proposal submission**

The UMass Boston Office of the Vice Provost for Research (OVPR) is responsible for reviewing all letters of intent, concept papers, and full proposals, and then forwarding these materials, as appropriate, to the UMass President's Office. All concept papers and full proposals will be reviewed by the vice president for economic development and the senior vice president for academic and student affairs and international relations, and their staffs, in consultation with the OVPR.

### **Application and review process**

The timeline is as follows:

- Wednesday, February 4: Letters of Intent due to the OVPR
- Wednesday, February 11 : Faculty and Professional Staff invited by the OVPR to submit concept papers
- Wednesday, February 18: Concept Papers due to the OVPR
- Wednesday, February 25: OVPR forwards Concept Papers to the President's Office

- Friday, March 20: President's Office, via the OVPR, provides feedback to all investigators and invites some to submit proposals.
- Wednesday, April 8, Proposals due to the OVPR
- Wednesday, April 15: OVPR forwards Proposals to President's Office
- Friday, June 5: President's Office announces awards

### **Purposes and allowable uses of funds**

The Fund is a tool to catalyze research collaborations among UMass campuses and with other partners to create impact at many levels. It will provide resources to outstanding researchers working in areas of demonstrated campus commitment and priority. It will also enable growth of networks for the purpose of enhancing the university's contribution to the Commonwealth's economy.

The intent of the program is 1) to provide seed funding to help position researchers for larger and longer-term investment (i.e., support from federal, state and private sponsors) and 2) to help create partnerships with Massachusetts industry that leverage our effort and expertise to make companies and clusters more competitive and robust.

It is expected that the Fund's portfolio of projects will attract over time significant new investment to the university. This includes not only sponsored research awards, but also funds for infrastructure development, revenues from industry-related services, and philanthropy.

Funds may be used to support faculty release time, sabbaticals, travel, hiring of project staff or consultants, and other such expenses associated with developing major new S&T initiatives. These funds are not intended to be used as direct cash match for grant programs (although they may contribute to cost-sharing). They are also not intended to support technology development (e.g., prototyping, proof-of-concept activities). The Office of Commercial Ventures and Intellectual Property manages a "gap" fund which provides this type of assistance.

Proposals in fields important to the Commonwealth's economy—such as energy, life sciences and healthcare, and information technology and communications—are encouraged. With the establishment of the Life Sciences Moment Fund in 2008 (which is targeted specifically for projects that strengthen clinical and translational research), proposals focused on other areas of the life sciences are of particular interest.

It is anticipated that awards will be in the range of \$50,000 - \$250,000, but the President's Office reserves the right to be flexible in this regard. The project period is typically twelve months, starting at the beginning of the university's fiscal year (July 1). Funds are disbursed in two equal shares at the beginning (July 1) and end (June 30) of the project period. An interim project report is requested in mid-December and a final report in mid-June.

### **Criteria for awards**

The criteria for awarding funds from the S&T fund include:

- Intellectual Merit: Only high-quality science and technology projects will be considered for funding;

- Growth Opportunity: Potential for leveraging substantial outside funding from federal, state, industry and other sources is expected;
- Institutional Partnerships: Collaboration with other Massachusetts academic and research institutions is highly valued, especially partnerships among UMass campuses;
- Economic Impact: Projects should demonstrate their ability to support economic growth in Massachusetts, through partnerships with individual companies or regional/statewide industry associations, or through other mechanisms;
- Project Leadership: The presence of strong project leadership by both faculty and administrative staff (as appropriate, including the use of external consultants) is considered crucial for success; and
- Campus Commitment: The endorsement of the chancellor(s) and evidence of campus commitment to the proposed initiative (such as financial support) is essential.

### **Guidance for Concept Papers**

Concept papers should:

- Be no more than two (2) pages in length;
- Outline the thrust of the project and how it will achieve the goals of the fund;
- Identify project leadership and team members;
- Provide a cost estimate for the project;
- Describe the external funding opportunities to be pursued and the expected nature of collaborations (on a preliminary basis if necessary);
- Demonstrate the endorsement of your chairperson and dean; and
- Demonstrate the endorsement of the chancellor. Submission via the UMass Boston OVPR will be presumed to indicate approval of the chancellor. For multi-campus proposals, evidence of approval of each campus research office is needed.

Concept papers will be reviewed by the vice president for economic development and the senior vice president for academic and student affairs and international relations, and their staffs, in consultation with campus research offices. Applicants who submit the strongest concept papers will be asked to submit full proposals. In some cases, where opportunities for synergy exist, proposers from two or more campuses may be advised to combine their ideas into a single proposal.

### **Guidance for full proposals**

Full proposals should:

- Be no more than five (5) pages in length;
- Elaborate on the intellectual focus presented in the concept paper and provide a more thorough project description, including anticipated performance milestones and success measures;
- Specifically address how the project will meet the selection criteria for the fund;
- Identify and address key administrative and managerial challenges to the project;

- Provide a budget for the proposed use of funds;
- Demonstrate the endorsement of your chairperson and dean; and
- Demonstrate the endorsement of the chancellor. Submission via the UMass Boston OVPR will be presumed to indicate approval of the chancellor. For multi-campus proposals, evidence of approval of each campus research office is needed.

Proposals will again be reviewed by the two vice presidents and their staffs, with input from the campus research offices. The President's office staff will also actively consult with relevant government (e.g., the Massachusetts Technology Collaborative and the Massachusetts Life Sciences Center) and industry (e.g., the various technology councils) stakeholders. Proposers will likely be invited to meet in person with staff as part of the review process. The monthly President's Council meetings will be used to provide updates to and solicit input from the chancellors. Staff will make funding recommendations to the president, who has final decision-making authority.

### **UMass Boston contact**

For additional information or assistance with any of the above, please contact Susan Daudelin, director of industry relations, Venture Development Center, at 617.287.5710 or [susan.daudelin@umb.edu](mailto:susan.daudelin@umb.edu). For questions on financial assistance, please contact Paul M. Mullane, OVPR, at 617.287.7879 or [paul.mullane@umb.edu](mailto:paul.mullane@umb.edu).

cc: J. Keith Motley, Chancellor  
Winston Langley, Interim Provost and Vice Chancellor for Academic Affairs