



2017 Stanford Woods Institute Realizing Environmental Innovation Program (REIP) Priorities, Guidelines and LOI Instructions

The Stanford Woods Institute for the Environment (Stanford Woods) is committed to supporting interdisciplinary research that addresses important environmental problems and leads to implemented solutions. Specifically, the Stanford Woods Institute seeks to advance innovative solutions that private market, public policy and individual stakeholders can adopt and are of significant consequence in solving pressing environmental challenges facing people and the planet. These innovative solutions can include, but are not limited to, novel technologies, practices, approaches to behavior change, public policies or some combination.

The Realizing Environmental Innovation Program (REIP) is intended to provide next stage funding to PIs to move existing interdisciplinary environmental research projects toward adoptable solutions and implementation by external stakeholders and partners. To be considered, projects should demonstrate both significant progress in identifying solutions and strong potential for viability among important solution stakeholders.

PIs with the most competitive LOIs that strongly fit the priorities and guidelines of the program will be invited for an interview. The purpose of the interview is to answer questions about the LOI and to explore establishing an advising team and external partnerships. The research projects deemed most promising in terms of achieving environmental solutions that are also most relevant to Woods focal areas will be invited to submit a full proposal.

NOTE: The Stanford Woods Institute partners with the Stanford Graduate School of Business, where relevant, to help faculty identify advising resources for their REIP projects. Project teams taking advantage of this offer have gained assistance in thinking through potential organizational models for disseminating their discoveries and innovations and have developed strategies for overcoming barriers to reaching end users. Please contact Brian Sharbono, Stanford Woods Programs Manager, at sharbono@stanford.edu, if you are interested in exploring opportunities to gain advising for your project as you develop your Letter of Intent.

PROGRAM PRIORITIES

The REI Program seeks later stage projects that, similar to the Woods Institute's long-standing Environmental Venture Projects (EVP) program:

- Are high-risk, transformative and have the potential to produce solutions to major global environmental challenges;
- Build on and extend interdisciplinary collaborations among faculty; and
- Address challenges within one or more of the Woods' seven focal areas, which include: oceans, ecosystem services and conservation, public health, freshwater, climate, food security, and sustainable development.

PROGRAM GUIDELINES

Proposed projects should:

- Represent one or more of the above program priorities;
- Contribute towards a solution to a major global environmental challenge;
- Incorporate a clear strategy and pathway for moving existing research toward an implementable solution and demonstrate how additional funding will help move the project along that pathway;
- Involve PIs at Stanford from at least two separate disciplines (For assistance identifying possible co-investigators, please visit the Stanford Woods Institute's faculty and researchers [directory](#));
- Document how the collaborative effort will be stronger than the sum of disciplinary parts;
- Demonstrate that significant research progress has already been accomplished and results are promising;
- Demonstrate interest on the part of external stakeholders in the solution concepts of the project;
- Explain why the project is at a stage where outside funding is not yet available, yet make a strong case that continued advancement holds real promise for outside financial support;
- While former Stanford Woods EVP grant winners are eligible, faculty teams need not have received an EVP grant to be eligible. An REIP Lead PI may not be Lead PI on an active EVP grant at the time the REIP project period commences.
- The research committee will consider projects with budgets up \$200,000 maximum over two year (approximately \$100,000 per year).

LOI SUBMISSION INSTRUCTIONS

Review Process

Letters of Intent (LOI) are due Monday, January 9, 2017, 5:00 pm PST. Letters will be reviewed and those teams whose LOIs are most competitive will be invited to interview on a single day likely during the last two weeks of February. The research projects deemed most promising in terms of achieving environmental solutions that are also most relevant to Woods focal areas will be invited to submit a full proposal in early March 2017. Full proposals will be due in early May 2017. Awards will be announced in June.

If you have any questions about your project or research idea, or would like additional information, please contact Stanford Woods Director Chris Field at cfield@stanford.edu, or you may contact Stanford Woods Programs Manager Brian Sharbono at sharbono@stanford.edu. If you have technical questions or issues in submitting your LOI through the online application system, please contact Woods IT Manager Keith Iverson at kailou@stanford.edu for assistance.

ON-LINE APPLICATION INSTRUCTIONS

Overview:

- If you are using Internet Explorer as your web browser, make sure compatibility mode is turned off. To do this, open your browser, click 'Tools' and unclick 'Compatibility View'.
- Only Lead and Co-PIs will be able to access the on-line application. The Lead or Co-PIs can grant access to a research administrator who ordinarily handles budget information. The application should not be delegated to graduate students or postdoctoral scholars.
- Use the menu links (Project Description, Team Members, Finance Administrator, Budget, Validate Application and Submit Application) to navigate from page to page without committing any changes.
- **To save and update pages you must click on the 'Save Page' button at the bottom of each page of the on-line form.**
- Only the Lead PI can submit the application. Please ensure that the Lead PI's email address is entered correctly on the Team Members page of the application. All submission confirmations and REIP correspondence will be sent to this address.
- The application will not be considered complete or considered for review until all required fields have been completed and the 'Submit Application' button on the Submit Application page has been clicked.
- Once the application has been submitted, the Lead PI will receive a confirmation e-mail.
- The application can be resubmitted as many times as necessary until the deadline. The system only saves the most recent submission.

Section I: Project Description

Step 1: Enter project title in the box provided.

Step 2: Use on-line application system to upload a PDF. A pop-up message will indicate if your upload was successful or unsuccessful.

Rules to write by:

- Be concise and compelling. The REIP letter of intent PDF, Part 1-4, as outlined below, should not exceed 1400 words.
- Assume that reviewers have little or no familiarity with your topic. Avoid jargon and explain your ideas in language accessible to a diverse audience.
- **Please be sure to address all four parts fully. Only proposals that include all four parts will be considered for review.**

Part 1 - Project Description: The proposal should describe in clear terms (minimal use of jargon) the problem to be addressed and its importance, your research progress to date and how this informs the project objectives of this proposal, desired results, research methods and a clear and compelling statement of how team members will operate as an integrated unit. Please describe your research in the larger framework of a major environmental challenge.

Part 2 – Interdisciplinary Team: Describe the composition of your team, explaining how the PIs are from different disciplines, if not different departments; the contributions of each; and how the team will work as an integrated unit.

Part 3 – Knowledge to Action Plan: Please describe the pathway(s) through which your research findings are likely to lead to solutions, e.g., through private markets (products and innovations), government policies (rules, regulations and laws) or individual behavior changes.

Which external stakeholders and partners have expressed interest in your research and which, if any, have incorporated your early findings into their actions? Please describe any continued or anticipated engagement of external stakeholders and partners during or after your project that may facilitate the transmission of your research discoveries into action to solve the major environmental challenge motivating this project.

External stakeholders and partners may be decision makers in executive and legislative capacities in government charged with public policy and public management related to the motivating environmental issue and/or your approach. They may be existing companies, venture capital interests, or even the Office of Technology and Licensing that you engage to explore potential IP and commercial possibilities. They may be relevant NGO, community groups or other organizations with capacity to adopt or implement your findings at some scale.

Part 4 –Funding: First, please list the sources of support and amounts for your research in this area to date. Explain why additional support is needed. Next, briefly articulate a vision for how you believe this project will attract outside funding and how your research agenda may evolve with outside funding to further contribute to the environmental solution. List specific sources of funding which you believe progress under this grant will enable you to be competitive in pursuing. Finally, explain how the additional funding will help move the project along the pathway to an implemented solution.

Section II: Team Members

PI Eligibility

In this section, please list all team members involved in the project (e.g. faculty, postdoctoral scholars, graduate students, undergraduate students, academic staff, outside collaborators and other). All team members are expected to actively participate in the project.

- **Each PI (Lead and Co-) must be a member of the Academic Council or Medical Center Line. Please verify that both PI and co-PI are PI eligible.**
- Lead PIs will serve as the primary contact for all LOI and proposal submissions and financial matters. Please ensure that the Lead PI email address is entered correctly in this section. Submission confirmation and other REIP correspondence will be sent to that address.
- A researcher who is the Lead PI for a currently funded Woods EVP grant is eligible to participate in new REIP grants as a Co-PI but not as the Lead PI. Also, Faculty cannot be designated as Lead PI on more than one submitted project.
- Postdoctoral scholars and senior academic staff may be associate investigators.
- Outside collaborators such as non-Stanford faculty, graduate students or undergraduate students may participate on a project team but will not be considered formal investigators. For these individuals please leave second 'Designation and Role of this Team Member' drop down menu blank.
- Reports for active projects funded by Stanford Woods Institute grants (EVP, REIP, e.g.) must be current. A new LOI will not be eligible if it includes a Lead PI or Co-PI from a current Woods funded project team with an outstanding report.

Step 1: Provide the following information for each team member using on-line application system.

- SUnetID
- First Name
- Last Name
- Designation and Role (two drop down menus provided)
- AC or MCL
- Title
- School
- Department
- E-mail
- Statement of individual involvement/contribution to project

Saving Instructions

1. Any changes to the team members are not saved until you click the 'Save Page' button below.
2. We recommend clicking the 'Save Page' button after each team member addition or modification.
3. To add additional team members, click the 'Add Another Member' button.
4. To remove a team member, check the 'Remove Member' checkbox for that team member. Only the Lead and CO-PIs can remove a team member.

Section III: Finance Administrator

The Lead PI may designate a qualified research administrator to access the application to handle budget information, however, **listing a Finance Administrator is optional at the LOI stage**. If a Finance Administrator is designated, s/he will have complete access but will not be able to submit the application. The application and budget should not be delegated to graduate students or postdoctoral scholars. This Finance Administrator is not considered a member of the research team.

Step 1: **OPTIONAL** - Provide the following information for the Lead PI's department research administrator using the on-line application system.

- SUnetID
- Does this individual ordinarily handle budget and reporting information? (Check box)
- First Name
- Last Name
- School
- Department
- Title
- E-mail
- Comments

Section IV: Budget (see also *Budget Guide at the end of these instructions*)

Funding guidelines and instructions

- The research committee will consider projects with budgets up to \$200,000 maximum over two years (or, up to approximately \$100,000 per year).
- Support may be requested for personnel (undergraduate, graduate, or postdoctoral scholars, research assistants or associates), supplies, equipment and travel. (Please consider small equipment under \$5000 as being expendable supplies.)
- Faculty salary is allowed to be up to 20% of the total project budget, but is not required.
- It is important to show that the funding will be distributed across the collaborative team. Roles are required to be clearly and substantively defined in the budget justification section.
- Conferences or workshops will not be funded.
- There may be occasions when hiring professional services may be necessary to support the grant when these services cannot be deployed through Stanford resources, including facilities and personnel (translation, sample collection, laboratory analysis, for example). Such professional services may be funded if there is a strong case for their involvement.

- For any proposed subawards, a complete scope of work must be included in the proposal, as well as an A-133 form, a budget and a justification. Any project subawards must be pre-approved by the Director of the Stanford Woods Institute.
- Fringe benefits are calculated automatically and are based on current rates listed on the [DoResearch website](#).
- REIP grants do not incur indirect charges (IDC) or infrastructure charges (ISC). ISC is charged to the Stanford Woods Institute at the time of funding.
- Enter all budget numbers in US dollars rounding up to the nearest whole dollar values. Please do not use the '\$' symbol or commas in your entries; number values only.
- Enter budget numbers in the appropriate fields on the form then use the budget justification narrative field at the bottom of the form to provide further detail and explanation for how each line item benefits the project. Please do not enter your actual budget in the bottom budget justification narrative field.

Step 1: Provide the following information using the on-line application tool:

- Faculty and research staff salary
- Postdoctoral and student salary
- Fringe benefits
- Travel
- Travel destination
- Professional services
- Materials and supplies, lab supplies, computer and software licenses, small equipment (Please consider equipment under \$5000 as expendable supplies and explain in the justification.)
- Equipment (over \$5000)
- Publication fees/costs
- Subward(s)
- Budget justification for each budget line item
- Clear and substantive definition of team roles in the budget justification section

Section V: Validate Application

Step 1: Use the on-line application system to verify that all required fields have been completed.

Section VI: Submit Application

Step 1: Use the on-line application system to submit application. Once the letter of intent has been submitted, the Lead-PI will receive a confirmation e-mail.

Budget Guide

Important points to keep in mind when preparing your proposal and budget:

- Please consider how you might have undergraduate and graduate students become involved in the research effort, i.e. data collection, analysis. They are an invaluable resource in supporting our education and research mission.
- Inflation factor: 3% per year for all but tuition, which is 4% per year
- This is a university research program. The indirect cost (ISC) rate will be funded by the sponsor, Stanford Woods Institute for the Environment. **Do not include ISC in your budget.**
- Please refer to the web page below for more information on Subawards to discern between a Subaward and professional services:
<https://doresearch.stanford.edu/policies/research-policy-handbook/subawards/definitions-and-classifications>
- **Program Restrictions: Faculty salary up to 20% of total budget is permitted; Faculty salary is not required. Salary support is not permitted for outside collaborators.**

Project Start Date: xx/xx/xxxx

Project End Date: xx/xx/xxxx

Personnel Salary and Wages	Year 1	Year 2	Total
Faculty and Research Staff Salary	7,000	7,000	14,000
Postdoc Salary	35,000	36,050	71,050
Graduate Student RA-Ship			
Graduate Student Tuition			
Undergraduate & Contingent Salary	10,182	10,419	20,601
Non-Salary Expenses			
Travel	700	1,000	1,700
Professional Services	5,000	5,000	10,000
Materials, supplies & small equipment (under \$5,000)	7,000	7,000	14,000
Equipment (over \$5000)	0	0	0
Publications	200	300	500
Subaward(s)	0	0	0
Total Budget Requested	65,082	66,769	131,851

Budget Justifications Examples

Faculty & Full Time Regular Staff

The faculty and academic staff salary being budgeted will be distributed among the two Professors (Professor 1, X% effort; Professor 2, X% effort). The Lead Principal Investigator will be responsible for all aspects of the project and ensure goals are met in a timely manner and that project activities and expenditures are in compliance with Stanford and Stanford Woods policies. S/he will be responsible for developing the algorithms and platform of the proposed topic. S/he will also ensure collaboration among all team members and deliver results on time. The Lead PI's admin will coordinate reporting for the team.

Postdoctoral Scholars Salaries

Postdoctoral Scholar in (department) 60% time for Year One and 60% for Year Two, to collaborate with PI's to manage project, develop instruments, hire and oversee research team and assistants and manage logistics of website development, data collection, and data analysis.

Travel

The team will travel twice to _____ to conduct field studies The first trip will accomplish ... The second trip is for ...

Professional Services

In-country translation services are required for ...

Materials and Supplies

The team will purchase lab supplies for field samples. Supplies for survey deployment include: photocopies of pre-visit surveys in each site; clipboards, pens, and other materials for administering in-person survey pre-visit in each site.

Computer Supplies/Software

The team will purchase X software licenses to collect data in the field.

Publications

\$500 is requested for publication fees.

Subawards

This project does not require a subaward.