

Proposal Development & Submission

Parallel Session for Researchers



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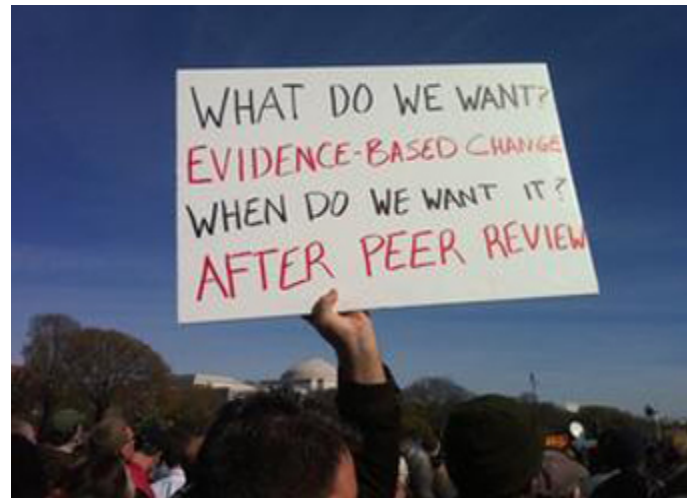


“My project is simply this. I want to find out once and for all whether there’s any truth in the belief that money can’t buy happiness.”

DEVELOPING TECHNICAL CONCENTRATION

What is grantsmanship?

The art of writing a proposal (or request) for support which successfully advocates for a particular line of inquiry, research or investigation while aligning with a funder's mission, ethos or interests.



DEVELOPING TECHNICAL CONCENTRATION

Ok, that helps with “*advocacy for a particular line of research,*” but what about “*aligning with funder’s mission, ethos and interests*”?

1. Identify mission of agency/funder – *what are they all about?*
2. Address specific FOA/RFP criteria
3. “Selling points”
 - Technical Expertise
 - Institutional Resources
 - Societal Benefit

Bottom Line: Self promotion can be difficult.

DEVELOPING TECHNICAL CONCENTRATION

Best practices of Grantsmanship

ELEMENTS:

- Abstract – *Be Explicit.*
- Impact Statement – *Who cares?*
- Project Narrative –
 - *Introduction*
 - *Background*
 - *Problem Statement*
 - *Significance*
 - *Evaluation*
- Budget – *Reasonable*
- Timeline/ Gantt



TIPS for SUCCESS:

- *Write the abstract and introduction last.*
- *Careful with titles – be as explicit as possible.*
- *Assume sophisticated peer readers but may not be in exact niche field.*
- *Write for skeptics*
- *Preempt reviewer questions*
- *Reviewers make up minds quickly*
- *Writing style – declarative, short sentences.*
- *Include a cover letter where a specific peer-review panel or section is requested.*

DEVELOPING TECHNICAL CONCENTRATION IMPACT STATEMENTS

Broader Impacts

How well does the activity advance discovery and understanding while promoting teaching, training and learning?

How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?

To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks and partnerships?

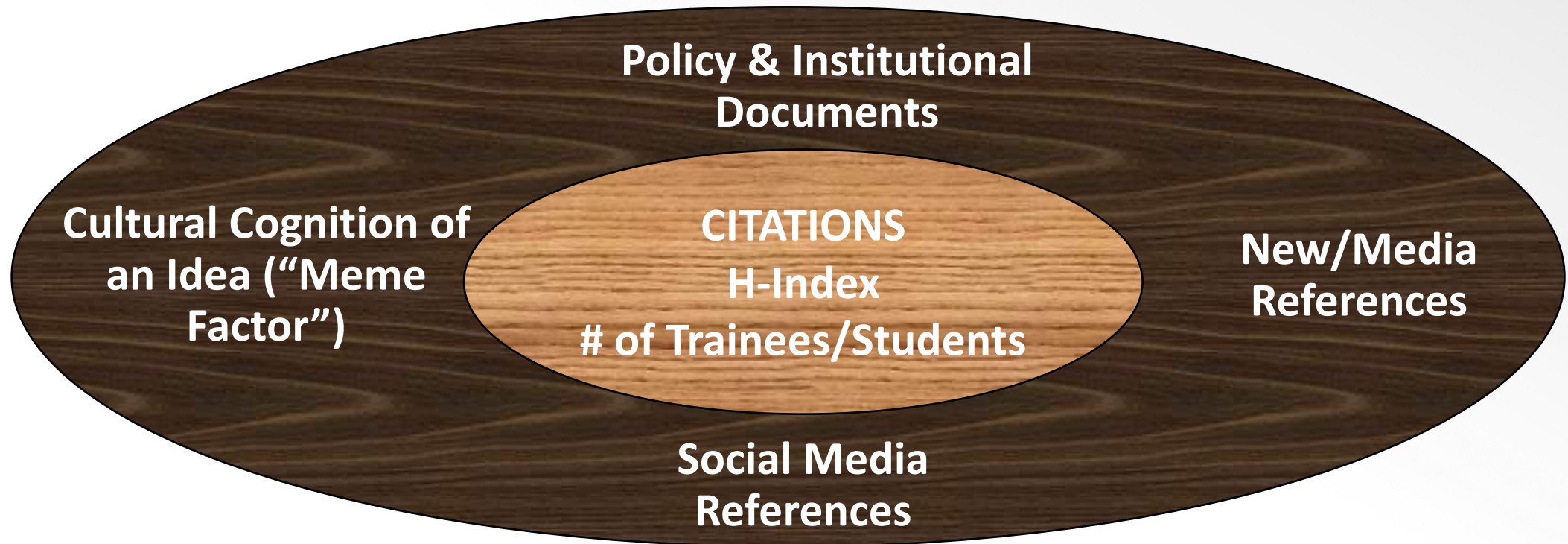
Will the results be disseminated broadly to enhance (scientific, technological, etc.) understanding?

What may be the benefits of the proposed activity to society?

DEVELOPING TECHNICAL CONCENTRATION IMPACT STATEMENTS

Broader Impacts

Measurement of Impact



DEVELOPING TECHNICAL CONCENTRATION

ADDITIONAL TIPS

- Use “editing services” and/or colleagues to review
- Pay attention to formatting
 1. Biosketches/CVs
 2. Mentoring Plans
 3. Letters of Support
- Relationship building with Program Officer (PO) is KEY!!
- Based on the agency, find out who makes the funding decision. For example NSF, peer-review panel meets and makes recommendation, but PO makes actual decision. NIH is different – funding decisions are based on a point scheme earned by peer-review panel.
- Faculty commonly afraid of making missteps or mistakes – but shouldn’t be!
- DON’T ask questions that are already addressed in RFP/FOA

DEVELOPING TECHNICAL CONCENTRATION

ADDITIONAL TIPS

- Researchers should review funded abstracts.
 - Often available online – i.e. REPORTER (NIH), NSF database.
- REPORTER is a great tool to use during Proposal development:
 1. what fits within the agency's mission
 2. view assignments for study sections (always complete this “requested study sec “ in proposal; don't assume CSR will assign it correctly)
 3. view funded abstracts.
- Pay Careful Attention to Titles:
 1. Should be descriptive enough to indicate the topic of proposal
 2. Avoid clever taglines or other aspects.

DEVELOPING TECHNICAL CONCENTRATION

ACTIONS TO AVOID

- Act like the funder owes you
- Act like the funder owns you
- Fail to do homework
- Get lost between money and goal
- Claim unmitigated success
- Too-aggressive cultivation
- Not asking for or ignoring feedback
- Over-reliance on jargon

Sources:

<http://www.hewlett.org/friday-note-pitch-persuasive-or-how-to-maybe-get-a-grant/>

<http://www.hewlett.org/friday-note-pitch-imperfect-or-how-not-to-get-a-grant/>

DEVELOPING TECHNICAL CONCENTRATION

learning to use new forms - federal

FOA – Funding Opportunity Announcement

CFDA- Catalog of Federal Defense Acquisitions

PA – Program Announcement

PAR – Program Announcement with Special Receipt, Referral and/or Review

RFA – Request for Application

RFP – Request for Proposal

Top Tip: Annotated RFP.

DEVELOPING TECHNICAL CONCENTRATION

The New Federal Forms

Department of Health and Human Services
Part 1. Overview Information

Participating Organization(s)
National Institutes of Health (NIH)

Components of Participating Organizations

- National Cancer Institute (NCI)
- National Eye Institute (NEI)
- National Heart, Lung, and Blood Institute (NHLBI)
- National Human Genome Research Institute (NHGRI)
- National Institute on Aging (NIA)
- National Institute on Alcohol Abuse and Alcoholism (NIAAA)
- National Institute of Allergy and Infectious Diseases (NIAID)
- National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS)
- National Institute of Biomedical Imaging and Bioengineering (NIBIB)
- Unice Kennedy Shriver National Institute of Child Health and Human Development (NICHD)
- National Institute on Deafness and Other Communication Disorders (NIDCD)
- National Institute of Dental and Craniofacial Research (NIDCR)
- National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)
- National Institute on Drug Abuse (NIDA)
- National Institute of Environmental Health Sciences (NIEHS)
- National Institute of General Medical Sciences (NIGMS)
- National Institute of Mental Health (NIMH)
- National Institute of Neurological Disorders and Stroke (NINDS)
- National Institute of Nursing Research (NINR)
- National Institute on Minority Health and Health Disparities (NIMHD)
- National Library of Medicine (NLM)
- National Center for Complementary and Integrative Health (NCCIH)
- Division of Program Coordination, Planning and Strategic Initiatives, Office of Research Infrastructure Programs (ORIP)

Note: Not all NIH Institutes and Centers (ICs) participate in Parent Announcements. Applicants should carefully note which ICs participate in this announcement and view their respective areas of research interest at the [R01 IC-Specific Scientific Interests and Contact](#) website. ICs that do not participate in this announcement will not consider applications for funding.

Funding Opportunity Title
NIH Research Project Grant (Parent R01)

Activity Code
R01 Research Project Grant

NIH “Parent R01”

OMB Number: 4040-0004
Expiration Date: 10/31/2019

Application for Federal Assistance SF-424

* 1. Type of Submission: Preapplication Application Changed/Corrected Application

* 2. Type of Application: New Continuation Revision

* If Revision, select appropriate letter(s):
* Other (Specify):

* 3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):

* c. Organizational DUNS:

d. Address:

* Street1:

Street2:

* City:

County/Parish:

* State:

Province:

* Country:

* Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

Title:

Organizational Affiliation:

* Telephone Number:

Fax Number:

* Email:

SF424 Forms

INTERNATIONAL PARTICIPATION – U.S. FEDERAL QUICK START GUIDE

- Basic Registrations
 - Data Universal Number System (DUNS) number from Dun & Bradstreet
 - Employer Identification Number (EIN) from the Internal Revenue Service – Not always Required
 - Registers with the new System for Award Management (SAM), [which replaced CCR in July 2012]
 - NATO Commercial and Governmental Entity (NCAGE) code
- Systems:
 - Grants.gov
 - Agency System Profile (e.g., NIH Electronic Research Administration – eRA - Commons)



Basic Application Components

Cover sheet

Abstract or
project
summary

Statement of
work

Budget

Budget
Justification

Biosketch

Current &
Pending
Support

Required
Approvals

Resources

Checklist



Statement of Work

Specific Aims

- Should answer questions about the research being proposed.

Why

- Is this research being studied?

Who

- Will be studied?

What

- Will be studied?

How

- Will it be studied?

When

- Will it be studied?

Where

- Will it be studied?

Proposal Planning, Developing, Submitting

Encourage preparation of preliminary proposals



Facilitate contact with potential Sponsors



Provide proposal preparation guides and tools



Offer targeted workshops



Interpret proposal guidelines



Assist with proposal submission

Formal Proposal Components

Title/cover page

Abstract

Narrative

- Needs/Significance
- Literature Review
- Methodology
- Evaluation

Personnel Vitae

Detailed budget with justification

Facilities/resources available

Appendices

Formal proposals are constructed according to sponsor guidelines.



Third Party Agreements

Subaward

- Written agreement with third party to obtain substantive programmatic effort under sponsored award
- Sub responsible for programmatic decision making, provision of research/research services, measurable performance and compliance requirements
 - *When you issue a subaward, you become the awarding agency*

Purchase Order/Vendor Agreement

- Legally binding agreement
- Engaging external vendor
- Acquisition of goods or services
 - Usually, commercially available
- Normally, handled through Purchasing Department

Consulting Agreement

- Vendor agreement
- Services too urgent, temporary, specialized, or highly technical
- Not issued to obtain substantive programmatic work
- Independent contractor without close supervision
- Usually participate on a work for hire basis
- NOT an employee



Consultant vs. Subrecipient

Questions to ask the PI to distinguish between a consultant or subawardee relationship:

- Did the individual/organization help develop the Scope of Work (SOW)?
- Will the individual/organization independently be responsible for carrying out a portion of the SOW?
- Will the individual/organization likely be a co-author on publications?
- Will the individual/organization own the intellectual property it develops?
- *The more “yes” answers to these questions, the more likely the relationship is that of a subawardee. Likewise, the more “no” answers, the more likely the relationship is that of a consultant or vendor.*

Vendor vs. Subrecipient

Factors to consider in making a determination

- Vendor
 - Provides goods and services within normal business operations
 - Provides similar goods and services to many different purchasers
 - Operates in a competitive environment
 - Provides goods or services that are ancillary to the operation of the Federal program
 - Is not subject to compliance requirements of the Federal program
- Subrecipient (Subaward)
 - Has its performance measured against whether the objectives of the federal program are met
 - Has responsibility for programmatic decision-making
 - Has responsibility for adherence to applicable federal program compliance responsibilities
 - Uses the federal funds to carry out a program of the organization as compared to providing goods and services for a program of the pass-through entity

Subaward Process Requirements

Formal Proposal Stage

- Letter of intent from proposed subrecipient signed by authorized organizational representative (AOR)
 - Statement of work
 - Period of performance
 - Budget and justification of costs
 - Certifications/assurances
- May or may not be incorporated into final proposal

Special Budget Considerations for NIH: Salary Limits

NIH salary cap on grants, contracts and cooperative agreements is part of NIH's annual appropriation from Congress

Effective 1/1/15 limitation: \$183,300 per year for 100% effort (tied to Federal Executive Schedule, Level II)

Consultants are exempt, but payments must meet the test of reasonableness

Could be imposed by other sponsors as well

Institutional salary may be supplemented with non-federal funds



NIH Salary Limits

**Proposals reflect actual institutional base salary:
Example**

	Gross	With Cap
Salary	\$225,000	\$183,300
Effort	50%	50%
Requested	\$112,500	\$ 91,650
Benefits (25%)	\$ 28,125	\$ 22,913
F&A (47%)	<u>\$ 66,094</u>	<u>\$ 53,845</u>
Total	\$206,719	\$168,408



FCOI – Financial Conflict of Interest

Existing federal regulations regarding the financial conflicts of interest (FCOI) of investigators require reporting on such conflicts to promote accountability, add transparency, enhance compliance and improve oversight on the institutional level. The regulations establish standards that provide a reasonable expectation that the design, conduct and reporting of research will be free from bias resulting from investigator financial conflicts of interest.

https://era.nih.gov/services_for_applicants/other/fcoi.cfm



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"What conflict of interest?!
I work here in my spare time."

BILAT
USA 4.0

Budget: Summary of General Points

Include both direct and F&A costs

Should be detailed (at least in first year)

Include only allowable costs

As required, include matching or cost-sharing (if cost-sharing is proposed it should be proportional between direct and F&A)



Example NIH Budget Page

Budget Worksheet for Investigator's File (DSB)

**BUDGET FOR ENTIRE PROPOSED PROJECT PERIOD
DIRECT COSTS ONLY**

BUDGET CATEGORY (Title X)	TOTAL BUDGET (Total Direct Costs) (Page 5)	2nd ADDITIONAL YEAR OF SUPPORT (NHG-2011-1)	3rd ADDITIONAL YEAR OF SUPPORT (NHG-2011-1)	4th ADDITIONAL YEAR OF SUPPORT (NHG-2011-1)	5th ADDITIONAL YEAR OF SUPPORT (NHG-2011-1)
PERSONNEL (Salaries and Wages, Benefits, Appointments, etc.)					
CONSULTANT COSTS					
EQUIPMENT					
TRAVEL					
RENTAL FEE COSTS					
EQUIPMENT MAINTENANCE					
ALTERATION AND REPAIRS					
OTHER EXPENSES					
INDIRECT COSTS (CONTRACTUAL COSTS)					
SUBTOTAL DIRECT COSTS (Sum of Rows 1-10)					
INDIRECT COSTS (CONTRACTUAL COSTS)					
TOTAL DIRECT COSTS					
TOTAL DIRECT COSTS FOR ENTIRE PROPOSED PROJECT PERIOD					\$

ALL OTHERS: For other budget categories, include a code and amount in separate rows.



Certifications, Representations, & Assurances

Other public policy requirements include:

- Lobbying
- Debarment and Suspension
- Delinquent Federal-Debt
- Drug-Free Workplace
- Drug and Alcohol Free Schools
- Trafficking in Persons
- Plus individual agency requirements

Additional Certifications required for contracts

- Procurement Integrity
- Equal Employment Opportunity
- Utilization of Small and Small Disadvantaged Business Concerns
 - >\$650,000 – small business contracting plan required prior to contract award
- Certificate of Current Cost and Pricing Data
 - Submit with best and final offer



Certification Signatures

Authorizing Official: Chief Executive or those delegated authority

Supported by internal approvals and signatures: PI, department, dean, business officers

Signature indicates acceptance of requirements

Program guides/forms provide more info on regulatory requirements (including PI responsibilities)



Checklist for Proposal Review

- ✓ Page limitations
- ✓ Type size limitation
- ✓ All elements of proposal included
- ✓ Correct rates used
- ✓ Budget correct
- ✓ Signatures
- ✓ Subcontractor commitment letter
- ✓ All certifications included
- ✓ If RFP, is exception letter needed?
- ✓ If foundation/corporation, is it on "restricted" list?
- ✓ Requirement for state review ascertained
- ✓ Correct number of copies, deadline date, mailing address
- ✓ Method of transmittal, packaging instructions
- ✓ Limitation on number of proposals from institution



Electronic Proposal Submission

Grants.gov

- Currently lists all federal financial assistance opportunities
- Intended to be a common face to the government for submission of financial assistance applications
- Eventually all federal financial assistance applications will be submitted via Grants.gov

NSF FastLane

- Proposal Review
- Proposal Preparation & Submission
- Checking Proposal Status

NIH eRA Commons

- Electronic Streamlined Noncompeting Award Process (RPPR)

