

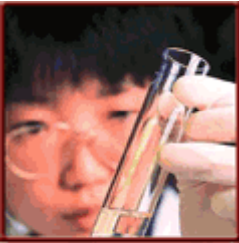
Proposal Development & Submission Workshop

September 14, 2006

Sandra H. Harpole

Associate VP for Research

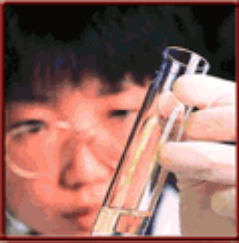
Idea First or Opportunity First?



- Idea
 - Have an idea for a project
 - Find funding source to match idea

OR

- Opportunity
 - Find funding opportunity
 - Develop project in response to opportunity

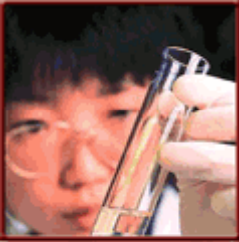


Funding and Requests for Proposals

- Identify appropriate funding agency and program.

- Locate a Sponsor

- **Community of Science**
- **Agency Web Pages**
- **Electronic newsletters or alerts**



Step 1 - Before You Write

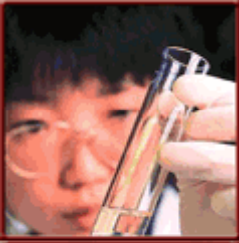
- Getting started
 - Have a clear idea of the goals of your project
 - Envision improvements your project will make
 - Identify resources necessary (people, time, equipment, technical support)
 - Identify preliminary work which demonstrates planning and commitment



Request for Proposals

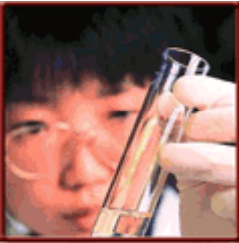
- Different for different agencies and foundations
- Request for Proposals (RFP)
- Request for Applications (RFA)
- Broad Agency Announcement (BAA)

Request for Proposals Information



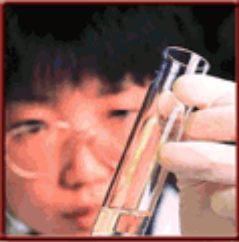
- Purpose of program
- Priorities of program
- Eligibility requirements
- Funding mechanism
 - Grant
 - Contract
 - Cooperative Agreement

Request for Proposals Information



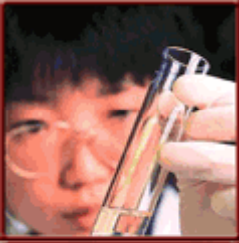
- Different for different agencies and foundations
- Items to review
 - Purpose of program
 - Priorities of program
 - Eligibility requirements
 - Funding mechanism
 - Grant
 - Contract
 - Cooperative Agreement

Request for Proposals Information



- Cognizant Program Officer
- Total funds available
- Projected number of awards
- Cost sharing requirements
- Evaluation criteria for review process
- Review process mechanism
 - Peer review
 - Agency review

Request for Proposals Information

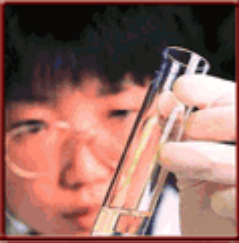


- Preproposal/letter of intent
 - Required or suggested
 - Deadline
- Deadline for submission (local time?)
- Submission process
 - Grants.gov
- Deadline for review completion
- Sponsor's award history
 - Who has received funding for what types of activities
 - Funding range



Contact with agency

- Prepare a concept paper with the general plan for project
- Contact appropriate program officer
 - Set time for telephone appointment or
 - Schedule a visit
 - Send copy of concept paper prior to appointment



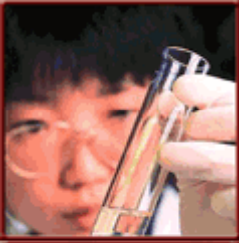
Contact with Agency

- Listen carefully and take notes during the appointment
- Take only as much time as necessary (A program officer's time is valuable.)



Sponsored Programs

- Alert sponsored programs officer very early in the process
 - RFP and submission deadline
 - Special rules and regulations, allowable costs
 - Internal approval sheet
 - Do not check Good Laboratory Practices.
 - GLP refers to a special procedure which MSU does not support at this time
 - Budget review for preliminary review
 - Subcontracts
- Final submission of proposal



Regulatory Compliance

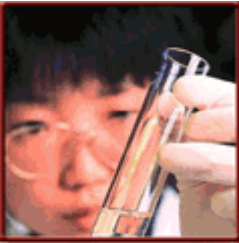
- Contact regulatory compliance to determine procedure for involving human subjects or animals in research
- Approval is required with submission in most cases

Export Control

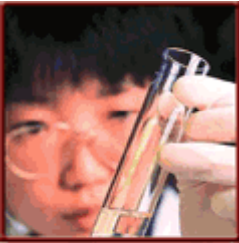
When traveling to foreign country

– Taking a computer

- Doing collaborative research with other countries
- Using post-docs, possibly graduate students, on projects
- When there are publication restrictions in your contract

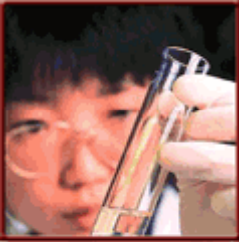


The proposal should present



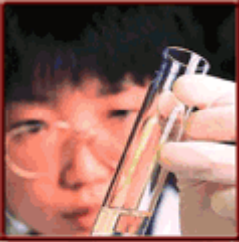
- Objectives and significance of work
- Suitability of methods to be employed
- Qualifications of the investigator and institution
- Effect of activity on infrastructure of science, engineering and education
- Amount of funding requested

Grant Proposal Guide, NSF 03-2



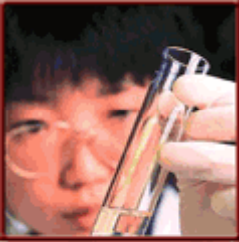
The Proposal

- Cover sheet
 - Provided by agency
 - Program announcement or solicitation number
 - Title - Brief, scientifically or technically valid, intelligible to a scientific reader but suitable for use in the public press
 - Project duration
 - Budget request



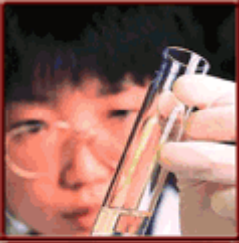
The Proposal

- Current and pending support
 - Required by NSF of all senior personnel and consultants
 - Proposed project must be listed first
 - Even if PIs and senior personnel have no current funding, a form is required for the proposed project
 - Time commitment must be included



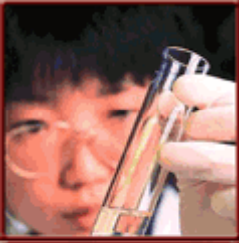
The Proposal

- Project summary
 - Self-contained description of the activity, suitable for publication
 - Statement of objectives and methods employed
 - For NSF proposals, clearly address in separate statements
 - Intellectual merit
 - Broader impacts



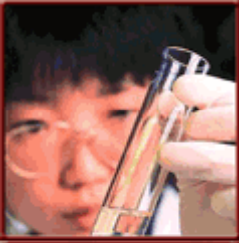
The Proposal

- Project description
 - Objectives of the project
 - Plan of work (How will objectives be accomplished?)
 - Experimental methods and procedures
 - Data to be collected and how it will be analyzed and preserved and disseminated
 - Timeline
 - Broader impact



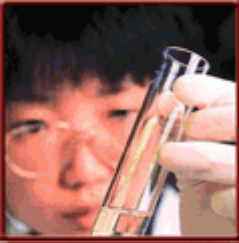
The Proposal

- Project description
 - Knowledge of work in the field and contributions of the proposed project
 - Evaluation plan (Evidence that the objectives have been accomplished)
 - Project personnel
 - Role on project and time commitment
 - Qualifications of key personnel



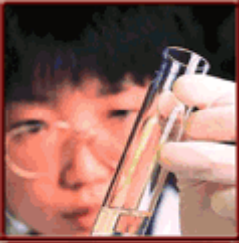
The Proposal

- Project description
 - Results of prior NSF support
 - For any PI or Co-Pi having NSF support in the past five years
 - For more than one award, report on award(s) most closely related to the proposal
 - Is included in the 15-page limit



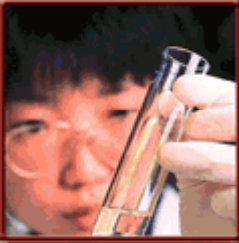
The Proposal

- References cited
 - Required
 - Not within 15-page limit
- Biographical sketches
 - Limited to two pages
 - Check guidelines for specific order and format



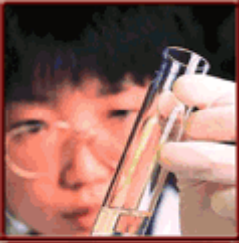
The Proposal

- Budget
 - Usually requires a budget for each year and a cumulative budget
 - Develop from project narrative
 - Request funds allowed under various categories and in amounts required to the work



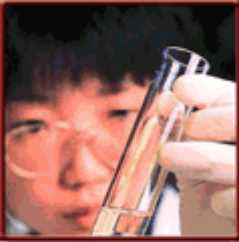
The Proposal

- Budget items
 - Salaries and wages
 - Cannot augment total salary or rate of salary during faculty appointment time
 - Summer salary limited to no more than two-ninths of academic year salary (includes summer salary from all NSF grants)
 - Administrative support can be requested where costs are identified with project



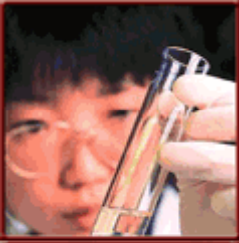
The Proposal

- Budget items
 - Salaries and wages continued
 - Use current or estimated salary for each project period
 - Estimate annual or merit raises
 - Academic year for nine-month faculty and calendar months for twelve-month personnel



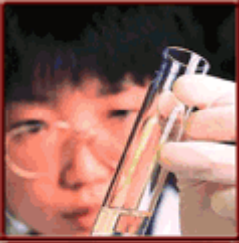
The Proposal

- Budget items
 - Fringe benefits
 - Contact Sponsored Programs Office for rate
 - Different rates for different personnel



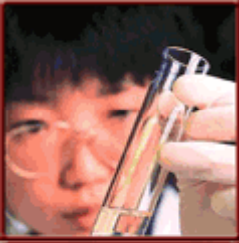
The Proposal

- Budget items
 - Equipment
 - Determine if equipment purchases are allowed
 - Defined as an item of property having an acquisition cost of \$5000 or more
 - General purpose equipment such as a personal computer is usually not allowed



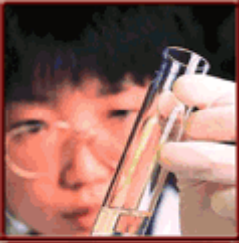
The Proposal

- Budget items
 - Travel
 - Specify reason for travel
 - Itemize by destination and cost
 - May be requested for
 - Field work
 - Attendance at meetings
 - Travel associated with proposed work



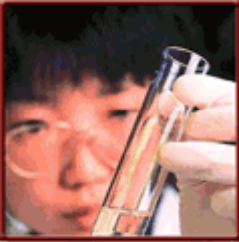
The Proposal

- Budget items
 - Participant support
 - Transportation, per diem, stipends and other related costs
 - Must enter number of participants to be supported in budget
 - Indirect costs (F&A) usually not allowed on participant costs



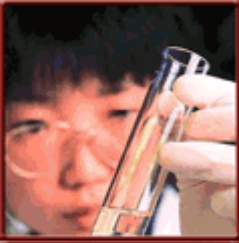
The Proposal

- Budget items
 - Other direct costs
 - Materials and supplies
 - Publication/Documentation/Dissemination
 - Consultant services (cannot exceed established rate)
 - Computer services
 - Subawards



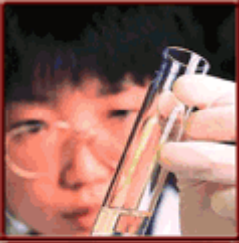
The Proposal

- Budget items
 - Indirect costs
 - Facilities and administrative costs (F&A)
 - Negotiated rate
 - Can collect indirect on the first \$25K of a subaward
 - Cost sharing
 - Check agency or specific RFP requirements



The Proposal

- Budget justification
 - Needed to document and justify amounts requested in budget
 - NSF allows three pages

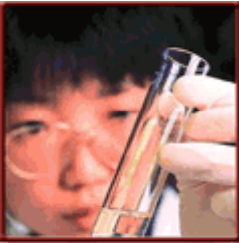


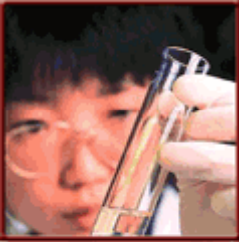
The Proposal

- Special information and supplementary documentation
 - See specific agency guidelines
 - Collaborative arrangements through letters of commitment
 - Environmental impact statements
 - Documentation regarding research using human subjects, hazardous materials, vertebrate animals, or endangered species

The Proposal

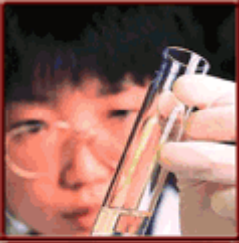
- Appendices
 - See specific agency guidelines
 - Not allowed by NSF without an authorization from NSF





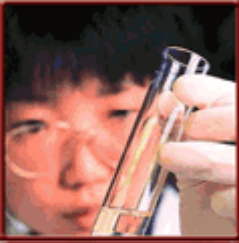
Before Submitting

- Get advice
 - Ask someone who has served on a review panel to assess the proposal
 - Have someone unfamiliar with the project to review the proposal
- Proof carefully
 - Read and re-read



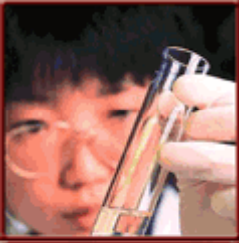
Submitting the Proposal

- All proposals must be submitted by Sponsored Programs Office
- Method of submission
 - Paper copies
 - Date - postmark or arrival
 - Number of copies
 - Include correct delivery address (not post office box)



Submitting the Proposal

- Method of submission
 - Electronic submission
 - Register with agency well in advance of deadline
 - Sponsored Programs must have access to submit
 - Giving SPA access well in advance of deadline allows administrator to check budget, review allowable costs, review subcontracts, review checklist for missing items



Submitting the Proposal

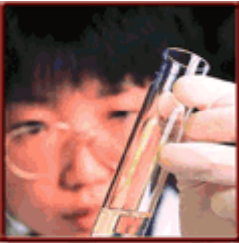
- Method of submission
 - Electronic submission
 - When proposal is completed, request that Sponsored Programs submit the proposal
 - Call administrator and follow with e-mail request for written confirmation from PI that proposal is ready to be submitted



What If You Are Funded?

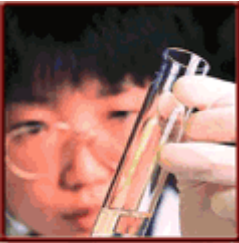
- Read the award letter carefully
 - Pay attention to requirements for continuation funding or renewal
- Conduct the project as closely to the stated proposal as possible
- Consult program officer about changes
- Produce - your reputation for future funding depends on it

What If You Are Not Funded?

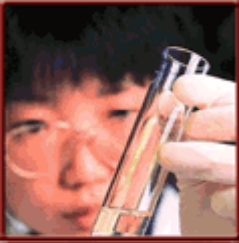


- Do not be discouraged if not funded on the first submission
- Study reviewers' comments carefully
- Consult with program officer
- Resubmit after discussions with program officer about reviewers' comments

Ethical Conduct of Research



- Operating Policy 80.02
 - <http://www.msstate.edu/dept/audit/8002.html>
- “Every member of the faculty, staff and student body has a responsibility for complying with this policy and for assisting their associates in continuing efforts to avoid any activity that may be considered in violation of this policy.”



Resources

- NSF publication- A Guide for Proposal Writing (NSF 98-91)
- NSF Grant Proposal Guide (NSF 03-2)
- National Institutes of Health – Grant Writing Tip Sheets
 - http://grants1.nih.gov.grants.grant_tips.htm