

Proposal Development & Submission

Grant Writing Workshop

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Idea First or Opportunity First?

■ Idea

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

■ Opportunity

- Find funding opportunity
- Develop project in response to opportunity

Finding Funding Opportunities

- Identify appropriate funding agency and program.
- Sources of Information
 - Community of Science
 - www.cos.com
 - Agency Web Pages
 - Electronic newsletters or alerts

Finding Funding Opportunities

■ Sources of Information

■ Agencies

- NSF Custom News Service: www.nsf.gov/home/cns/
- NIH: <http://grants1.nih.gov/grants/guide/listserv.htm>
- AHRQ, the Agency for Healthcare Research and Quality: <http://www.ahrq.gov/>,
<http://www.ahrq.gov/fund/>.
- U. S. Department of Health and Human Services: <http://www.hhs.gov/grants/index.shtml>

Finding Funding Opportunities

■ Sources of Information

■ Agencies

– U. S. Department of Education: www.ed.gov

■ Grants and contracts – Subscribe to ED newsletters

■ Foundations

– Foundation Center: www.fdncenter.org

Important Sponsor Information

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

Important Sponsor Information

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

Important Sponsor Information

- Preproposal/letter of intent
 - Required or suggested
 - Deadline
- Deadline for submission (local time?)
- 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
 - 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

Step 1 – Before You Write

- Getting started

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

Step 1 - Before You Write

- **Gather background information**
 - Look for previously similar awarded projects
 - Study existing relevant knowledge base
 - Ask PI for copy of his/her proposal

Step 1 - Before You Write

- Program announcement
 - Identify program or programs which best fit your goals
 - *Guide to Programs*
 - Read program announcement guidelines carefully
- Foundations
 - Talk with foundation officer to determine funding guidelines

Step 1 - Before You Write

- Assemble team
 - Determine areas of expertise needed
 - Assign areas of responsibility
 - Consider personalities
 - Develop clear understanding of the role of each team member on the project

Step 1 - Before You Write

- Other considerations
 - Organize a good working team
 - Develop schedule of activities to meet proposal deadline
 - Allow time for review of proposal by a third party
 - Allow time for obtaining internal approval and external commitment and permission letters

Preproposal

- Preproposal required for some programs or agencies
- Prepare preproposal carefully
- Include all components of full proposal if possible

Step 2 -Writing the Proposal

- Incorporate preproposal reviewers' suggestions into the full proposal
- Follow guidelines carefully in content and length
- Pay attention to details
- Know current research and funded projects in the field and related areas

Step 2 -Writing the Proposal

- Proposal narrative
 - Be specific about proposed activities
 - Demonstrate a broad knowledge of current scholarship and activities in your field and relevance to project design

Step 2 -Writing the Proposal

■ Proposal Narrative

- Principal investigator(s) should write narrative
- Show timeline
- Provide examples that illustrate activities or exercises
- Provide evidence of institutionalizing project beyond funding period

Step 2 -Writing the Proposal

- Budget Information
 - Make request for funds realistic and reflective of project goals
 - Provide complete and unambiguous information
 - Do not include ineligible items
 - Give adequate attention to cost sharing

Step 2 -Writing 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

Step 2 -Writing 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

Step 2 -Writing the Proposal

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

Step 2 -Writing 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

Step 2 -Writing 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

Step 2 -Writing 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

Step 2 -Writing the Proposal

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

Step 2 -Writing the Proposal

- Budget items
 - Indirect costs
 - Facilities and administrative costs (F&A)
 - Negotiated rate
 - Cost sharing
 - Check agency or specific RFP requirements

Step 2 -Writing the Proposal

■ Dissemination

- Describe how information on success and content of project will be disseminated to other scientists and educators
 - Web page is not sufficient.
- For instructional materials, include information on potential publication

Step 2 -Writing the Proposal

■ Letters of Commitment

- Must show commitment, not just support for idea
- Detail specific contributions by supporting institutions
- Letters from appropriate people or groups off campus should be included
- Write draft letter that can be edited and transferred to appropriate letterhead

Step 2 -Writing the Proposal

- Project summary
 - Important first impression of project
 - Must be written clearly and concisely
 - Summary must contain, in space allotted,
 - Problem
 - Objectives and expected outcomes
 - Project activities
 - Audience to be addressed

Step 2 -Writing the Proposal

- Project summary (continued)
 - For NSF, summary MUST address (or will be returned without review)
 - Intellectual Merit
 - Broader Impacts

Step 2 -Writing the Proposal

- PI and other staff credentials
 - Write curriculum vitae with proposal in mind
 - Display unique background of PI(s) related to project
 - Follow guidelines in format and length
 - Describe roles of personnel in project narrative

Step 2 -Writing the Proposal

■ Evaluation

- Plan should be appropriate to scale of project
- Discuss how data will be collected and analyzed
- Consider an external evaluator
- For educational proposals, show student outcomes

Step 2 -Writing the Proposal

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Step 3 - Before Submitting

- Determine the review process
 - Criteria for evaluation
 - Panel composition
- Criteria for NSF Evaluation
 - Intellectual Merit
 - Broader Impacts

Step 3 - 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

Step 2 -Writing the Proposal

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Submitting the Proposal

- 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

Referenes

- NSF publication- *A Guide for Proposal Writing* (NSF 04-23)
 - www.nsf.gov - Search NSF Web for NSF 04-23
- *NSF's Step-by-Step Guide for Prospective Principal Investigators*
 - www.nsf.gov/home/programs/guide.htm

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