Grant Writing & Developing Proposal Budgets

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ORED Fiscal Officer

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Idea First or Opportunity First?

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

  OR

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

“There is no grantsmanship that will turn a bad idea into a good one, but there are many ways to disguise a good one.”

-William Raub, former deputy director, NIH
FINDING FUNDING OPPORTUNITIES

- Agency web sites
- Electronic resources
- Contact with agencies and foundations
- Networking with colleagues
- Developing relationships with other institutions
FEDERAL SOURCES

- Granting Agencies
  - [http://grants.gov/agencies/agencies.jsp](http://grants.gov/agencies/agencies.jsp)

- Grants.gov
  - Electronic alerts
    - Click on Finding Grant Opportunities
  - Announcements in last seven days
  - Grant writing resources
  - [http://grants.gov](http://grants.gov)
FEDERAL SOURCES

- Forecast of Funding Opportunities
  - Department of Education

- FirstGov

- FirstGov for Nonprofits
FEDERAL SOURCES

- Catalog of Federal Domestic Assistance
  - http://www.cfda.gov

- Federal government procurement opportunities
  - http://www.fedbizopps.gov

- Key government web sites
  - SciTechResources.gov
  - http://www.sciencecentral.com/site/518349

- The Grantmanship Center
  - Library of winning proposals
  - Daily Federal Register announcements
  - http://www.tgci.com
FOUNDATION SOURCES

- The Foundation Center
  - http://www.fdncenter.org

- Education Foundation for America
  - http://www.efaw.org

- The Council on Foundations
  - 2000 member foundations
  - http://www.cof.org/index.cfm?containerid=95
CALL FOR PROPOSALS

Different for different agencies and foundations

- Request for Proposals (RFP)… Environmental Protection Agency
- Request for Applications (RFA)… Environmental Sciences Research
- Program Announcements (PA)… National Science Foundation
- Broad Agency Announcement (BAA)… Office of Naval Research
REQUEST FOR PROPOSALS (RFP)

Environmental Protection Agency
Wetlands Program Development Grants:
2008 Request for Proposals

http://epa.gov/region09/funding/wetlands-08.html
REQUEST FOR APPLICATIONS (RFA)

Environmental Sciences Research

Autism is a complex and heterogeneous disease the etiology of which likely includes both genetic and environmental factors. The goal of this RFA is to stimulate research on the role of the environment in the etiology of autism spectrum disorders.

http://www.autismspeaks.org/docs/sciencedocs/grants/Environmental_Science_RFA.pdf
PROGRAM ANNOUNCEMENTS (PA)

National Science Foundation

Advancing Theory in Biology (ATB)
Program Announcement
NSF 08-513

BROAD AGENCY ANNOUNCEMENT (BAA)

Office of Naval Research

Long range broad agency announcement (BAA) for Navy and Marine Corp Science and Technology

http://www.onr.navy.mil/02/BAA/docs/baa_08_001.pdf
CALL FOR PROPOSALS

- Read and re-read solicitation CAREFULLY!
- Highlight important components
RFP/PA/RFA/BAA Information

- Purpose of program
- Priorities of program
- Eligibility requirements
- Funding mechanism
  - Grant
  - Contract
  - Cooperative Agreement
RFP/PA/RFA/BAA 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
RFP/PA/RFA/BAA INFORMATION

- Preproposal/letter of intent
  - Required or suggested
  - Deadline
- Deadline for proposal 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/FOUNDATION

“The number one factor that leads to funding of proposals is contact with the program officer.”

Dr. Kathie Olsen, Deputy Director
The National Science Foundation
CONTACT WITH AGENCY/FOUNDATION

Contact appropriate program officer
- Set time for telephone appointment or
- Schedule a visit
- Send copy of concept paper prior to appointment (no more than two pages)
CONTACT WITH AGENCY/Foundation

- Listen carefully and take notes during the appointment.

- Take only as much time as necessary (A program officer’s time is valuable.)
PROJECT TEAM

- Select project team carefully!
  - Determine expertise needed
  - Consider personalities
  - Agree to roles early on
SPONSORED PROGRAMS

- Alert Sponsored Programs very early in the process
  - RFP and submission deadline
  - Special rules and regulations, allowable costs
  - Internal approval sheet (IAS)
    - Do not check Good Laboratory Practices.
      - GLP refers to a special procedure which MSU does not conduct at this time
      - Back of IAS should document departmental/unit distribution of F & A (Facilities & Administrative cost or indirect) and cost sharing commitments
  - Budget 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

- Contact Nick Miller in Sponsored Programs for information
- An issue when traveling to foreign country
  - Taking a computer
- Can be an issue with doing collaborative research with other countries
- Can be an issue when using graduate students on projects
THE PROPOSAL

- Determine content of proposal from RFP
- Typical proposal content
  - Abstract/Project Summary
  - Project description
  - Qualifications of personnel
  - Current and pending support
  - Budget
  - Budget explanation
  - References
THE PROPOSAL

- Cover sheet
  - May be 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 to determine time commitment of PI and other key personnel – should not exceed 100%
  - Required by NSF of all senior personnel and consultants
  - Proposed project must be included in the current and pending support
  - 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

- Follow guidelines for content, length, font, etc.
- 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
  - Statement/scope 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 impacts
The Proposal

- Project description
  - Knowledge of work in the field and contributions of the proposed project
  - Plan to evaluate scope of work
  - Project personnel
    - Role on project and time commitment
    - Qualifications of key personnel
      - Include key qualifications related to project
THE PROPOSAL

Project description
- Results of prior support
  - For NSF projects, support of PI and Co-PI in the past five years
  - For more than one award, report on award(s) most closely related to the proposal
  - May be included in page limit
THE PROPOSAL

- References cited
  - Typically required
  - Normally not included in project description limit

- Biographical sketches
  - NSF limits to two pages
  - Check guidelines for specific order and format
THE PROPOSAL

**Budget**

- Develop from project narrative. Do not include costs that do not directly benefit the completion of the statement of work.
- Request funds allowed under various categories and in amounts required by the scope of work.
- Usually requires a budget for each year and a cumulative budget.
THE PROPOSAL

- Budget items:
  - **Salaries and wages**
    - Cannot augment total salary or rate of salary (cannot receive more than base pay without specific sponsor approval). See OMB Circular A-21 Section J.10.

  - NSF Grants - Summer salary limited to no more than two-ninths of academic year salary (includes summer salary from all NSF grants)

  - Administrative support normally cannot be requested (See Exhibit C of OMB Circular A-21 for *potential* exceptions to this rule)
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
    - Visit Sponsored Program Administration’s website (http://www.spa.msstate.edu) for current rates.
    - Different rates for different personnel
    - Graduate Assistant tuition is normally included here. However, on NSF budgets it is placed in “other direct costs.”
THE PROPOSAL

○ Budget items:
  ● Travel
    ○ Specify reason for travel (how it is related to the statement of work)
    ○ Itemize by destination and cost
    ○ May be requested for
      ○ Field work
      ○ Attendance at project related meetings
      ○ Travel associated with proposed work
THE PROPOSAL

Budget items:

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

- Budget items:
  - Other direct costs
    - Materials and supplies
    - Publication/Documentation/Dissemination
    - Consultant services
    - Computer services
    - Subawards
    - Tuition (for NSF proposals)
THE PROPOSAL

- **Budget items:**
  - **Equipment**
    - Determine if equipment purchases are allowed
    - MSU *generally* defines as an item of property having an acquisition cost of $1,000 or more (see Property Control website for exceptions)
    - General purpose equipment such as a personal computer is usually not allowed
THE PROPOSAL

- **Budget items:**
  - **Indirect costs**
    - Facilities and administrative costs (F&A)
  - **Cost sharing**
    - Check agency or specific RFP requirements
    - Not required for most NSF projects
    - Cannot use other federal dollars as cost sharing
    - Difference between negotiated F&A and sponsor allowed F&A may sometimes be allowed as cost sharing
THE PROPOSAL

- **Budget justification**
  - Needed to document and justify amounts requested in budget
  - NSF allows three pages
Effective Dates: August 16, 2008 to August 15, 2010

Salaries and Wages

<table>
<thead>
<tr>
<th>Title</th>
<th>Annual Salary*</th>
<th>% of Effort</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jones, Bobbie</td>
<td>$120,000</td>
<td>10%</td>
<td>$12,000</td>
<td>$12,600</td>
<td>$24,600</td>
</tr>
<tr>
<td>Adams, Carla</td>
<td>$30,000</td>
<td>50%</td>
<td>$15,000</td>
<td>$15,000</td>
<td>$30,000</td>
</tr>
<tr>
<td><strong>Total salaries and wages:</strong></td>
<td><strong>$27,000</strong></td>
<td><strong>$27,600</strong></td>
<td><strong>$54,600</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Fringe Benefits**

<table>
<thead>
<tr>
<th>Category</th>
<th>Fringe Benefits**</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty</td>
<td>32.20%</td>
<td>$3,864</td>
<td>$4,057</td>
<td>$7,921</td>
</tr>
<tr>
<td>Students***</td>
<td>0.35%</td>
<td>$53</td>
<td>$53</td>
<td>$105</td>
</tr>
<tr>
<td><strong>Total fringe benefits:</strong></td>
<td><strong>$3,917</strong></td>
<td><strong>$4,110</strong></td>
<td><strong>$8,026</strong></td>
<td></td>
</tr>
</tbody>
</table>

Tuition

<table>
<thead>
<tr>
<th></th>
<th>Tuition</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>per GRA per month****</td>
<td>$404.50</td>
<td>$4,854</td>
<td>$5,097</td>
<td>$9,951</td>
</tr>
</tbody>
</table>
## Example of Proposal Budget – Cont’d

<table>
<thead>
<tr>
<th>Description</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel (see &quot;Travel Details&quot; page for more info)</td>
<td>$2,360</td>
<td>$2,360</td>
<td>$4,720</td>
</tr>
<tr>
<td>Contractual (long distance phone calls, printing, research software, consultants, etc.)</td>
<td>$1,000</td>
<td>$1,000</td>
<td>$2,000</td>
</tr>
<tr>
<td>Commodities (chemicals, parts, etc.)</td>
<td>$2,000</td>
<td>$1,000</td>
<td>$3,000</td>
</tr>
<tr>
<td>Subcontracts:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University of Hawaii</td>
<td>$30,000</td>
<td>$30,000</td>
<td>$60,000</td>
</tr>
<tr>
<td>Aloha University</td>
<td>$25,000</td>
<td>$0</td>
<td>$25,000</td>
</tr>
<tr>
<td>Total subcontracts</td>
<td>$55,000</td>
<td>$30,000</td>
<td>$85,000</td>
</tr>
<tr>
<td>Equipment</td>
<td>$12,000</td>
<td>$0</td>
<td>$12,000</td>
</tr>
<tr>
<td>Two research widgets at $6000 each</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**EXAMPLE OF PROPOSAL BUDGET**

CONT’D

<table>
<thead>
<tr>
<th></th>
<th>Cost 1</th>
<th>Cost 2</th>
<th>Cost 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Direct Costs</td>
<td>$108,131</td>
<td>$71,166</td>
<td>$179,297</td>
</tr>
<tr>
<td>F&amp;A at 43% (on-campus research rate) on MTDC*****</td>
<td>$37,099</td>
<td>$15,510</td>
<td>$52,609</td>
</tr>
<tr>
<td>Total Project Cost</td>
<td>$145,229</td>
<td>$86,676</td>
<td>$231,906</td>
</tr>
</tbody>
</table>

*Faculty salary was converted to 12 month rate. Review the sponsor budget form & instructions to determine how the sponsor wants it displayed. Raises can be included at 5%-7% effective July 1 for 12 month employees and effective August 16 for 9 month employees. However, typically raises will only be granted if IHL approves a university wide raise.*

**If the salary budget has a significant portion of employees with >$45K salary, you may want to estimate the fringes using the details provided at http://www.spa.msstate.edu/budgeting/benefits.html.**

*** The 0.35% fringe rate for students is valid only when enrolled. During periods of non-enrollment, the rate increases to ~9%.

****Estimated 5% tuition increase included each year effective August 16.

*****F&A is overhead. See the SPA website for off-campus rates as well as service and instruction rates. MTDC is the acronym for "Modified Total Direct Costs". MTDC is the total direct cost less equipment, tuition & subcontracts (except 1st $25K per sub).
### Travel Details:

Annual travel by PI, Dr. Bobbie Jones, to visit with NSF Program Officer concerning research project. 1 night, 2 day trip to Washington D.C.

<table>
<thead>
<tr>
<th>Daily rate</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hotel 1 night</td>
<td>$175</td>
<td>$175</td>
<td>$1,255</td>
</tr>
<tr>
<td>Meal per diem 2 days</td>
<td>$40</td>
<td>$80</td>
<td>$1,105</td>
</tr>
<tr>
<td>Rental Car 2 days</td>
<td>$50</td>
<td>$100</td>
<td>$1,105</td>
</tr>
<tr>
<td>Airfare</td>
<td>$850</td>
<td>$850</td>
<td>$1,700</td>
</tr>
<tr>
<td>Taxi, etc.</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$2,360</td>
<td>$2,360</td>
<td>$4,720</td>
</tr>
</tbody>
</table>

Annual travel by GRA, Carla Adams, to visit with NSF Program Officer concerning research project. 1 night, 2 day trip to Washington D.C.

<table>
<thead>
<tr>
<th>Daily rate</th>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$1,105</td>
<td>$1,105</td>
<td>$2,210</td>
</tr>
</tbody>
</table>

Total travel in support of project: $2,360 $2,360 $4,720
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 some agencies without authorization
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

- Must be submitted by Sponsored Programs Administration

- 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
  - Pay close attention to the terms and conditions related to re-budgeting and changes in effort
- 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
REFERENCES

- NSF publication - A Guide for Proposal Writing (NSF 98-91)
- NSF Grant Proposal Guide (NSF 03-2)