Workshop #3
Proposal Preparation
Office of Research and Creative Activities
Preliminary Considerations

• **Gift** - any external funds that come with no strings

  • LDS Philanthropies receives all gifts for BYU

• **Contract/Grant** - any external funds that carry any sort of strings, e.g. Deliverables, expenditure reports, limits on publishing...any quid pro quo arrangement.

  • ORCA receives all contracts and grants for BYU
Proposal Preparation Game

• Writing Technique - Past Events: Expository and Future Events: Persuasive

• Proposal success rates average 15-30%
  At NIH (2009)  8-10% on 1st submission
  28% on 2nd submission

• More than half (60%) are rejected on the first reading because:
  • Proposal did not match program RFP
  • Applicant did not follow proposal directions
  • Application done sloppily with obvious proofreading errors.
Sponsor Instructions for Funding Opportunity

• Request for Proposal (RFP)

• Request for Quote (RFQ)

• Broad Agency Announcement (BAA)

• Funding Opportunity Solicitation
Elements of Solicitation/RFP/RFQ/BAA

• Title of Program

• Synopsis/Summary of Program

• Cognizant Program Officers

• Eligibility Information & Limitations

• Proposal Preparation & Submission Instructions
The Classic Request for Proposal (RFP)

- Proposals are likely to require the following:

  - Abstract - a 1-2 page summary of the project

  - Application Checklist - a list of all proposal elements

  - Narrative Statement - the text of the proposal, is tied to the goals and takes into account any ratings factors given by the Sponsor.

  - Budget Form - a Sponsor form that lists the line-by-line, year-by-year items of anticipated financial costs.
The Classic Request for Proposal (RFP)

• Budget Justification - detailed description of select budget items and formulas used to determine various costs

• References cited - a list of previous research done in the field that is referred to or needed to know as a basis or foundation for the work being proposed

• Facilities - a description of the physical space and equipment that is available to do the work proposed.

• Biographical Sketch(s) of Principal Investigator
The Classic Request for Proposal (RFP)

• Indirect Costs - a statement of established, approved indirect cost rate; also known as overhead

• Matching - a statement listing the costs to be borne by the institution in support of a project; also known as cost sharing

• Current & Pending Support - what else are the faculty investigators doing?

• Appendix - required documents which support and confirm the grant and budget request. If a document is not required, don’t put it in the Appendix.
Basic Proposal Pieces

- BYU Summary Sheet
- Budget
- Text or statement of work proposed to be done
- Sponsored format and boilerplate
Summary Proposal Sheet

• The current Summary Proposal Sheet is available at http://orca.byu.edu/grants-contracts/Forms.php
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*Optional Benefits for Students: Benefits for students are NOT required for students who are taking full-time load of classes. If students are taking a full transfer load such as in the spring or summer, benefits may be required. Faculty should make their best estimate of what percentage of student contacts & wages would fall.
Budgeting - Faculty Salaries

• Basis of pay is 8 months base plus 1-2 months depending on length of academic contract.

• Spring/Summer pay is by percentage of a month (1/4 month, 1/2 month, etc)

• Pay must be in proposal to be honored after the award.
Budgeting - Pay Rates

• Faculty are paid at their academic pay rate.

• Staff are paid at their annual BYU pay rate.

• Students are paid as either timecard (hourly) or contact.
  - Student rate schedule is available from Student Salary Services Office
  - Actual student pay varies from college to college; consult your controller for ranges.
Budgeting - Fringe Benefits

• The Benefits Rate is re-calculated every year with DHHS, our cognizant federal agency.

• The current Proposal Summary Sheet will automatically calculate the fringe benefits rate for you.

• Proposal Summary Sheet is available at http://orca.byu.edu/grants-contracts/Forms.php
Budgeting - Consultants & Subcontracts

• Indirect costs are only applied to the first $25,000; after that, it is indirect cost free for the length of the project.

• The spreadsheet will automatically calculate the correct indirect costs for up to two subcontracts. If you have more than two subcontracts, see an ORCA administrator.
Budgeting - Travel

• Be prepared to differentiate between domestic and foreign travel.

• If possible identify expected trips with the following detail:
  
  • Who is to travel

  • Why is the trip necessary

  • Estimate airfare, hotel, rental car, etc
Budgeting - Capital Equipment

• Any piece of equipment that costs in excess of $5,000 is classed as Capital Equipment

• There are no indirect costs on Capital Equipment

• Anything costing less than $5,000 each becomes classed as supplies
Budgeting - Tuition, Fellowships, Scholarships

• Tuition, Fellowships, Scholarship, and Insurance must have specific sponsor approval

• These kinds of budget items are common to training grants

• These do not create an employer-employee relationship

• These cannot be used in lieu of wages
Budgeting - Cost Sharing or Matching

• Cost sharing/matching should only be done if required by the Sponsor

• These are BYU funds spent on a project to help support the statement of work
Grants.gov

- Available at http://www.grants.gov

- Electronic proposal submission system for the Federal government

- Gatekeeper for every federal agency...usually...

- Don’t use grants.gov for proposals to the National Science Foundation (NSF)

- Watch the request for proposal (RFP) as it may direct you to another system for just that funding opportunity
Grants.gov

• When proposing to NIH through grants.gov, make sure all faculty are set up as users with NIH’s Commons. This is required and will cause a proposal to be rejected before it is reviewed!

• Call ORCA for details on how to access NIH Commons
National Science Foundation FastLane

- Available at https://www.fastlane.nsf.gov

- Much more user friendly than grants.gov

- Tracks proposals, awards, amendments, etc.

- To register as a FastLane user call ORCA
National Science Foundation FastLane

- When the proposal is done...

- Proposal and Proposal Summary Sheet to Chair for signature

- Then to Dean’s Office for signature

- Then to ORCA

  - Institutional Review and signature from ORCA and the Associate Academic Vice President

  - ORCA requires 3-5 day lead time
Submission of Proposals

• Grants.gov - ORCA staff is set-up and authorized to submit proposals through grants.gov on behalf of BYU

• NSF’s FastLane - As above, ORCA is the BYU office that is authorized to submit proposals on behalf of the faculty

• Private Sponsors - Once the institutional review is done by ORCA, either the faculty principle investigator or ORCA can do the actual submission
Last thing to remember

• Preparing a research proposal is a little like voting in Chicago...

  • see ORCA early and often!