Introduction and Overview

- Office of Research and Scholarship and Office of Advancement
- We will be covering the proposal submission process at UT Tyler, how both offices can help you find funding, develop your proposal, and assist you with uploading and submitting your proposal.
- We will include in our discussion the different types of external funding, who may submit proposals, and who is awarded the funds.
- Please feel free to use the chat box for questions throughout the presentation.

Award Cycle

Opportunity

Proposal Development & Submission

Awards Notice, Negotiation/ Acceptance

Award Set Up

Award Management

Award Close Out

Finding Funding Opportunities

- You have to start somewhere!
- Places to start to find funding opportunities:
  - [Funding for Research, Scholarship and Special Projects form](#)
    - Collaborative effort between Advancement and ORS
    - Can be general idea or 'wish list' items
  - [Pivot](#) ®
    - Available on ORS website
  - Instrumentl
    - Used by Advancement staff to finding funding (searches all funding)
  - FoundationSearch
    - Advancement uses this tool
  - Grants.gov

Finding Funding

- Looking at opportunities or Request for Proposal (RFP)
  - Come in many forms and go by many names
  - Represent a sponsor's proposal guidelines

- Other names for Request for Proposal
  - Request for Applications (RFAs)
  - Funding Opportunity Announcement (FOA)
  - Program Announcement
  - Federal Register Notices
  - Call for Proposals
  - Notice of Funding Opportunity (NOFO)

RFP Examples

- NSF ADVANCE
- NIH R01 Translational Research in Maternal and Pediatric Pharmacology and Therapeutics (R01 Clinical Trial Optional)
- DoD CDMRP Prostate Cancer Research Program
- Applied Urban Communication Research Grant
- Infinity Foundation

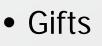- These are just a few examples, not an exhaustive or all-inclusive list.

Request for Proposal

- Sponsor Contact Information
- Purpose of the Funding Opportunity or Program
- Programmatic Requirements
- Eligibility Requirements
  - Eligibility of the institution
  - Eligibility of individual serving as project director or principal investigator
- Budget Restrictions and Allowances
- Performance Period
- Due Date
- Application guidelines and formatting requirements
- Submission Procedures
- Review Criteria

Types of Funding

- State and Federal Government Funding Agencies
- Foundations and Public Charities
- Commercial, Business, and Industry

- Within each of these they can also be a variety of mechanisms of funding
  - Grants
  - Cooperative Agreement
  - Contract
  - Gifts

Types of Funding

Contract

- originate from specific goals of a federal agency as described in a solicitation or request;
- fund well-defined specific efforts, generally affording the recipient less latitude than do grants and cooperative agreements; and
- use detailed award instruments which are subject to federal acquisition regulations.

Grants

- Fund investigator-initiated projects;
- support research, education, training, and facilities;
- provide more autonomy and greater flexibility than contracts;
- do not anticipate substantial involvement between the recipient and the sponsor;
- typically use a short award document, often referencing standard terms and conditions.

Types of Funding

Cooperative Agreements

- fund basic research related to a corporate R&D focus while guaranteeing that the PI will retain direction of the project;
- may involve interaction and collaboration between corporate and scientists;
- often require extensive negotiations between ORS and corporate representatives on issues such as publication rights and ownership of intellectual property, and;
- must be formulated in accordance with UTT policies.

Gifts

- provide general support – may have specific terms or conditions or reporting requirements - for the research or other activities of a particular individual, unit, or facility

Unsolicited Proposals

- Some sponsors will accept unsolicited contract proposals and assistance applications
- Federal agency examples
  - US Agency for International Development (USAID)
  - National Science Foundation (NSF)
  - National Institutes of Health (NIH)
  - NASA
  - U.S. Department of State
  - U.S. Geological Survey (USGS)
  - Others

Federal Unsolicited Proposal

- For an unsolicited proposal to comply with FAR 15.603(c), it must be:
  - Innovative and unique
  - Independently originated and developed by the offering company
  - Prepared without government supervision, endorsement, direction or direct government involvement
  - Detailed enough to show that government support could be worthwhile, and that the proposed work could benefit the agency's research and development (or other mission responsibilities)
  - Not an advance government proposal for a contract that you know the agency will need and that could be acquired by competitive methods
  - Not address a previously published agency requirement.

Source: https://iq.govwin.com/neo/marketAnalysis/view/Unsolicited-Proposals-What-You-Need-To-Know/4290

Basic Components of Most Proposals

- Cover Page/Title Page/Cover Letter
  - Name, title and contact information for the project director
  - Institution information
  - Title of application
  - Total funding requested
  - Project time period
- Project Abstract/Summary/Narrative
  - Brief overview of the scope and intent of the proposed project
  - Sometimes the only document that reviewers have time to read
- Organizational Background (Facilities and Other Resources)
  - Description of the facilities and equipment that will be used
  - Description of human resources available to facilitate the project

Basic Components of Most Proposals

- Research or Project Plan
  - Identifies the gap in knowledge or need that the project will address
  - Presents the overall objective and central hypothesis (if applicable)
  - Research Projects: offers specific aims, objectives, and working hypotheses (if applicable) when proposing a research project
    - Limit to no more than three
    - Expected out comes should address the overall objective/central hypothesis
    - Avoid vague words like "understand", "study", "evaluate"
    - Emphasize expected result – not process (e.g. "identify key elements in cancer cells that …")
  - Non-Research Projects: offers specific tasks that will be performed to accomplish the overall objective

Basic Components of Most Proposals

- Research or Project Plan (continued)
  - Describes the significance of the proposed research or project
  - Describes rationale for the approach chosen
  - Provides a clear logical approach for meeting the objectives or accomplishing the stated tasks
  - States the expected outcomes of the project
  - Presents the capability of the project team to accomplish the project
- Budget and Budget Justification
  - When preparing the budget – look for budget restrictions, limits to cost categories and effort, and if applicable, instructions for calculating indirect costs in the Request for Proposal
  - Budget justification follows same order as budget categories and provides the "why" for what is proposed in the budget

Basic Components of Most Proposals

- Biosketches and Other Support Documents
  - Biosketches lay out the background of the project team
  - Current and pending support documents are often required to ensure the project team has the time to do the proposed project
  - Other supporting documents may include
    - Human subjects research forms and approvals (if applicable)
    - Vertebrate animal research forms and approvals (if applicable)
    - Biosafety research forms and approvals (if applicable)
    - Letters of support
    - Appendices
    - Data management plans
    - Dissemination plans for the results of the project
    - Project team management plan

Tips for Developing a Good Proposal

- Write a sales pitch – not a journal article
  - Begin by presenting a broad view of subject matter
  - Write in a conversational tone – know your audience
  - Use Subject-Verb-Object sentence structure
  - Avoid capitalizing unnecessarily
- Grantsmanship tips from National Institutes of Health
  - Use English
  - Avoid jargon
  - Spell out acronyms the first time they are used in each application section or attachment and note the appropriate abbreviation in parentheses

Tips for Developing a Good Proposal

- Determine the sponsors that are interested in offering funds in your field
  - Go beyond the parent organization, for example National Science Foundation – look for directorates, divisions, and specific programs that fund your type of project
  - Look at the strategic plans of the sponsors or their programs
  - Investigate the funding priorities of the sponsor or specific program that you are interested in
  - Look beyond what the say they will fund to what they have actually funded (recently awarded projects)
- Read the purpose of the funding offered in the Request for Proposal

Tips for Developing a Good Proposal

- Mirror the terminology used in the Request for Proposal – makes it easier for reviewers to see how you have addressed review criteria

- Develop a four-paragraph concept paper

  (based on suggestions offered in Chapter 7 of *The Grant Application Writer's Workbook* by Stephen W. Russell and David C. Morrison (2020), available from www.GrantCentral.com)

  1. 1st Paragraph

     - Highlight the sponsor's area of interest that the proposal will address
     - Educate readers about what is known about the project idea
     - State the gap in knowledge or what is lacking that blocks attainment of something important
     - Write a sentence about what is needed to fill that gap or lack
     - Identify consequences of not meeting that need

Tips for Developing a Good Proposal

- Develop a four-paragraph concept paper
  2. 2nd Paragraph
     - State your long-term goal
     - Overall objective – what you intend to accomplish
       - Must meet the need identified in first sentence
       - Emphasize product of your project not the process
       - Provide a central hypothesis if applicable
       - Explain why you want to do the research – create excitement
       - Describe how you are qualified to undertake the project
  3. 3rd Paragraph
     - Specific aims or tasks
       - Convey why you will perform the task, not the process
       - Avoid words that connote a descriptive approach such as: characterize, compare, understand, correlate, describe, catalog, examine, explore, investigate or study

Tips for Developing a Good Proposal

- Develop a four-paragraph concept paper
    4. 4th Paragraph
        - Provide brief, credible reasons why what you are proposing is creative, original, or potentially transformative
        - Explain the intellectual merit of your project and its expected significance to your field
        - Include the expected outcomes of specific aims
        - State the positive impact that your results will have on something important to the sponsor
- Present your concept paper to colleagues for constructive feedback
- Revise as needed
- Send concept paper with brief email to sponsor program officer to seek feedback on how you can tweak your proposal to meet their funding priorities

Submission of Proposals

- So you have found a funding opportunity, written a great proposal, now what comes next?
    - Can you submit a proposal?
        - It depends, but the answer is likely no.

"The rules for all Federal awards- including uniform administrative requirements, cost principles, and audit requirements anticipate that an institution/organization carries out a Federal award as the "recipient" of the award. The institution designates individuals, including an "authorized organization representative" (AOR) the program director/principal investigator (PD/PI), to assume the responsibilities described below, in fulfilling the terms and conditions of their award."

From "Wait, it's not my grant"

Regulation, requirements, and all other info can be found here, CFR (Code of Federal Regulations)

Submission of Proposals

- What if it is for a non-federal award?
  - Check the RFP

- What about Foundations?
  - Check the RFP

- In any situation, please let our offices know if you are submitting a proposal and provide a copy if possible.
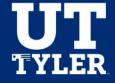
Submission of Proposals

- Why do you need to let our offices know?
  - Could have a limited submission
  - May have some insight or prior knowledge that might be helpful
  - Allows us time to become familiar with the requirements should we be given the award
  - We will need to accept the award when it is received, so a heads up is nice ☺

Award Acceptance

- Proposal is submitted
- You get the award!
- Now what?
    - Our offices negotiate the terms and conditions on behalf of the University and then submit them to our legal team for review and final execution.

"**Delegation of Authority** Delegation of authority to execute and deliver contracts and agreements of any kind or nature is restricted to only the individuals listed at the following link: https://www.utsystem.edu/documents/docs/general-counsel-documents/2016/delegation-authority-charts Any contract/agreement for procuring goods and/or allowed services that requires the signature of an authorized University employee must have an approved PeopleSoft requisition, unless payment is to be made using a Procard, and then be submitted to the Procurement Office using the UT Tyler Contract Approval Routing Form (CARF) template to obtain proper approval(s) and signature. The CARF template is available using the most current e-Signature software used by the University. Instructions for proper use of the form are found at the top of the form. After approvals/signature have been obtained a Purchase Order must be executed then forwarded to the vendor along with the contract/agreement. Then the vendor may deliver the goods and/or provide services."

- https://www.uttyler.edu/president/files/contract-processing-procedures.pdf

Research Proposals

- The Office of Research and Scholarship can assist you in developing research proposals by providing proposal checklists, proposal templates, and guidance

- The pre-award staff can assist you with capturing the concept of your project, developing your sales pitch, preparing your budget, and submitting your proposal

- Our mission is to encourage and support research, scholarship and creative works of UT Tyler faculty, staff and students 903-565-5858 or research@uttyler.edu

Proposal Development