

# Grant Proposal Development 101

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# Overview

- What is and is not a grant and why should I write a grant proposal
- Finding a funding source
- Proposal Development for Fellowships
- Proposal Development for Research Funding
  - Narrative
  - Objectives/Milestones/Sustainability
  - Budget development
  - Submission clearance
- Award management
- Closing the grant

# What is a grant (Federal Definition)

- *Grant agreement* means a legal instrument of financial assistance between an awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 U.S.C. 6302, 6304:
- Is used to enter into a relationship the principal purpose of which is to transfer anything of value from the Federal awarding agency or pass-through entity to the non-Federal entity **to carry out a public purpose authorized by a law of the United States** (see 31 U.S.C. 6101(3)); and not to acquire property or services for the Federal awarding agency or pass-through entity's direct benefit or use;
- Does not include an agreement that provides only:
  - Direct United States Government cash assistance to an individual;
  - A subsidy;
  - A loan;
  - A loan guarantee; or
  - Insurance.

# What's the Difference?

- Grant: Utilizes funds to support activities such as research for the betterment of society and to address issues or problems beyond the recipient's
- Cooperative Agreement: Similar to a grant except the sponsor is anticipating they will play an active part carrying out the goals, objectives and scope of work in the proposal. A partnership.
- Contract: A legally binding agreement and represent an agreement in which purchase services from organizations/individuals in order to fulfill stated obligations and mission.

# Why Write a Grant Proposal

- You have a creative idea that you believe can make a difference in your field
- You have the opportunity to expand your knowledge with a researcher in whom you believe
- There is an opportunity to further your education with financial assistance while working on a project in which you believe
- You meet the criteria to receive specific funding
- Other reasons?

So, you've decided to pursue grant funding...  
Now what?

- Consider multiple approaches for your area of passion
- Be true to your expertise but don't put on blinders
- Research current works and publications
- Utilize on-line funding opportunity resources
- Discuss with your advisor (or other researcher in your field)

# Plan Your Strategy

- Meet with your Graduate Advisor often
- Work with them to determine what type of grant application will work best for your project
- Review what you hope to achieve in relationship to your interests and your resources
- Be realistic about the time to complete each aspect of your project
- Stay in touch during the planning process with your Graduate Advisor and the Office of Sponsored Programs

# Hitting the Right Target

- Ensure your area of research interest matches the sponsor's mission and priorities
- Review your qualifications and status are eligible for funding consideration
- Confirm you have the appropriate senior involvement and commitment
- Discuss your concept/proposed project with the agency or sponsor
- Assess the due date of a sponsor in light of your ability to meet it

# Resources for Grant Proposal Opportunities

- NOAA/Sea Grant: <http://seagrants.noaa.gov/FundingFellowships.aspx>
- NIH: [www.grants.nih.gov/grants/writing/](http://www.grants.nih.gov/grants/writing/)
- NSF: [www.hsfgrfp.org/](http://www.hsfgrfp.org/)
- Private Foundations: (for example)  
<http://chad.illinois.edu/Research/FoundationPrivateFunding.aspx>
- The Foundation Directory: <http://foundationcenter.org>\*
- Sponsored Program Office

# Developing the Proposal

# Proposal Development: A Multi-Step Process

- Timeline
- Objectives/milestones/sustainability
- Narrative
- Budget Development
- Institutional clearance
- Submission

# Creating Your Timeline

- Work backwards from the due date
- Identify each step of the proposal creation and decide order
- Estimate length of time to complete each task
- Note “due dates” on your calendar
- Allow more time than anticipated
- Don’t forget to allow for institutional review and submission

# Objectives, Milestones and Sustainability

- Decide what you want to accomplish
  - Is it realistic within the timeframe and financial resources available from your intended sponsor?
  - Do a literature search. What work has already been done in the area?
  - Is your idea original or will it expand knowledge on a topic already being studied?
  - Draft objectives to which to write in the proposal
  - Identify milestones for the scope of work
  - Can your research be repeated and re-proven by others?

# NOAA/Sea Grant Funding and Fellowships

- Sea Grant sponsors a variety of marine research, outreach and education projects, primarily through the 33 state Sea Grant Programs.
- The National Sea Grant office offers two national fellowship opportunities for graduate students with an interest in ocean, coastal and Great Lakes resources.
- <http://seagrants.noaa.gov/FundingFellowships.aspx>

# NSF Graduate Research Fellowship Program (GRFP)

- The purpose of the NSF Graduate Research Fellowship Program (GRFP) is to help ensure the vitality and diversity of the scientific and engineering workforce of the United States. The program recognizes and supports outstanding graduate students who are pursuing research-based master's and doctoral degrees in science, technology, engineering, and mathematics (STEM) and in STEM education.
- [http://www.nsf.gov/funding/pgm\\_summ.jsp?pims\\_id=6201](http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=6201)

# NIH Training Grants and Fellowships

- NIH Training Grants and Fellowships are designed to develop or enhance research training opportunities in order to ensure that a diverse and highly trained workforce will be available.
- Training Grants are awarded to the institution and selection of participants determined by that institution
- Fellowship Grants are awarded to the individual fellow
- <https://researchtraining.nih.gov/programs/training-grants>

# Proposal Design and Preparation

# Proposal Preparation: Initial Questions to Address

- Who: Who will serve as PI? Who will also be involved?
- What: What type of funding mechanism?
- Where: Where will the work take place? Are there special clearances necessary at that location? Is it a remote site that may require more funds to utilize?
- Why: Why is the activity being proposed? Does it “fit in” to the sponsor’s mission?
- When: When will the project start and what is the anticipated duration?

# Write the Narrative

- Re-read RFP and any restrictions
- Refine the objectives
- Define the problem or needs statement
- Identify activities or methodology to achieve objectives
- Create an outline of the scope of work, including the milestones
- Determine how the project will meet the stated objectives
- Show how the sponsor is the most logical source of support and how it will serve the scientific area
- Draft narrative, with budget notes. Repeat and repeat

# Budget: The Financial Expression of Your Proposed Scope of Work

- Review your proposed scope of work and budget notes
- Estimate expenses necessary to complete the scope of work
- Work with the OSP for institutional rates such as salaries, fringe and Indirect Costs
- Make sure costs in narrative match costs in the budget/justification
- If this is a fellowship, determine if the scope of work can be completed with the funding available

# Criteria of a Good Budget

- Translates resource needs to dollars
- Conforms to agency guidelines
- Realistic estimates
- Supports the program
- Explains itself
- Plans ahead

# Understand Your Sponsor

- Workplan
- Sponsor's general funding range for program
- Cost sharing requirements
- Limits on allowable costs
- IDC special provisions

# Elements of Direct Costs

- Salaries and wages
- Fringe benefits
- Equipment
- Expendable supplies and materials
- Travel
- Subcontracts and consultants
- Other

# Unallowable Costs

(Should Not be Charged Against Federal Agreements or in the F&A Rate)

## Unallowable Activities

*(Something You Do)*

- **Organized Fund Raising**
- **Lobbying**
- **Commencement & Convocation**
- **General Public Relations & Alumni Activities**
- **Student Activities**
- **Managing Investments Solely to Enhance Income**
- **Prosecuting Claims Against the Federal Government**

## Unallowable Transactions

*(Something You Buy, A Line Item)*

- **Advertising (Some Types Allowed)**
- **Alcoholic Beverages**
- **Entertainment (including meals with inadequate substantiation of business purpose)**
- **Fines & Penalties**
- **Memorabilia, Promotional Materials (Allowable if Used for Employee Morale)**
- **Moving Costs If Employee Resigns Within Twelve Months**
- **Certain Recruitment Costs**

# Unallowable Costs

(When Charged Against Federal Agreements Or In the F&A Rate)

## Unallowable Activities

- Athletics
- Student Housing
- Campus Bookstore

## Unallowable Transactions

***(Something You Buy, A Line Item)***

- **Certain Travel Costs (i.e., First Class)**
- **Cash Donations To Other Parties (Such as Donations to Other Universities)**
- **"Golden Parachute" Severance Payments**
- **Interest (Except Interest Paid to Outside Parties for Certain Purposes)**
- **Memberships In Social, Dining, Or Country Clubs**

# Examples: Allowable Versus Unallowable Costs

- Meal expense on campus, no documentation of business purpose
  - Unallowable expense, insufficient documentation
- Travel expense related to the specific grant and its objectives (employee/student and spouse)
  - Employee's expenses allowable, (non-employee) spouse unallowable
- Alcohol served at a business function
  - Alcohol is unallowable
  - Bartender is also unallowable ("directly associated cost")
- Membership in airline courtesy club
  - Personal expense, unallowable expense

# Budget Justification: A Critical Part of the Budget

- Budget Justification
  - Tie back into workplan
  - Justify why
  - Level of detail required
  - Basis of cost

# Budget Justification

Salaries and wages:

*Senior Personnel:* The P.I.(a member of the Faculty of Medicine) is on a full-time twelve month appointment. This request is for 10% salary for each of the three years of the project. A 3% cost of living increase has been built in to years 2 and 3.

*Students:* One graduate research student for eleven months at 20 hours per week.

*Technical Data Assistant:* The staff position will perform data entry, analysis, report preparation and data coordination with the subcontractor.

Fringe benefits:

Benefit rates for the P.I. and staff are set at 25% of salaries for Year 1; 26% for Year 2; and 27% for Year 3. The student rate is 10% for all years.

# Budget Justification (cont.)

## Travel:

PI requires one visit with Dr. Brilliant at University X to demonstrate recording protocol. One professional meeting. Estimate includes airfare and per diem.

## Equipment:

The Textronics Model 1245 recorder and translator provides instantaneous readouts with improved sensitivity. The PI's laboratory has access to a Model 1240, which is unable to perform the sensitive analyses required for this research.

## Subcontract:

Costs for the collaborative research by Dr. Brilliant's laboratory at University of X are detailed in the attached budget from UX.

## Publication costs:

\$500 are requested for page costs and other costs incurred during publication of the results.

# Some Thoughts To Consider After The Award

# Award Receipt...

- Signature authority
  - Institutional requirements may require a faculty member to be lead PI and have signature authority for expenditure approval
  - This doesn't relieve you of the financial responsibility and compliance
- Working with OSP
  - Setting up the award
  - Monitoring expenditures
  - Compliance with any regulatory mandates (IRB, IACUC, Radiation, etc.)
- Documenting activities
  - Maintain research notebook, sponsor reporting requirements

# Managing Your Budget

- Monitor expenditures
- Prepare paperwork for salaries to ensure timely payment
- Refer to your budget for correct classification of expenditures
- Confer with departmental staff, faculty advisor and OSP to determine allowability and budget resources
- Expenditures must meet the reasonable, allocable, and allowable test in order to be charged to a grant.

# Closeout Is Inevitable

- Stay current on reporting dates
- Pay attention to notices that the project is coming to a close – most commonly issued 120, 90, 60 and 30 days prior to project end date
- Monitor programmatic progress and financial resources.....having money left in the budget is NOT an allowable reason for a no cost extension! Monitor your burn rate and confer with OSP for guidance
- Remember, last minute binge spending, prepaying for items used after the project ends, and stockpiling are not allowed.
- Remember, late programmatic reports reflect badly on you, your institution, and can prevent new awards from being issued.

# Questions/Comments?

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