Proposals 101

Clara Smith
Associate Director, Research
Center for Faculty Excellence
University of Oklahoma
Clara.Smith@ou.edu

Bonnie VanWinkle
Senior Proposal Administrator
Office of Research Services
University of Oklahoma
bvanwinkle@ou.edu

Center for Faculty Excellence

Community Engagement

Research & Creative Activities

Teaching

Faculty Growth, Leadership, and Resources

Writing

CFE Research & Creative Activities

Research & Creative Activities

This worksheet is intended to help you identify and prioritize professional development activities to help you reach your research and creative goals over your OU career.

Professional Development Plan	Resource Offerings
	Core Research and Creative Activity Skills 101 Proposals 101 108 Using the ORS Budget Template 110 Finding External Funding 111 Writing the 1-Page Summary 140 Sponsored Research and Compliance

This Year

Next Year

3-5 Years

And Beyond

Personal Development
110 Finding External Funding
111 Writing the 1-Page Summary
115 Increasing Research Group Productivity
211 Presenting Your Scholarly Self
312 Growing Your Community/Network
315 Research Leadership Development Series

Proposal Development
120 Defining Your Strategy to Pursue External Funding
126 External Funding for Humanities & Fine Arts
221 Engaging with the Department of Defense (DOD)
222 Intro to the NSF CAREER RFP
322 NSF CAREER Proposal Development Series
324 The Big Picture: Designing Long-term Contributions in

Navigating OU Systems
101 Proposals 101
104 Submitting an ORS Information Sheet (Info Sheet)
105 Internal Routing & Sponsor Accounts: Overview & Tips
107 The Office of Innovation & Corporate Partnerships
108 Using the ORS Budget Template
109 Post Award Overview
203 Budget Basics: Fundamentals, Spending, & Indirect Cost Series
303 Cost Share Basics

Research Compliance
140 Sponsored Research and Compliance
242 Foreign Influence (OEC)
246 Intellectual Property (OTC)

Navigating External Submissions
150 Introduction to Sponsors

CENTER FOR FACULTY EXCELLENCE
The UNIVERSITY *of* OKLAHOMA

3

Proposal Development

Clara Brett clara.brett@xx.edu

Define what you want

- What will you propose to do?

  - Propose work you want to do,

  - Work that fits with your strategic plan for your research and career path, long-term career goals

  - if you're missing a valuable expertise - find collaborators

- What are you looking to fund?

  - Your time,

  - Other's time: New position, Graduate/undergraduate student

  - Materials, equipment

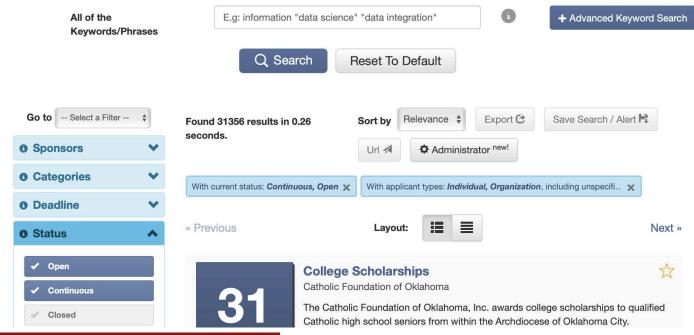- How does this fit in with you/your organization's larger strategy?

CENTER FOR FACULTY EXCELLENCE
The UNIVERSITY *of* OKLAHOMA

Look for funding opportunities

- Federal opportunities:
  - www.grants.gov: Single access point for 900 grant programs from 26 federal grant-making agencies
  - www.beta.sam.gov: Contract opportunities
- [GrantForward](#)
  - Fee based database available at no extra cost to people with an OU email address
  - More training in Finding External Funding webinar
- Foundation Center
  - Fee based database with information on 156,000 US Foundations
  - Available through [college advancement officer](#)

CENTER FOR FACULTY EXCELLENCE
The UNIVERSITY of OKLAHOMA

www.grantforward.com

Center for Faculty Excellence
The University of Oklahoma

Know Your Space

Review possibly relevant program areas

Review Recent Awards

How can your research support sponsor's mission and goals?

Contact your Program Officer

CENTER FOR FACULTY EXCELLENCE
The UNIVERSITY *of* OKLAHOMA

Know the players

- Find several organizations who fund efforts in your area

- Get on review panels (if applicable, like NSF)

- Follow what others are doing in the area

  – Attend conferences/meetings

  – Who are the leaders in the field?

  – Determine what is the current cutting edge

  – Keep current on publications in the field
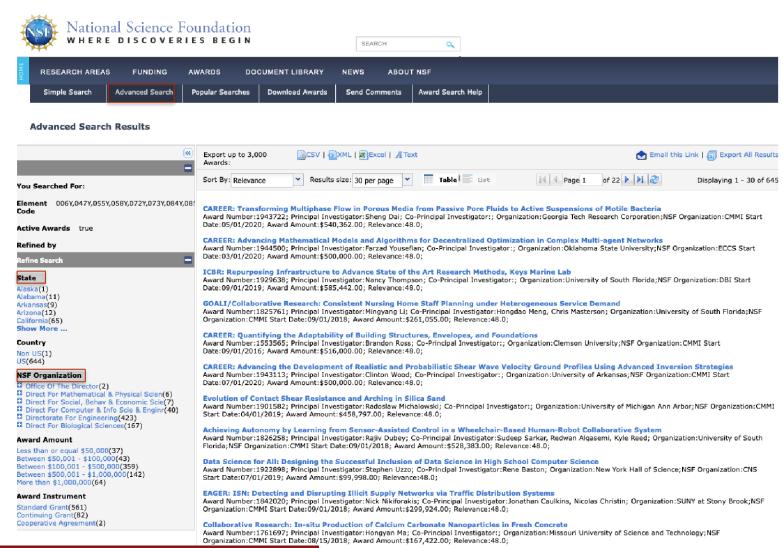
Read funding opportunity

Once you select a funding opportunity:

- Check eligibility
  - Higher education, non-profit
  - Single or multiple PIs
  - Special qualifiers: Diversity, HBI/HSI
- Find the minimum/maximum budget
  - Is cost-share required?
- What's the submission deadline?

Check Relevant Guidance

- Required proposal content

- Guidance is set at the federal level and remains at same level or more strict as you funnel down

  - Federal: Uniform Administration Requirements, Cost Principles, Audit Requirements

  - Agency: General, specific RFP, and submission guidelines.

  - State Requirements

  - Local Policy (e.g. University policies)

Review Recent Awards

Develop 1-page summary

Produce a succinct summary of your idea and why it's important

- Use the accepted format, if one exists
  - NSF: 1-page summary, DOD: quad chart
- Plan to answer 4 questions
  - What is the problem you're trying to solve?
  - What have others done to try to solve this problem? (literature review)
  - What is the gap? (What remains to be solved?)
  - What will you do to solve the problem?
- Have colleagues/CFE review

Who are you?

- Demonstrate your expertise, What makes you unique?

- Cultivate an interesting new idea

- How can you help them accomplish their goals?

What makes you unique?

- Why are you (and your team) the right person to accomplish this work
  - Expertise, Prior work
  - Individual professional experience, interests, etc.
  - Your institutional context
  - Highlight strengths others may not have

Cultivate a new idea

- Acknowledge what others have accomplished
- Bring in your knowledge from other areas
- What is the right scope and Research Questions
  - Do **not** promise more than you can do for the money you request
  - Be able to describe logically how you will accomplish the work

Help them achieve their goals

- Read the RFP to understand the funding organization's goals

- Use their words to describe what you propose to do

- Imagine how your successful work would turn into a newspaper article demonstrating their smart investment

CENTER FOR FACULTY EXCELLENCE
The UNIVERSITY *of* OKLAHOMA

Find Your Program Officer

PIs are strongly encouraged to contact their appropriate Program Officer*

- Discuss budget requests for their proposed activities

- Typical funding levels for their discipline,

- Ask if your idea fits their portfolio – or if they have ideas on where it might fit better

- Ask for feedback on your proposed idea

*It is in the Program Officer's best interest for you to submit a proposal that aligns well with their portfolio

Talk with Program Officers

- Send a **short** email to request a phone call
  - Describe your project in 1-2 sentences
  - Attach the 1-page overview
  - Ask 1-2 relevant questions
  - Ask if they would have time for a 15-min <u>call</u>
    - Provide several windows you are available

- Prepare for the conversation
  - Write down questions
  - remember what they've told you thus far
  - Practice the conversation with a friend

Proposal Key Elements

- Project Plan

- Budget

Plan for the Award Period

- An award period may range from months to 10-years.
  - Use appropriate start date
  - Timeline/Milestones: Proposed activities should make sense for the award period
- Be specific with goals, objectives, tasks, methods
  - They should be related, build upon each other
  - Reviewers should believe you know what is current and accepted practice in the field

Budgetary Information

- Budget

  – What funds do you need to pay for the work you propose to be completed?

  – Don't over-promise. Reviewers may discount your proposal if they think you're not asking for the right funding for what you propose to do.

  – [Access ORS budget template here](#)

- Budget Justification

  – A written document that describes in words how the funding will be used.

CENTER FOR FACULTY EXCELLENCE
The UNIVERSITY *of* OKLAHOMA

Intellectual Merit
Broader Impacts

Intellectual Merit

- Will the project **advance knowledge** and understanding within its own field or across different fields

- The extent to which the proposed activities suggest and explore creative, original, or potentially **transformative** concepts

Broader Impacts

- The potential to benefit society and contribute to the achievement of specific, desired societal outcomes.

- Training the future workforce

- Engaging the community

Community Engagement

- Partner with local organizations
- Tie into existing outreach programs
  - Precollegiate Programs
  - Upward Bound
  - Osher Lifelong Learning Institute

Contact: Joy Pendley @ CFE

Ancillary Documents

- Biosketches/CVs

- Current and Pending Awards

- Collaborators & Affiliations

- Facilities, Equipment and Other Resources

Biosketches and CVs

- Biosketches, CVs
  - Sponsors have guidance for length and content
    - Education/training
    - Appointments/jobs
    - Publications/Products
    - Other: Personal Statement (NIH), Synergistic Activities (NSF)
- Software programs
  - ORCiD: Global database to collect your education, appointments, publications, funding awards
  - SciENcv: Software managed by NCBI to create Biosketches and Current and Pending for NSF, NIH, IES

Contact: Clara Smith @ CFE
        ORCiD/SciENcv trainings held each month

Current and Pending/ Collaborators

List of current support including funded awards and pending proposals

- Ensures no scientific, budgetary, or commitment overlap in projects
  - SciENcv format (NSF)
  - NIH: Not required at submission, but may be requested during pre-award cycle

Collaborators

- NSF: Single document, uploaded as Excel file
- Used to manage the selection of reviewers during the review process
- Must be submitted by each PI, co-PI, senior personnel

Equipment & Facilities

- Demonstrate you are well equipped to carry out the proposed work
  - These are considered to be outside of your control but accessible (e.g. core facilities)
  - Where will research be conducted
  - Highlight equipment that will be utilized
  - Describe how it will increase the probability of success
  - Any special or unique facilities

Data Management Plan

- Describe how data will be handled and stored, including how to ensure access, security, and quality

- Preparations for dissemination and access after the award period

- Follow agency-specific guidance
  - NSF, for example
    - No more than two pages
    - If no data will be collected, submit a page stating: "No data are expected to be produced in this project."

- Contact: OU Libraries DMP Writing Tool

Institutional Review Board

Institutional Review Board (IRB): If you propose to work with human subjects

- IRB approval is not necessary at time of application (NIH, NSF)
  - Note as "pending" if IRB required. May need to be addressed in the proposal if marked pending.
- IRB approval is required by the time the project is funded
- Submit your proposed protocol

Institutional Animal Care and Use Committee (IACUC): If you propose to work with animals

- Submit your proposed protocol

Letter of Collaboration/Support

Letter of Collaboration/Support

- Demonstrates you have a relationship with people you name in the proposal

- Collaborator states they will do what the proposal says they will do

- Provide only relevant letters

- For NSF, follow template **exactly**

Letter of Endorsement

- Written to provide validation of the benefit of your proposal

- Funding organization may encourage or not allow

Understanding Proposal Submission/Award Administration in ORS

Bonnie VanWinkle
Senior Proposal Administrator
Office of Research Services
University of Oklahoma

VICE PRESIDENT FOR RESEARCH AND PARTNERSHIPS
The UNIVERSITY *of* OKLAHOMA

ORS: Who We Are and What We Do

The goal of the Office of Research Services (ORS) for the University of Oklahoma (OU) Norman campus programs is to function as a highly trained, customer service-oriented organization whose primary purpose is to support externally funded research and sponsored activities within the University community.

- **Research Information Services (RIS)**

- **Proposal Services (PS)**

- **Award Administration (AA)**

What is a sponsored project?

- External funds for any work that has deliverables, such as research, service, instruction, or training.

- Vast majority of sponsored projects are submitted through ORS.

- Some exceptions are:
  - Gifts, which are submitted through the OU Foundation
  - Fellowships or funds that are going to be paid to a PI directly

Proposal/Award Process Overview

- Step 1: Proposal Submission
  - Information Sheet
  - Budget
  - Routing
  - Proposal Documents
  - Submission

- Step 2: Proposal Award
  - Notice of Award
  - Award Administration
    - ✓ Sponsor-requested budget revisions
    - ✓ Contract negotiations
    - ✓ Compliance approvals, certifications and signatures
    - ✓ Account setup
    - ✓ Modifications, supplements, and no-cost extensions (NCE)
    - ✓ Research Financial Services (ReFS)

Award accounts can only be created if Step 1 is completed, bypassing Step 1, will result in a delay of during the award and negotiation phase (Step 2).

VICE PRESIDENT FOR RESEARCH AND PARTNERSHIPS
The UNIVERSITY *of* OKLAHOMA

Proposal Preparation Steps

Pre-ORS Activities

1. Find funding opportunity (FOA) – Carefully read the guidelines

2. Build your research team

3. Draft a 1-page summary

4 weeks

4. Submit information sheet to ORS at least four weeks before the sponsor deadline.

5. Receive budget/budget justification templates from your Proposal Services contact

6. Develop your budget and budget justification

7. Provide routing documents to your PS contact at least a week before the deadline

8. Finalize your proposal, upload your biosketch, current and pending, etc.

9. Work with ORS to ensure all required submission documents are included and complete

10. Formally submit proposal to the sponsor at least two days before the submission deadline.

What is an Information Sheet

The InfoSheet

- the first step of the ORS process
- provides basic proposal information
- puts your proposal in the queue
- can be changed/updated by ORS
- does not require proposal documents
- requires a conflict-of-interest (COI) disclosure
- training session offered through ORS

VICE PRESIDENT FOR RESEARCH AND PARTNERSHIPS
The UNIVERSITY of OKLAHOMA

When do I have to fill out an Infosheet?

- Any time external proposals are planned for submission

- At least four weeks prior to submission deadline

  - Subcontracts, cost share, special forms/certifications, or complicated instructions require more lead time

- Submitting the infosheet does not obligate you to submit a proposal

What is Internal Routing?

- Notifies those listed on the proposal, along with deans/chairs, of an upcoming proposal submission

- Package requirements
  - project summary/abstract/statement of work (can be a draft)
  - detailed budget, using OU budget template (final version)
  - budget justification (must match budget)
  - documentation of cost share, if applicable
  - subrecipient documents, if applicable

- Secures internal signatures - routing is required before submission of proposal

Subcontracts

- Subcontracts to OU require official paperwork from the organization.

  o Letter of Intent to Form a Subcontract Agreement – must be signed by an authorized individual of the organization

  o Statement of Work – specific to the subcontract's portion of the project

  o Budget and Budget Justification – specific to the subcontract's portion of the project

- OUHSC is a separate entity from OU Norman – any funds flowing between our organizations are normally a subcontract.

- If OU is a subaward we need to provide the required subcontract documents to the lead organization.

Cost Share

- Check your guidelines to see if cost share is required. Most sponsors do not require cost share but if they do, it will be clearly specified in the solicitation.

- A training session focused specifically on cost share is offered through ORS. Visit our [website](#) for more details.

Indirect Costs (IDC)
Facilities & Administrative Costs (F&A)

- IDC are costs that cannot be easily attributed to a specific sponsored project

    o laboratories and facilities usage

    o building maintenance

    o Utilities

    o general grant administration and accounting

    o other University services

- The negotiated pre-determined IDC rate for on-campus research is 55% of modified total direct costs (MTDC).

    o If an IDC rate is restricted and published in the solicitation, ORS will honor that rate.

    o Alternative IDC rates

Obtaining Sponsor Accounts

- Normally, proposals are submitted using OU's organizational registration, so PIs do not create their own. However, you can obtain a grants.gov registration if you are submitting a fellowship paid directly to you or if you are simply researching solicitations.

- Links to account requests for frequently used portals can be found on our website.

- For other systems, we recommend you contact Proposal Services to discuss whether ORS has an account or if the PI should create one.

VICE PRESIDENT FOR RESEARCH AND PARTNERSHIPS
The UNIVERSITY of OKLAHOMA

Signature Authority

- For most sponsored project actions, signature authority must be authorized by the Board of Regents of the University of Oklahoma.

- Also known as
  - authorized official
  - official signature
  - signing official
  - administrative official

- The <u>most important</u> take away is that researchers should not sign anything without proper authorization.

Deadlines

- Be sure to check the deadline time (e.g., local; Eastern).
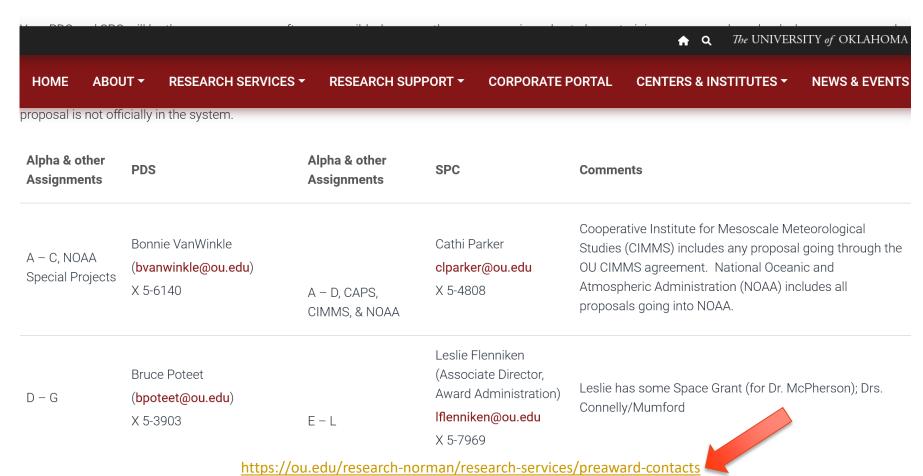
- Most sponsors will not accept proposals submitted even one minute late.

- Our office closes at 5:00pm, so please try to submit at least two days prior to the sponsor deadline…we would prefer one week prior.

- We try our best to accommodate everyone, but short turnaround/last minute proposal submissions can cause problems, especially when there are heavy deadlines.

Some Friendly Reminders

- If you have a question or concern, email your <u>ORS contact</u> as soon as possible.

- Timing may affect whether an action can be done…submitting earlier is always better.

- If you are contacted about an audit, please reach out to ORS or <u>Research Financial Services</u> (ReFS) for guidance.

VICE PRESIDENT FOR RESEARCH AND PARTNERSHIPS
The UNIVERSITY of OKLAHOMA

Pre-Award Team Contacts

Proposal Development Specialists (PDS) and Sponsored Program Coordinators (SPC)

proposal is not officially in the system.

Alpha & other Assignments	PDS	Alpha & other Assignments	SPC	Comments
A – C, NOAA Special Projects	Bonnie VanWinkle (bvanwinkle@ou.edu) X 5-6140	A – D, CAPS, CIMMS, & NOAA	Cathi Parker clparker@ou.edu X 5-4808	Cooperative Institute for Mesoscale Meteorological Studies (CIMMS) includes any proposal going through the OU CIMMS agreement. National Oceanic and Atmospheric Administration (NOAA) includes all proposals going into NOAA.
D – G	Bruce Poteet (bpoteet@ou.edu) X 5-3903	E – L	Leslie Flenniken (Associate Director, Award Administration) lflenniken@ou.edu X 5-7969	Leslie has some Space Grant (for Dr. McPherson); Drs. Connelly/Mumford

https://ou.edu/research-norman/research-services/preaward-contacts

VICE PRESIDENT FOR RESEARCH AND PARTNERSHIPS
The UNIVERSITY *of* OKLAHOMA

Helpful Websites

- Office of the Vice President for Research and Partnerships (OVPRP)

  - https://ou.edu/research-norman

- Office of Research Services (ORS)
  - https://ou.edu/research-norman/research-services/research-services-home
  - https://ors.ou.edu/proposal/infosheet/infotype/CMSInfosheet.asp

- Center for Faculty Excellence – Clara Smith
  - https://www.ou.edu/cfe

Office of Research Services

The goal of the Office of Research Services (ORS) under the Vice President for Research and Partnerships (VPRP) is to function as a highly trained, customer service-oriented organization whose primary purpose is to support externally funded research and sponsored activities within the university community. ORS has responsibility for pre-award and award administration on the Norman campus and

For general questions, pl... (405) 325-4757, or contact us at **ris@ou.edu**.

Calculate Your S...   ...meline(MM/DD/YYYY):

mm / dd / yyyy

Enter the Sponsor Dea...

Office of Research Serv...

| HOME | ABOUT ▲ | RESEARCH SERVICES ▲ | RESEARCH SUPPORT ▼ | CORPORATE PORTAL | CENTERS & INSTITUTES | NEWS & EVENTS ▼ |

Office of Research Services Home

Submit a Proposal Information Sheet

Funding Opportunities ▸

Proposal Development

Proposal Submission

Award Administration

Guidance

Compliance

Training

Rates & Reports

FAQ

Statistics

Institutional Information

Research Infor... ⌄

Proposal Servi... ⌄

Award Admin... ⌄

Training and Development ⌄

Data Management ⌄

Tweets

University of Oklahoma Research

...Aquifer), which runs from South Dakota to Texas and irrigates about one-sixth of world grain production, is being drained far faster than rain can replenish it, especially as heat and drought get worse."

♡   ⬀   1h

University of Oklahoma Research
@OUResearch

(1/2) "Running Out: In Search of Water on the High Plains," a new book by Lucas Bessire, OU professor of anthropology, was featured by Climate Fwd: in the New York Times. The article states, "The book bursts with passages that linger after reading." nytimes.com/2021/08/18/cli...

Embed   View on Twitter

https://www.ou.edu/research-norman/research-services/research-services-home

49

Questions?