What is a Proposal & How do I get started?

Office of Sponsored Research
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What is a Proposal?

A research proposal is a document proposing a research project, generally in the sciences or academia, and generally constitutes a request for sponsorship of that research. Proposals are evaluated on the cost and potential impact of the proposed research, and on the soundness of the proposed plan for carrying it out.
"Your proposal was second to none. We went with none."
WHAT DO I NEED TO KNOW TO GET STARTED?
TYPES OF SPONSORS

- FEDERAL
- STATE
- LOCAL
- NON-PROFIT or NOT-FOR-PROFIT
- FOR-PROFIT
- INTERNATIONAL
FUNDING MECHANISMS

• GRANTS

• CONTRACTS & AGREEMENTS-Federal, Industry & Non-profit

• COOPERATIVE AGREEMENTS

• TRAINING AWARDS

• SUBAWARD

• GIFTS

• ENDOWMENTS
GRANTS

• Flexible funding mechanism to support public purpose (i.e. assistance mechanism)
• Investigator Initiated
• Flexibility to change Scope of Work, Budget, Etc.
• More freedom to adapt project and less responsibility to produce results
• Usually only annual report but some sponsors have other requirements such as quarterly
• Usually comes with some kind of terms and conditions
• Federal grants fall under Uniform Guidance (Formerly OMB Circulars)
• Diligent efforts are used in completing research and the delivery of results
FEDERAL CONTRACTS

• Used as a procurement funding mechanism (i.e. buyer/seller) for the direct benefit or use of the U.S. Government. Typical PO numbers or Task Orders are used.

• Relatively inflexible as to scope of work, budget, and other changes

• Significant emphasis placed on delivery of results, product or performance

• Require frequent reporting
• Failure to perform can result in potential legal action or financial consequences—a binding agreement

• May be unilaterally awarded at proposal stage without ability to negotiate terms and conditions

• Federal Contracts fall under Federal Acquisition Regulations (FAR)

• How can you tell it falls under a contract: (1) FAR language; (2) Contract No. begins with HHSN or N01; (3) Cover page will indicate a contract
COOPERATIVE AGREEMENTS

• Assistance mechanism where the sponsor and the scientist work together during the performance of the research.

• Sponsor and scientist both responsible for ensuring the best and most important research is conducted and completed.

• Most of NIH “U” funding mechanisms are cooperative agreements: U01, U10, U13, U19, U24, U43, U44, U54, UM-1.
COOPERATIVE AGREEMENTS CONT.

- Will typically come in the form of a Request For Application (RFA)
- Can come in the form of a Program Announcement Research (PAR) under the RFA
SPONSOR FUNDING ANNOUNCEMENTS

TYPES OF ANNOUNCEMENTS

• Program Announcement (PA)

• Program Solicitation (PS)

• Request for Application (RFA)

• Request for Proposal (RFP)
TYPICAL COMPONENTS OF A FUNDING ANNOUNCEMENT

• SOLICITATION OR FUNDING OPPORTUNITY NUMBER

• FUNDING OPPORTUNITY TITLE

• SUMMARY OF PROGRAM REQUIREMENTS INCLUDING PI

• QUALIFICATIONS

• FUNDING OPPORTUNITY PURPOSE

• KEY DATES INCLUDING DUE DATE
TYPICAL COMPONENTS OF A FUNDING ANNOUNCEMENT CONT

• APPLICATION INSTRUCTIONS

• FUNDING OPPORTUNITY DESCRIPTION

• FUNDING INSTRUMENT (GRANT OR CONTRACT)

• APPLICATION TYPES ALLOWED

• AWARD BUDGET

• PROJECT PERIOD
TYPICAL COMPONENTS OF A FUNDING ANNOUNCEMENT CONT

• ELIGIBLE ORGANIZATIONS

• COST SHARING

• NUMBER OF APPLICATIONS

• APPLICATION PACKAGE

• CONTENT OF APPLICATION
TYPICAL COMPONENTS OF A FUNDING ANNOUNCEMENT CONT

• FUNDING RESTRICTIONS

• OTHER SUBMISSION REQUIREMENTS

• POST SUBMISSION MATERIALS

• APPLICATION REVIEW INFORMATION

• REVIEW AND SELECTION PROCESS

• AWARD ADMINISTRATION INFORMATION
TYPICAL COMPONENTS OF A FUNDING ANNOUNCEMENT CONT

• AGENCY CONTACTS

• AUTHORITY AND REGULATIONS

• CONFLICT OF INTEREST (IMPORTANT!!! – Check First)
BECOME FAMILIAR WITH THE LIFE-CYCLE PROCESS

https://research.unc.edu/sponsored-research/
HOW DO I GET STARTED?

Ask ??? Early!

- Monthly/Quarterly – who is submitting a proposal—be proactive not reactive!
- Know your departments sponsors and their usual deadlines
- Review sponsor web portals – look for tutorials
- Have templates readily available
- Ask for the URL or the solicitation to the sponsor guidelines for the proposal early for your pre-review
- Review very carefully and multiple times! (refer back to slide on typical components)
HOW DO I GET STARTED CONT.

• Know how your PIs prefer to submit
• Which PIs prefer to handle everything
• Which PIs prefer to have you handle everything but the science
• Meet with your PIs!
RAMESES ELECTRONIC INTERNAL PROCESSING FORM (IPF)

• For a full review by OSR, please route 5 days or more prior to the deadline. Link to internal deadlines below.

• Link to submission routing guidelines:
  https://research.unc.edu/sponsored-research/operating-standards/#300.3 and http://research.unc.edu/files/2014/05/SOP-Internal-Deadlines-FINAL-5-7-2014.pdf

• Link to IPF submission instructions:
IPF Routing Structure:
https://research.unc.edu/2017/05/24/revised-ramses-ipf-routing-structure/

- Proposal will route to OSR/SPO/OCT immediately after approval by the administrative award department.
- Central office may review while proposal concurrently routes to affiliated departments for approval or rejection.
- All affiliated departments will have either 2 business days or by the sponsor deadline (whichever comes first) to approve or reject the IPF.
- If affiliated department does not actively approve or reject the IPF within above timeframe, RAMSeS passively approves the IPF allowing central office to approve and submit.
Always make sure that the following items are completed on the IPF:

- A minimum of 1% effort for the Lead PI
- PI Eligibility
- Budget amounts and correct F&A
- Cost share if any
- F&A waiver if applicable
- Independent contractors information
- Subcontractor information if applicable
- The PI has certified the IPF
- Helpful if a pdf of the funding announcement is uploaded in attachments. Links get broken over time.
REMINDERS

Include the following attachments when the IPF is created (list is not all inclusive depending on your funding mechanism:

• Budget
• Budget Justification
• Scope of Work
• PDF of funding announcement
REMINDERS

• Any supporting documents such as:

  1. Subcontractor Letter of Inter, Budget, Justification, Scope of Work
  2. F&A Waiver
  3. Cost share form

https://research.unc.edu/sponsored-research/operating-standards/#300.3

and

http://research.unc.edu/files/2014/05/SOP-Internal-Deadlines-FINAL-5-7-2014.pdf
WHY IS THE IPF SO IMPORTANT?

List not all inclusive

• Captures important information about your proposal-inputted information needs to be accurate
• Accurate information helps the centralized UNC office review your proposal prior to submission
• UNC uses IPF information to analyze whole research portfolio
• Individual schools use IPF information for marketing purposes to attract future students and donors
• Individual schools may use IPF information for NC legislation
• UNC/Individual schools use in the accreditation process
• Success rate: from proposal to award
Get to know your Sponsored Projects Specialist!

Come out to OSR for a meet & greet with your Sponsored Projects Specialist!