Planning your Grant Proposal: Working with Sponsored Programs Administration

PI Academy for Research and Engagement
December 11, 2015
# Common Funding Streams

<table>
<thead>
<tr>
<th>Sponsored Program</th>
<th>Gift/Donation</th>
<th>Private Consulting</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Uses university resources and advances institutional mission</td>
<td>• Uses university resources and advances institutional mission</td>
<td>• Rarely uses university resources</td>
</tr>
<tr>
<td>• Formal reporting requirements (including financial) or expectation for deliverables</td>
<td>• Minimal reporting requirements, if any</td>
<td>• Consulting related to individual’s area of expertise and consistent with university mission</td>
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<tr>
<td>• May be competitively sought and awarded through a peer review process, <em>but not always!</em></td>
<td>• No expectation of intellectual property rights</td>
<td>• Prior approval from home unit and Provost</td>
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<tr>
<td>• Intellectual property expectations</td>
<td>• Funding is irrevocable</td>
<td>• Managed directly by the faculty member, no funding to the university</td>
</tr>
<tr>
<td>• Managed through Sponsored Programs Administration</td>
<td>• Managed through NIU Foundation or Northern Illinois Research Foundation</td>
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*NIU*
## Components of a Typical Proposal

<table>
<thead>
<tr>
<th>Common Heading</th>
<th>Completes/Reviews</th>
<th>Answers the Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency Forms</td>
<td>SPA/PI</td>
<td>Who are we?</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>SPA/PI</td>
<td>What’s in the proposal?</td>
</tr>
<tr>
<td>Abstract*</td>
<td>PI/SPA</td>
<td>What’s the big picture?</td>
</tr>
<tr>
<td>Problem Statement</td>
<td>PI/SPA</td>
<td>Why should we do this now?</td>
</tr>
<tr>
<td>Goals/Aims</td>
<td>PI/SPA</td>
<td>What are we trying to accomplish?</td>
</tr>
<tr>
<td>Measurable Objectives</td>
<td>PI/SPA</td>
<td>What will be different?</td>
</tr>
<tr>
<td>Procedures</td>
<td>PI/SPA</td>
<td>What exactly are we going to do and when?</td>
</tr>
<tr>
<td>Evaluation</td>
<td>PI/SPA</td>
<td>How will we know if our idea works?</td>
</tr>
<tr>
<td>Dissemination/Data Management</td>
<td>PI/SPA</td>
<td>Who else will benefit? How will we share data?</td>
</tr>
<tr>
<td>Facilities*</td>
<td>PI/SPA</td>
<td>Do we have the necessary resources/capacity?</td>
</tr>
<tr>
<td>Personnel</td>
<td>PI/SPA</td>
<td>Who will do the work? Are they qualified?</td>
</tr>
<tr>
<td>Budget &amp; Justification</td>
<td>SPA/PI</td>
<td>How much will it cost?</td>
</tr>
<tr>
<td>Biographical Sketch*</td>
<td>PI/SPA</td>
<td>Who are the players?</td>
</tr>
<tr>
<td>References</td>
<td>PI/SPA</td>
<td>Whose work are you building on?</td>
</tr>
<tr>
<td>Appendices</td>
<td>PI/SPA</td>
<td>What else do the funders need to make a decision?</td>
</tr>
</tbody>
</table>
Life Cycle of a Proposal

Idea/RFP
- Contact SPA RDS

Narrative, draft, get feedback, revise

Draft budget, get permissions if needed

Narrative finalized and budget finalized

Start internal routing process

SPA submits proposal to the agency

Days before agency submission deadline

<table>
<thead>
<tr>
<th>Days before</th>
<th>Business Days</th>
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<tr>
<td>90+</td>
<td>60</td>
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<tr>
<td>60</td>
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<td>14</td>
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<tr>
<td>5</td>
<td>3</td>
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<tr>
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<td>0</td>
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</table>
SPA Support Menu: 60 + days

Meet to discuss project ideas

Find funding / evaluate funding opportunities for fit

Advise on potential collaborative arrangements; arrange and attend early team meetings

Prepare a white paper to share with potential sponsors

Develop an early draft budget to determine general resource needs
SPA Support Menu: 30 – 60 days

- Provide development timeline with responsibilities for proposal components
- Provide templates and language for, and substantive feedback to proposal documents
- Arrange and attend project team meetings; clarify and categorize collaborative arrangements
- Advise on campus resources to support proposal and project
- Assist with cost share and other budgetary/administrative arrangements
SPA Support Menu: 14 – 30 days

- Develop time line of internal deadlines
- Coordinate with collaborators on budgetary, administrative matters
- Assist with cost share and other budgetary/administrative arrangements
- Budget development support; provide feedback to proposal documents
- Advise on available campus resources to support proposal and project
SPA Support Menu: 7 – 14 days

- **Finalize cost share and other administrative arrangements**
- **Collect final budgetary, administrative, and proposal documents from collaborators**
- **Begin institutional review process**
- **Final review of proposal documents: compliance with sponsor and NIU requirements**
- **Finalize budget and justification**
Institutional Review Process

• Grant and contract proposals must be reviewed and approved by SPA before submission to the funding agency.
  – Institutional review is required to ensure that the proposed research activity is in line with NIU and sponsor policies.
    *because...*
  – If the proposal is awarded, a legal agreement between the agency and NIU results.
  – NIU’s Authorized Official has legal authority to commit the institution to carry out the proposed work.
SPA Support Menu: 2 – 7 days

- Finalize all documents
- Complete application forms and assemble attachments
- Obtain authorized signature
- Create Table of Contents, paginate proposal, print and copy for mailing, etc.
- Institutional review process complete
SPA Support Menu: 0 – 2 days

- RDS and PI in contact with each other
- SUBMIT PROPOSAL!
  - Final check of compiled application (by RDS and PI)
  - Obtain proposal submission receipts
- If possible, obtain and review proposal as submitted

If possible, obtain and review proposal as submitted
SPA Support Menu: Post-Submission

• Tell us about any sponsor contacts or requests
• Revised budget requests
• “Just-in-Time” requirements:
  – Compliance approvals
  – Human subjects certifications
  – Effort reports
  – Clarification requests
• Institutional approval may be required for project changes
Menu of SPA Services: You have an award!

- Review terms and conditions of the award agreement
- Revise budget if award is less than requested
- Check status of compliance approvals
- Secure final/missing documentation of collaborative arrangements

REMEMBER: Do not negotiate terms and conditions without SPA.
SPA Support Menu: If your Proposal is Declined...

- Talk with your RDS about your reviews
- Talk to your agency contact
- Seek advice from mentors/colleagues
- Consider NIU’s SPIR Program (Division of Research & Innovation Partnerships)
- Re-evaluate, revise and resubmit
- Look for other potential funders
How SPA Supports Collaborative Proposals

• Identify internal expertise and services
• Assist with finding external partners
• Help to find collaborative & team-based funding
  [http://www.nordp.org/funding-opportunities](http://www.nordp.org/funding-opportunities)
• Help define the role(s) of your collaborator(s)
  – Consultant, subrecipient, or vendor?
• Document the relationship in the proposal
What will you choose from the menu?

- Think about your own working style
- Help us to develop the best working relationship with you individually
- The menu is flexible for each proposal
- Menu may also change depending on what is required and office workload
Contracts

• Sponsor paying for specific deliverables vs funding a project driven by the PI’s interests
  – May be overlap between the two, but emphasis always on sponsor needs and requirements

• Shorter turnaround time, impacted by
  – Sponsor motivation / urgency
  – Negotiation process
SPA Contract Support

Review statement of work; draft budget

Contact sponsor legal rep to discuss terms and conditions

Route for institutional approvals

Finalize negotiation of terms and conditions, scope, and budget

Process contract award

NIU
Working with Sponsored Programs

Award Management
Funding Development
Award Negotiation & Acceptance
Proposal Development
Proposal Review and Submission

We’re with you every step of the way!
Welcome Faculty Panel!

Wes Swingley
Assistant Professor, Biological Sciences

David Bridgett
Assistant Professor, Psychology

Christina Papadimitrou
Associate Professor, Nursing