



Grants

Workshop #3
Proposal Preparation

Office of Research and
Creative Activities

Preliminary Considerations

- **Gift** - any external funds that come with no strings
 - LDS Philanthropies receives all gifts for BYU
- **Contract/Grant** - any external funds that carry any sort of strings, e.g. Deliverables, expenditure reports, limits on publishing...any quid pro quo arrangement.
 - ORCA receives all contracts and grants for BYU

Proposal Preparation Game

- Writing Technique - Past Events: Expository and Future Events: Persuasive
- Proposal success rates average 15-30%
At NIH (2009) 8-10% on 1st submission
28% on 2nd submission
- More than half (60%) are rejected on the first reading because:
 - Proposal did not match program RFP
 - Applicant did not follow proposal directions
 - Application done sloppily with obvious proofreading errors.

Sponsor Instructions for Funding Opportunity

- Request for Proposal (RFP)
- Request for Quote (RFQ)
- Broad Agency Announcement (BAA)
- Funding Opportunity Solicitation

Elements of Solicitation/RFP/RFQ/BAA

- Title of Program
- Synopsis/Summary of Program
- Cognizant Program Officers
- Eligibility Information & Limitations
- Proposal Preparation & Submission Instructions

The Classic Request for Proposal (RFP)

- Proposals are likely to require the following:
 - Abstract - a 1-2 page summary of the project
 - Application Checklist - a list of all proposal elements
 - Narrative Statement - the text of the proposal, is tied to the goals and takes into account any ratings factors given by the Sponsor.
 - Budget Form - a Sponsor form that lists the line-by-line, year-by-year items of anticipated financial costs.

The Classic Request for Proposal (RFP)

- Budget Justification - detailed description of select budget items and formulas used to determine various costs
- References cited - a list of previous research done in the field that is referred to or needed to know as a basis or foundation for the work being proposed
- Facilities - a description of the physical space and equipment that is available to do the work proposed.
- Biographical Sketch(s) of Principal Investigator

The Classic Request for Proposal (RFP)

- Indirect Costs - a statement of established, approved indirect cost rate; also known as overhead
- Matching - a statement listing the costs to be borne by the institution in support of a project; also known as cost sharing
- Current & Pending Support - what else are the faculty investigators doing?
- Appendix - required documents which support and confirm the grant and budget request. If a document is not required, don't put it in the Appendix.

Basic Proposal Pieces

- BYU Summary Sheet
- Budget
- Text or statement of work proposed to be done
- Sponsored format and boilerplate

Summary Proposal Sheet

- The current Summary Proposal Sheet is available at <http://orca.byu.edu/grants-contracts/Forms.php>

5/15/13		Brigham Young University				Version: 04/07/2012		
2013 ORCA Proposal Summary Sheet Cover Page								
P.I.	First Name	Last Name	Route Y	Office	Department	College	Phone	E-mail
1								
2								
3								
4								
Dept Contact								
College Controller								
Sponsor:							Proposal Deadline:	
Address:							ORCA to send Proposal:	
Address:							PI to send Proposal:	
City, ST							Proposed Start Date:	
Zip:							Proposed End Date:	
Attn.:							Project Length in Months:	
Fill in Title directly below								
Proposal Title:								
Budget: Calculate on Page 2, see black tab below.								
	So	Yearly Budget (This box will be pre-populated from the Budget Page on p. 2)						
	So	Proposed Project Budget (This box will be pre-populated from the Budget Page on p. 2)						
Yes/No		Was the Full Indirect Cost Rate of 50% used on the budget?						
Yes/No		Is Cost Sharing or Matching required by Sponsor?						
Yes/No		Are human subjects involved?						
Yes/No		Are animals involved in the research?						
Yes/No		Are there any biohazards or select agents involved?						
Yes/No		Are there any publication restrictions?						
* The requirement of a Financial Conflict of Interest (FCOI) declaration /disclosure is a new federal regulation that took effect August 24, 2012.								
Are there any Financial Conflicts of Interest (FCOI)? To determine if there are FCOI, complete the declaration below. If questions, see FCOI Instructions at orca.byu.edu/forms .								
DECLARATION (Yes/No)		Do you have an interest in, or have received payments for services exceeding \$500 in a 12 month period from a business, non-profit entity, or another institution directly related to this current research proposal or award?						
DECLARATION (Yes/No)		Have you received reimbursed travel or sponsored travel relating to your institutional responsibilities from a business, non-profit entity, or another institution? Include purpose of trip, sponsor/organizer, destination and duration in any disclosure.						
> If either of the boxes above are answered "Yes", the P.I. must also complete the Financial Conflict of Interest Disclosure form in addition to this summary sheet. > If both boxes are "No", complete and sign this summary sheet only.								
Yes/No		Are copyrights or patentable products possible as a result of this project? Please be aware that federally sponsored projects require assignment of patent rights to the institution performing the research. Refer to the 'Intellectual Property Policy' for specific details.						
IRB Assurance No.: FWA-00001266			DUNS No.: 00-909-4012					
Federal ID: 87-0217280			CAGE Code: 52534					
Congressional Dist.: UT-003			IACUC Assurance No.: A3783-01					
Rate Agreement Date: 12/15/2011								
Electronic Signatures are accepted. Type in your name and e-mail this summary sheet to the next person on the signature list. Typed names, received from correct email addresses will constitute an approved signature.								
P.I. must complete the FCOI area in gray to the left.								
Principal Investigator (P.I.) Date								
We approve the project, including faculty commitment and cost sharing, and certify that the indirect costs, space, equipment, computer time, etc., required for this project are available and/or budgeted herein.								
* If either declaration box (at left) is 'Yes', the Chair's and Dean's offices must also review and sign the FCOI Disclosure Form that should be attached to this summary sheet. If both boxes are 'No', only this summary sheet must be signed.								
efore signing, see note above								
Department Chair * See note above						Date		
efore signing, see note above								
Dean / Assoc. Dean * See note above						Date		
ORCA						Date		
Institutional Official						Date		

Summary Proposal Sheet

- The current Summary Proposal Sheet is available at <http://orca.byu.edu/grants-contracts/Forms.php>

BYU 1 to 5 Year(s) Proposal Budget -- 2013							Page 2 of 2	
		Year 1	Year 2	Year 3	Year 4	Year 5	Cumulative	
Description		Start Date	End Date					
5000	Administrative Salaries						\$0	
5000	Benefits @	64.6%		\$0	\$0	\$0	\$0	
5194	Postdocs/Visiting Faculty						\$0	
5910	Benefits @	23.4%		\$0	\$0	\$0	\$0	
5100	Faculty (Fall / Winter) & Res. Assoc.						\$0	
5910	Benefits @	60.7%		\$0	\$0	\$0	\$0	
5260	Faculty Spring/Summer						\$0	
5920	Benefits @	40.2%		\$0	\$0	\$0	\$0	
	Research Staff						\$0	
5910	Benefits @	60.7%		\$0	\$0	\$0	\$0	
5240	Faculty Supplemental (used rarely, contact ORCA)	7.6%					\$0	
5300	Part Time Faculty						\$0	
5930	Benefits @	7.6%		\$0	\$0	\$0	\$0	
5400	Full Time Staff						\$0	
5940	Benefits @	84.1%		\$0	\$0	\$0	\$0	
5700	Part Time Staff						\$0	
5970	Benefits @	40.9%		\$0	\$0	\$0	\$0	
5570	Students (Contract)						\$0	
5670	Students (Timecard)						\$0	
5950/50	Benefits @ *optional	7.6%					\$0	
6100	Supplies						\$0	
6125	Publications						\$0	
8910	Consultant(s) Totals from Subs Page			\$0	\$0	\$0	\$0	
8920	Subaward(s) Totals from Subs Page			\$0	\$0	\$0	\$0	
	Other, state code						\$0	
7000	Travel, Domestic						\$0	
7050	Travel, Foreign						\$0	
6203	Tuition / Insurance (no indirect costs)						\$0	
8930	Capital Equipment (no I.C.) > \$5K						\$0	
8940	Non BYU Conf. Participants (no I.C.)						\$0	
	Other, state code						\$0	
Total Direct Costs				\$0	\$0	\$0	\$0	
On-Campus Direct Cost Base				\$0	\$0	\$0	\$0	
Off-Campus Direct Cost Base							\$0	
8990	Indirect Costs (On-Campus) @ 50%			\$0	\$0	\$0	\$0	
8990	Indirect Costs (Off-Campus) @ 26%			\$0	\$0	\$0	\$0	
TOTAL COST TO SPONSOR				\$0	\$0	\$0	\$0	
<i>Not all 5 yearly columns need be used. Use only the ones you need, leave the rest blank.</i>								
Cost Sharing/Matching from BYU				\$0	\$0	\$0	\$0	
Use Cost Sharing/Matching only when necessary		<i>Cost Sharing Amounts are populated from the Cost Sharing page (see Excel worksheet green tab below)</i>						
* Optional Benefits for Students: Benefits for students are NOT required for student when they are taking full time load of classes, such as during Fall and/or Winter Semesters. When a student is not taking a full course load such as in the spring or summer, benefits will be required. Faculty should make their best estimate of what percentage of student contracts & wages would fall								

Budgeting - Faculty Salaries

- Basis of pay is 8 months base plus 1-2 months depending on length of academic contract.
- Spring/Summer pay is by percentage of a month (1/4 month, 1/2 month, etc)
- Pay must be in proposal to be honored after the award.

Budgeting - Pay Rates

- Faculty are paid at their academic pay rate.
- Staff are paid at their annual BYU pay rate.
- Students are paid as either timecard (hourly) or contact.
 - Student rate schedule is available from Student Salary Services Office
 - Actual student pay varies from college to college; consult your controller for ranges.

Budgeting - Fringe Benefits

- The Benefits Rate is re-calculated every year with DHHS, our cognizant federal agency.
- The current Proposal Summary Sheet will automatically calculate the fringe benefits rate for you.
- Proposal Summary Sheet is available at <http://orca.byu.edu/grants-contracts/Forms.php>

Budgeting - Consultants & Subcontracts

- Indirect costs are only applied to the first \$25,000; after that, it is indirect cost free for the length of the project.
- The spreadsheet will automatically calculate the correct indirect costs for up to two subcontracts. If you have more than two subcontracts, see an ORCA administrator.

Budgeting - Travel

- Be prepared to differentiate between domestic and foreign travel.
- If possible identify expected trips with the following detail:
 - Who is to travel
 - Why is the trip necessary
 - Estimate airfare, hotel, rental car, etc

Budgeting - Capital Equipment

- Any piece of equipment that costs in excess of \$5,000 is classed as Capital Equipment
- There are no indirect costs on Capital Equipment
- Anything costing less than \$5,000 each becomes classed as supplies

Budgeting - Tuition, Fellowships, Scholarships

- Tuition, Fellowships, Scholarship, and Insurance must have specific sponsor approval
- These kinds of budget items are common to training grants
- These do not create an employer-employee relationship
- These cannot be used in lieu of wages

Budgeting - Cost Sharing or Matching

- Cost sharing/matching should only be done if required by the Sponsor
- These are BYU funds spent on a project to help support the statement of work

Grants.gov

- Available at <http://www.grants.gov>
- Electronic proposal submission system for the Federal government
- Gatekeeper for every federal agency...usually...
- Don't use grants.gov for proposals to the National Science Foundation (NSF)
- Watch the request for proposal (RFP) as it may direct you to another system for just that funding opportunity

Grants.gov

- When proposing to NIH through grants.gov, make sure all faculty are set up as users with NIH's Commons. This is required and will cause a proposal to be reject before it is reviewed!
- Call ORCA for details on how to access NIH Commons

National Science Foundation FastLane

- Available at <https://www.fastlane.nsf.gov>
- Much more user friendly than grants.gov
- Tracks proposals, awards, amendments, etc.
- To register as a FastLane user call ORCA

National Science Foundation FastLane

- When the proposal is done...
- Proposal and Proposal Summary Sheet to Chair for signature
- Then to Dean's Office for signature
- Then to ORCA
 - Institutional Review and signature from ORCA and the Associate Academic Vice President
 - ORCA requires 3-5 day lead time

Submission of Proposals

- Grants.gov - ORCA staff is set-up and authorized to submit proposals through grants.gov on behalf of BYU
- NSF's FastLane - As above, ORCA is the BYU office that is authorized to submit proposals on behalf of the faculty
- Private Sponsors - Once the institutional review is done by ORCA, either the faculty principle investigator or ORCA can do the actual submission

Last thing to remember

- Preparing a research proposal is a little like voting in Chicago...
 - see ORCA early and often!