

PROPOSAL DEVELOPMENT OVERVIEW AND COMPONENTS

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AGENDA

- ▶ Grants vs Cooperative Agreement vs Contract
- ▶ Key Terms / Definitions
- ▶ Key Elements within a grant proposal
- ▶ Funding agencies and funding opportunity websites
- ▶ Budget development / Budget Types

LEARNING OBJECTIVES

- ▶ Learn and understand the difference between a grant vs cooperative agreement vs contract
 - ▶ Learn what components are included in a grant proposal
 - ▶ Learn how to create and develop budgets
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GRANT

COOPERATIVE AGREEMENT

FEDERAL CONTRACT

	Federal Grants	Federal Cooperative Agreement	Federal Contract
Purpose	A flexible instrument designed to provide money to support a public purpose. Assistance with few restrictions.	A flexible instrument designed to provide money to support a public purpose. Assistance with involvement between parties.	A binding agreement between a buyer and a seller to provide goods or services in return for consideration (usually monetary). Procures goods or services.
Terms and Conditions	Governed by the terms of the grant agreement	Governed by the terms of the cooperative agreement	Governed by Federal Acquisition Regulations
Scope	Application kit or guidelines	Request for application	Request for proposal or quote
Solicitation	Application kit or guidelines	Request for application	Request for proposal or quote
Sponsor Involvement	None	Substantial Involvement	Approves activity, expects results
Payment	Payment awarded in annual lump sum	Payment awarded in annual lump sum unless otherwise specified in the cooperative agreement	Payment based on deliverable and milestones
Re-budgeting	Flexible	Usually flexible	More restrictive
Reporting	Annual reporting requirements	Reporting requirements determined by the cooperative agreement	Frequent reporting requirements

KEY TERMS

- ▶ **2 CFR 200** –Uniform Administrative Requirement, Cost Principles, and Audit Requirements for Federal Awards. Subparts A-F
- ▶ **Funding Opportunity Announcement (FOA)** - A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations
- ▶ **Principal Investigator (PI)** – The individual who is responsible for the design and execution of the project.
- ▶ **Award** – The legal instrument/document used by the sponsor to state the provisions of funds based on an approved application and budget are approved and awarded. Sometimes abbreviated as NOA, NOGA
- ▶ **Direct Costs** - Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. (i.e. Salaries, wages, fringe benefits, travel, and m&s)
- ▶ **Indirect Costs/ Facilities and Administrative Costs** - Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. (i.e., rent, and utilities)

KEY TERMS

- ▶ **Modified Total Direct Costs (MTDC)** - All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000.
- ▶ **Equipment** – An article of tangible nonexpendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
- ▶ **Project Period**– The beginning and end date of an award.
- ▶ **Cost Sharing or Matching** - The portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute). See also §200.306 Cost sharing
- ▶ **Subaward** - An award provided by a pass-through entity to a sub recipient for the sub recipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program.
- ▶ **No-cost extension** – An extension of time to the project and/or budget period to complete the work without additional funds from the sponsor.

KEY ELEMENTS TO A PROPOSAL

- ▶ Cover Letter
 - ▶ Project Summary
 - ▶ Project Narrative
 - ▶ References
 - ▶ Specific Aims
 - ▶ Research Strategy
 - ▶ Consortium Documents
 - ▶ Budget and Budget Justification
 - ▶ CV, Biosketch
 - ▶ Current and Pending Support
 - ▶ Facilities and Resources
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COVER LETTER

- ▶ Awardee Organization Information
 - ▶ PI Information
 - ▶ Program Announcement/Solicitation #
 - ▶ Unit of Consideration / Institute Center
 - ▶ Title of Proposal Project
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PROJECT SUMMARY/ABSTRACT

- ▶ Limit length to 30 lines or less of text (NIH)
- ▶ Project's long-term objectives and specific aims
- ▶ Description of research design and methods
- ▶ No proprietary or confidential information
- ▶ Write in plain language

PROJECT NARRATIVE

- ▶ Relevance of the proposed research
 - ▶ 2-3 sentences long
 - ▶ Write in plain language
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SPECIFIC AIMS

- ▶ One-page statement
 - ▶ Important part of the proposal, often times the central focus
 - ▶ Explains the what, how and expected results
 - ▶ Includes introductory paragraph
 - ▶ Should teach objectives, significance, hypothesis and experimental approach
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RESEARCH STRATEGY

- ▶ Page length is agency specific
 - ▶ Description of the rationale for the research and experiments to be conducted to accomplish each aim
 - ▶ Three main sections: Significance, Innovation, Approach for NIH. NSF – Intellectual Merit, Broader Impacts and
 - ▶ Nuts and bolts of the application
 - ▶ Organize using bold headers or numbering system
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BUDGET COMPONENTS

- ▶ Identify Sr. Key Personnel, Co-I's, Staff and Students (Is there a salary cap for Sr. Key Personnel?) NIH Salary Cap. Effective January 7, 2018, the NIH salary cap will increase from **\$187,000** to **\$189,600**.
- ▶ Fringe rate
- ▶ F&A (facilities and administrative costs) or Indirect Costs
- ▶ Budget period / Period of Performance
- ▶ Equipment (Tangible personal property) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000.
- ▶ Travel, M&S, tuition, subawards and other direct costs

BUDGET NARRATIVE/JUSTIFICATION

- ▶ Personnel – List all personnel and % effort or PM committed, Role, and responsibilities
- ▶ Equipment
- ▶ Travel
- ▶ Trainee Costs
- ▶ Other Direct Costs (M&S, Publication Costs)

**See example in packet

SUPPORTING DOCUMENTS

- ▶ BIOSKETCH OR CV – See example in packet
 - ▶ LETTERS OF SUPPORT
 - ▶ CONSORTIUM/CONTRACTUAL LETTERS
 - ▶ CURRENT AND PENDING SUPPORT
 - ▶ FACILITIES, RESOURCES AND EQUIPMENT
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TYPES OF AGENCIES

▶ Federal

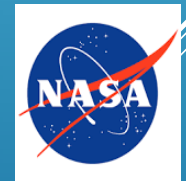
- ▶ Department of Energy (DOE)
- ▶ Department of Defense (DoD)
- ▶ National Institute's of Health (NIH)
- ▶ National Science Foundation (NSF)
- ▶ Health and Human Services (HHS)
- ▶ National Aeronautics and Space Administration (NASA)
- ▶ Department of Agriculture (USDA)
- ▶ Office of Naval Research (ONR)
- ▶ Air Force Office of Scientific Research (AFOSR)

TYPES OF AGENCIES

- ▶ Non-Federal Entities (State, Local government, and Indian tribe)
 - ▶ Industry (Pfizer, American Chemical Society, Genetech, Merck, Samsung, LG)
 - ▶ Private Foundations (Coca Cola, Walmart Foundation)
 - ▶ Not-for-Profit organizations (Universities, Libraries, Museums, etc)
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WHERE TO SEARCH FOR FUNDING

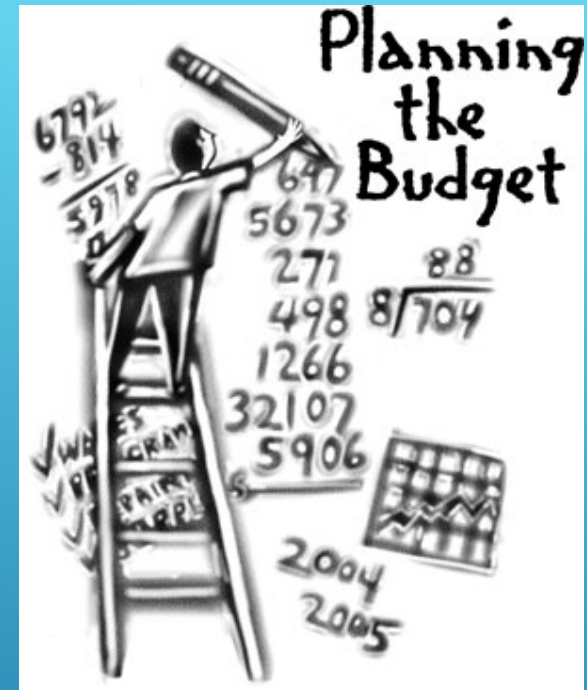
- ▶ Grants.gov – Online web based search engine to produces various opportunities
- ▶ Research.gov – Provides NSF grants management and will eventually replace Fastlane
- ▶ Fastlane.gov – National Science Foundation grants web portal
- ▶ Nspires.gov – National Aeronautics and Space Administration (NASA).
- ▶ Foundationcenter.org – Non-sponsored/Foundation funding.



PRACTICE BUDGET'S

Complete budget scenario's

- ▶ Budget # 1 (Modular)
- ▶ Budget # 2 (Research and Related or R&R)



#2 - MODULAR BUDGET

- ▶ PHS 398 Modular Budget
 - ▶ Applicable to research applications from domestic organizations that are requesting \$250,000 or less per budget period in direct costs
- ▶ Request are made in increments of \$25,000
- ▶ Used with NIH proposals

View Burden Statement **PHS 398 Modular Budget** OMB Number: 0925-0001
Expiration Date: 3/31/2020

Budget Period: 1

Start Date: **9/1/2019** End Date: **8/31/2020** Next Period

A. Direct Costs

	Funds Requested (\$)
Direct Cost less Consortium Indirect (F&A)	\$250,000
Consortium Indirect (F&A)	
Total Direct Costs	\$250,000

B. Indirect (F&A) Costs

Indirect (F&A) Type	Indirect (F&A) Rate (%)	Indirect (F&A) Base (\$)	Funds Requested (\$)
TDC	60	\$250,000	\$150,000

Add Additional Indirect Cost

Cognizant Agency (Agency Name, POC Name and Phone Number) **Office of Naval Research
John Smith
111-555-1212**

Indirect (F&A) Rate Agreement Date **7/1/2017** Total Indirect (F&A) Costs **\$150,000**

C. Total Direct and Indirect (F&A) Costs (A + B) Funds Requested (\$) **\$400,000**

Add Period

Cumulative Budget Information

1. Total Costs, Entire Project Period

Section A, Total Direct Cost less Consortium Indirect (F&A) for Entire Project Period	\$ \$250,000
Section A, Total Consortium Indirect (F&A) for Entire Project Period	\$
Section A, Total Direct Costs for Entire Project Period	\$ \$250,000
Section B, Total Indirect (F&A) Costs for Entire Project Period	\$ \$150,000
Section C, Total Direct and Indirect (F&A) Costs (A+B) for Entire Project Period	\$ \$400,000

2. Budget Justifications

? Personnel Justification		Add Attachment	Delete Attachment	View Attachment
? Consortium Justification		Add Attachment	Delete Attachment	View Attachment
? Additional Narrative Justification		Add Attachment	Delete Attachment	View Attachment

RESEARCH & RELATED BUDGET (R&R)

- Budget #3
- Applying for more than \$250,000 per budget period in direct costs
- Refer to your FOA for information regarding allowable costs for the candidate and any allowable research development

RESEARCH & RELATED BUDGET - Budget Period 1 Delete Period

OMB Number: 4040-0001
Expiration Date: 10/31/2019

ORGANIZATIONAL DUNS: Enter name of Organization:

Budget Type: ☒ Project ☐ Subaward/Consortium Budget Period: 1 Start Date: End Date:

A. Senior/Key Person

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Cal.	Months Acad.	Sum.	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
X	Mary	L	Smith	PhD	189,600.00		1.00		15,800.00	4,740.00	20,540.00

Project Role:

Additional Senior Key Persons:

Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
1	Post Doctoral Associates	6.00			25,000.00	7,500.00	32,500.00
1	Graduate Students	12.00			27,000.00	1,620.00	28,620.00
	Undergraduate Students						
	Secretarial/Clerical						
X							

Total Number Other Personnel

Total Other Personnel

Total Salary, Wages and Fringe Benefits (A+B)

R&R BUDGET CONTINUED- SECTIONS C-E

C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
☒ Laser Beam	20,000.00

Add Additional Equipment

Additional Equipment:

Add Attachment

Delete Attachment

View Attachment

Total funds requested for all equipment listed in the attached file

Total Equipment

20,000.00

D. Travel

	Funds Requested (\$)
1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)	5,000.00
2. Foreign Travel Costs	
Total Travel Cost	5,000.00

E. Participant/Trainee Support Costs

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	
2. Stipends	5,000.00
3. Travel	
4. Subsistence	
5. Other	
Number of Participants/Trainees	
Total Participant/Trainee Support Costs	5,000.00

R&R BUDGET CONTINUES – SECTIONS F-L

F. Other Direct Costs			Funds Requested (\$)
1. Materials and Supplies			10,000.00
2. Publication Costs			
3. Consultant Services			
4. ADP/Computer Services			
5. Subawards/Consortium/Contractual Costs			
6. Equipment or Facility Rental/User Fees			
7. Alterations and Renovations			
8. Tuition			18,000.00
9.			
10.			
Total Other Direct Costs			28,000.00

G. Direct Costs		Funds Requested (\$)
Total Direct Costs (A thru F)		139,660.00

H. Indirect Costs			
Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
☒ MTDC	57.50	116,660.00	67,079.00
Add Additional Indirect Cost			
Total Indirect Costs			67,079.00

Cognizant Federal Agency
(Agency Name, POC Name, and POC Phone Number)

Office of Naval Research, John Smith, 111-222-5555

I. Total Direct and Indirect Costs		Funds Requested (\$)
Total Direct and Indirect Institutional Costs (G + H)		206,739.00

J. Fee		Funds Requested (\$)

K. Total Costs and Fee		Funds Requested (\$)
Total Costs and Fee (I + J)		206,739.00

L. Budget Justification	
(Only attach one file.)	

R&R CUMULATIVE BUDGET

RESEARCH & RELATED BUDGET - Cumulative Budget

		Totals (\$)
Section A, Senior/Key Person		20,540.00
Section B, Other Personnel		61,120.00
Total Number Other Personnel	2	
Total Salary, Wages and Fringe Benefits (A+B)		81,660.00
Section C, Equipment		20,000.00
Section D, Travel		5,000.00
1. Domestic	5,000.00	
2. Foreign		
Section E, Participant/Trainee Support Costs		5,000.00
1. Tuition/Fees/Health Insurance		
2. Stipends	5,000.00	
3. Travel		
4. Subsistence		
5. Other		
6. Number of Participants/Trainees		
Section F, Other Direct Costs		28,000.00
1. Materials and Supplies	10,000.00	
2. Publication Costs		
3. Consultant Services		
4. ADP/Computer Services		
5. Subawards/Consortium/Contractual Costs		
6. Equipment or Facility Rental/User Fees		
7. Alterations and Renovations		
8. Other 1	18,000.00	
9. Other 2		
10. Other 3		
Section G, Direct Costs (A thru F)		139,660.00
Section H, Indirect Costs		67,079.00
Section I, Total Direct and Indirect Costs (G + H)		206,739.00
Section J, Fee		
Section K, Total Costs and Fee (I + J)		206,739.00

REFERENCES

- ▶ NIH Grants Policy Statement(n.d.). Retrieved from https://grants.nih.gov/grants/policy/nihgps/html5/section_1/1.2_definition_of_terms.htm
Non-Federal Entity (State, Local government, Indian tribe)
- ▶ Proposal Development(2018). Retrieved from <https://www.fredonia.edu/about/offices/sponsored-programs/proposaldevelopment>Private Foundations (Coca Cola, Foundation Center)
- ▶ Grant Terminology (n.d.) Retrieved from <https://www.grants.gov/web/grants/learn-grants/grant-terminology.html#S>
- ▶ Basics of Contracting" (2015). <http://www.research.pitt.edu/fcs-basics-federal-contracting#GrantvsContract>

QUESTIONS??

THANK YOU!

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