Preparing Proposals

Slide 1

Preparing Proposals

Georgia State University
Preparation Proposals

Slide 2

Objectives

- Reviewing Funding Opportunity Announcements
- Working with the Office of Sponsored Proposals and Awards
- Preparation Guidelines for the Administrative Portions of a Proposal
- Proposal Preparation Systems and Proposal Routing
Preparing Proposals

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Preparing a Proposal - Basic Steps

1. Review Documents and Resources
2. Contact OSPA and Access Systems
3. Prepare and Assemble
4. Route
Preparing Proposals

Slide 4

Reviewing Sponsor Documents

Program Solicitation
NSF 12-501

Replaces Document(s):
NSF 11-505

Program Solicitation

Proposal and Award Policies
and Procedures Guide
Preparring Proposals

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Key Funding Announcement Information

<table>
<thead>
<tr>
<th>Sponsoring Organization Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding Opportunity Title</td>
</tr>
<tr>
<td>Funding Opportunity Number</td>
</tr>
<tr>
<td>Application Due Date</td>
</tr>
<tr>
<td>Agency Contacts</td>
</tr>
</tbody>
</table>
## Anatomy of a Funding Announcement

<table>
<thead>
<tr>
<th>Award Information</th>
<th>Funding Instrument</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Funding Instrument</td>
<td>• <strong>Grant</strong> - a legal instrument of financial assistance used to transfer of money or property, services, or anything of value to recipient in order to accomplish a public purpose.</td>
</tr>
<tr>
<td>• Grant</td>
<td></td>
</tr>
<tr>
<td>• Cooperative Agreement</td>
<td>• <strong>Cooperative Agreement</strong> - Similar to a grant, but also involves substantial involvement between parties</td>
</tr>
<tr>
<td>• Contract</td>
<td></td>
</tr>
<tr>
<td>• Application Types</td>
<td>• <strong>Contract</strong> - a legal instrument used to purchase property or services for direct benefit or use by the sponsor.</td>
</tr>
<tr>
<td>• New</td>
<td></td>
</tr>
<tr>
<td>• Renewal</td>
<td></td>
</tr>
<tr>
<td>• Resubmission</td>
<td></td>
</tr>
<tr>
<td>• Revision</td>
<td></td>
</tr>
<tr>
<td>• Award Budget</td>
<td></td>
</tr>
<tr>
<td>• Award Project Period</td>
<td></td>
</tr>
</tbody>
</table>
### Anatomy of a Funding Announcement

**Award Information**
- Funding Instrument
  - Grant
  - Cooperative Agreement
  - Contract
- Application Types
  - New
  - Renewal
  - Resubmission
  - Continuation
  - Revision
- Award Budget
- Award Project Period

**Application Type**
- **New**: an application that is being submitted to an agency for the first time
- **Renewal**: An extension of an additional funding/budget period for a project with a projected completion date. This can include renewals.
- **Continuation**: An extension of an additional funding/budget period for a project with a projected completion date. This can include renewals.
- **Revision**: Any change in the federal government's financial obligation or contingent liability from an existing obligation.
### Anatomy of a Funding Announcement

<table>
<thead>
<tr>
<th>Eligibility Information</th>
<th>Required Registrations</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Eligible Organizations</td>
<td>• Both NIH and NSF, which have proprietary electronic proposal submission systems, require that investigators register in their respective systems prior to submission of proposals. For both systems, the registration must be requested of the agency by an authorized representative from OSPA using information provided by the investigator.</td>
</tr>
<tr>
<td>• Required Registrations</td>
<td>• To register in NIH eCommons or NSF FastLane, complete the NIH eRA Commons or FastLane registration form by creating a new submission under the OSPA section of the Research Portal and submit as instructed.</td>
</tr>
<tr>
<td>• Eligible Individuals</td>
<td></td>
</tr>
<tr>
<td>• Number of Applications</td>
<td></td>
</tr>
<tr>
<td>• Limited Submissions</td>
<td></td>
</tr>
</tbody>
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Anatomy of a Funding Announcement

<table>
<thead>
<tr>
<th>Eligibility Information</th>
<th>Limited Submissions</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Eligible Organizations</td>
<td>• Many funding agencies offer opportunities that restrict the number of applications allowed from an institution or from a unit within the institution. The URSA office manages internal competitions for limited proposal slots ONLY if a limitation is placed on the number of proposals that can be submitted by the institution as a whole or by individual colleges. The goal of this internal competition process is to ensure the most qualified application is submitted and to limit the time PIs spend preparing an application that cannot be submitted because of the funding agency’s limited submission policy.</td>
</tr>
<tr>
<td>• Required Registrations</td>
<td>• If a limit is placed on the submission from a department / discipline, these should be managed and decided from within that department (contact the department chair).</td>
</tr>
<tr>
<td>• Eligible Individuals</td>
<td>• It is the PI’s responsibility to identify a limited submission competition from the sponsor’s program announcement or from the sponsor and to notify URSA immediately of their interest in solving so that the internal decision process can be initiated in</td>
</tr>
<tr>
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<table>
<thead>
<tr>
<th>Application and Submission Information</th>
<th>Requesting an Application Package</th>
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<tbody>
<tr>
<td>• Requesting an Application Package</td>
<td>• Grants.gov</td>
</tr>
<tr>
<td>• Content and Form of Application</td>
<td>• Grant opportunities offered by the federal government</td>
</tr>
<tr>
<td>• Other Submission Requirements</td>
<td>◦ overview information</td>
</tr>
<tr>
<td></td>
<td>◦ full text of the announcement</td>
</tr>
<tr>
<td></td>
<td>◦ application package</td>
</tr>
<tr>
<td></td>
<td>• You do not need to register for Grants.gov in order to view and download opportunity information.</td>
</tr>
<tr>
<td></td>
<td>• Any proposals submitted to federal agencies must be submitted by institutional officials who are designated by the institution and hold special access to these proposal submission systems.</td>
</tr>
<tr>
<td></td>
<td>• At GSU, these officials are housed in the Office of Sponsored Proposals and Awards (OSPA).</td>
</tr>
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Preparing Proposals

Preparing a Proposal - Basic Steps

1. Review Documents and Resources
2. Contact OSPA and Access Systems
GCO Responsibilities

- Review of specified funding announcements for eligibility, determination of restrictions, and mapping a proposal development plan.
- Locate the non-science information needed for submission: Items such as university identifying numbers, facilities and resource information, and applicable financial rates.
- Develop, under the direction of the investigator, a compliant budget.
- Engage with any subrecipients to receive their budgets and other required documents, such as GSU’s Subrecipient Commitment Form.
- Format the proposal sections in compliance with the funding announcement directions.
- Help gather any needed materials.
- Build the workflow for university approval and routing.
Institutional Officer Responsibilities

- Review and accept certification terms.
- Fully review the proposal documents for compliance with all legal obligations and with the funding announcement directions.
- Formally submit the proposal to the sponsor.
Preparing Proposals

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FastLane and Cayuse424

- The majority of federal sponsor proposals are submitted through 2 sponsor portals (FastLane and Cayuse). The National Science Foundation supports its own proposal system called FastLane.

- FastLane access can be requested through the Research Portal at researchportal.gsu.edu.

- To submit an application to federal sponsors, excluding the NSF, Georgia State utilizes Cayuse424. Cayuse is a system to system tool that processes applications being submitted to Grants.gov and ASSIST.

- Cayuse424 can be accessed through the Research Portal at researchportal.gsu.edu.
Working with Institutional Officers

- Notify as soon as possible (Email)
  - Funding Opportunity Announcement
  - Funding Opportunity Number
  - Due Date
- Route as soon as possible (Research Portal)
  - Proposed Budget
  - Abstract/Scope of Work
  - Subaward Documentation
    - Commitment Form
    - Budget
    - Budget Justification
    - Scope of Work
- Grant Access as soon as possible (FastLane, etc.)
  - Proposal Application Package
    - Forms
    - Attachments
Preparing Proposals

Preparing a Proposal - Basic Steps

1. Review Documents and Resources
2. Contact OSPA and Access Systems
3. Prepare and Assemble
The Office of Sponsored Proposals and Awards has developed a Proposal Checklist to help faculty and administrators to compile all of the necessary elements of a proposal package.

This module will reference items listed in the proposal checklist.

Those items will be denoted with the checklist icon.
Preparing Proposals

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GSU Proposal Checklist

• Does PI need status approval from College?
• Is PI set up in Sponsor system (Commons, FastLane)?
• Is PI set up in Cayuse?
• Significant Financial Interest?
Principal Investigator Eligibility

- Full-time, tenure track faculty
- Full-time, non-tenure track faculty and
- Staff holding full-time, non-temporary positions (“permanent full-time”)
Preparing Proposals

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Principal Investigator Eligibility
- An individual who is employed by the University but not on a permanent full time basis (e.g., temporary contract, adjunct faculty, postdoctoral fellows, faculty holding positions that are less than full-time) if one of the following conditions is met:
  - A permanent full-time faculty or staff member is named as Co-PI and accepts responsibility for ensuring that the sponsored project’s requirements are met or;
  - The Department Chair or Director accepts responsibility for ensuring that the sponsored project’s requirements are met at the time the grant proposal is submitted.
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Principal Investigator Eligibility

- A student may serve as a PI, if allowable by the sponsor, provided a permanent full-time faculty or staff member is named as Co-Principal Investigator/CoProject Director or mentor and accepts responsibility for ensuring that the Sponsored Project's requirements are met.
- Exceptions to this policy can be made and require approval of the appropriate Department Chair, College Dean, and the Vice President for Research & Economic Development.
Preparing Proposals

Conflicts of Interest

- Prior to proposal submission, all investigators must demonstrate compliance with GSU’s commitment to ensuring objectivity in research by:
  - Completing the CITI training module within the last four years
  - Completing a Significant Financial Interest Disclosure form identifying the specific project for which the proposal will be submitted. Each investigators/key personnel identified on the project must complete and submit this form separately.

- NOTE: An investigator is any individual, regardless of title or position, who is capable of influencing the outcome or results of the sponsored project.

- A proposal for funding from a PHS agency will not be submitted until each investigator has completed a disclosure. The individual departments and colleges/deans should ensure the disclosures are completed before the proposal reaches OSPA.
Preparing Proposals

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Anatomy of a Funding Announcement

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Preparing Proposals

SF424 (R&R) Cover

Required Institutional Information

URSA Fact Page

- Applicant Name
  - Georgia State University Research Foundation, Inc.
- Authorized Institutional Official
- Administrative/Fiscal Official
- Employer Identification Number
- US Congressional District
- F&A Rates
- Fringe Benefit Rates
- Cognizant Agency and Official
What you’ll need from the PI....

- Type of Submission
  - Pre-Application
  - Application
  - Changed/Corrected Application
- Type of Application
  - New
  - Renewal
  - Resubmission
  - Continuation
  - Revision
- Is this submitted to other agencies? Which?
- Project Title
- Start and End Dates
- PI Contact Information
Required Institutional Information

URSA Fact Page

- Performance Site Location
  - Georgia State University
- Performance Site Address
- US Congressional District
  - GA-005
- This information will need to be collected for each subaward and documented on the form.
Preparing Proposals

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**SF424 (R&R) Project Information**

**What you will need from PI?**

- Are Human Subjects Involved?
  - IRB Approval Date?
  - IRB review pending?
- Are Vertebrate Animals Used?
  - IACUC Approval Date?
  - IACUC review pending?
- Is proprietary/privileged information included in the proposal?
- Does the project have an actual or potential impact on the environment?
- Is the research performance site designated as a historic place?
- Does this project involve activities outside the U.S. or partnerships with international collaborators?
Preparing Proposals

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**SF424 (R&R) Project Information**

**Required Institutional Information**

[URSA Fact Page](#)

- Animal Welfare Assurance (AWA) Number
  - (if Vertebrate Animals are used)
- Human Subjects Federal Wide Assurance (FWA) Number
  - (if Human Subjects are involved)
Preparing Proposals

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SF424 (R&R) Project Information

What you will need from PI?

- Attachments
  - Project Summary/Abstract
  - Project Narrative
  - Bibliography/References Cited
  - Facilities & Other Resources
  - Equipment
  - Other Attachments (per funding announcement)
    - Postdoc Mentoring Plan
    - Data Management Plans
Data Management Plans

- Research Solutions, a branch of the Office of the Vice President for Research & Economic Development, has a knowledgeable staff that can help you make informed decisions about where to safely store and share your research data.

- The University Library's Research Data Services Team and other librarians and specialists support research and learning across multiple disciplines involving quantitative, qualitative, business, and spatial/GIS data. The library provides advice on preparing Data Management Plans for grants & managing data throughout the research.
Preparing Proposals

What you will need from PI?

- Names
- Position/Titles
- Agency Login (NSF ID or Commons ID)
- Performance Site Information
  - Organization Name: Georgia State University
- Phone Number
- Email Address
- Project Role
- Degree Year
- Degree Type
- This information will need to be collected for each key person on each subaward and documented on the form.
SF424 (R&R) Senior/Key Person

What you should prepare or collect?

- Biosketches
- Current and Pending Support
- This information will need to be collected for each key person on each subaward and documented on the form.
Preparing Proposals

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GSU Proposal Checklist

Budget

• Is a F&A waiver needed?
• Cost share?
• Budget Completed?
  • URSA Budget Template?
  • Sponsor Budget Form?
  • Budget Justification Attached?
Subawards

Subawards are made to outside entities (subrecipients) that have substantive, programmatic involvement in a specific portion of the proposed project with a separate, itemized budget and specific performance objectives.
What is a subrecipient?

The Uniform Guidance, at §200.300 defines subrecipients as having the following characteristics:
1. Determines who is eligible to receive what Federal assistance;
2. Has its performance measured in relation to whether objectives of a Federal program were met;
3. Has responsibility for programmatic decision making;
4. Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and
5. In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.
Preparing Proposals

GSU Proposal Checklist

Subaward Documents and Information

• Subaward Institution Name and Contact Person and Contact Information
• Subrecipient Commitment Form
• Subaward Budget and Budget Justification
  • Itemized Budget
    • Subaward budgets should use the F&A rate set by the subrecipient's institution
      and a copy of that rate agreement should be provided.
• Subaward Scope of Work
• Any additional information/documentation required by the prime sponsor
Subaward Considerations

- Any subawards from other universities must be routed through the subrecipient institution's approval process to obtain the necessary approvals prior to routing the proposal through Georgia State.

- Significant Financial Interest (SFI) disclosures for collaborators are addressed within the terms of the subrecipient commitment form.

- If the subrecipient institution does not have a policy in place, their investigators can submit a SFI disclosure via GSU's SFI site as an external collaborator.
Preparing Proposals

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PHS 398 Research Plan

What you’ll need from PI?

Human Subjects Sections
  • Protection of Human Subjects
  • Data Safety Monitoring Plan
  • Inclusion of Women and Minorities
  • Inclusion of Children
  • NIH Supplemental Grant Application Instructions
PHS 398 Research Plan

What you’ll need from PI?

Other Research Plan Sections

• Vertebrate Animals
• Select Agent Research
• Multiple PD/PI Leadership Plan
• Consortium/Contractual Arrangements
• Letters of Support
• Resource Sharing Plan
• Authentication of Key Biological and/or Chemical Resources

• NIH Supplemental Grant Application Instructions
Consultants

- Entities (individuals or companies) receiving a portion of the funds from a grant
  - expert advisor
  - goods/service provider
  - paid by the hour or day
- Do not maintain rights to IP or authorship
- Cannot be investigators or “key personnel”
  - contribute their expertise on projects but have no authority for its scientific or programmatic direction
- Fees may be paid only to experts not employed by Georgia State who provide a unique contribution to the project.
Consultants

- Georgia State PI must ensure that all required Conflict of Interest disclosures from consultants have been submitted and training completed prior to the proposal deadline.
- Because of their classification, consultants are not required to be listed on the Proposal Approval Form.
- Unless the sponsoring agency guidelines require any forms or letters related to consultants be included with a proposal, proposals are typically NOT required to include any additional forms related to consultants listed on those proposals.
Contractors

- A contract is for the purpose of obtaining goods and services for the non-Federal entity's own use and creates a procurement relationship with the contractor.
- Characteristics indicative of a procurement relationship between the non-Federal entity and a contractor are when the contractor:
  A. Provides the goods and services within normal business operations;
  B. Provides similar goods or services to many different purchasers;
  C. Normally operates in a competitive environment;
  D. Provides goods or services that are ancillary to the operation of the Federal program; and
  E. Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.
Contractors

Unless the sponsoring agency guidelines require any forms or letters related to contractors be included with a proposal, proposals are typically NOT required to include any additional forms related to contractors listed on those proposals.
Preparing Proposals

GSU Proposal Checklist

- Research Compliance and Safety
  - Human Subjects/ IRB Approval
  - Animals/IAUC Approval
- Select Agent Research
- Biosafety Approval
- Radiation Approval

copyright
Preparing Proposals

Preparing a Proposal - Basic Steps

1. Review Documents and Resources
2. Contact OSPA and Access Systems
3. Prepare and Assemble
4. Route

Planning the Budget

Proposed Grant Budget

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$100K</td>
</tr>
<tr>
<td>Materials</td>
<td>$20K</td>
</tr>
<tr>
<td>Travel</td>
<td>$5K</td>
</tr>
<tr>
<td>Equipment</td>
<td>$15K</td>
</tr>
<tr>
<td>Total</td>
<td>$140K</td>
</tr>
</tbody>
</table>
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Research Portal

- Log into the Research Portal:
- Select “OSPA” from the left menu and click on “Create a submission”
- Select the “Proposals” form from the drop-down list and complete the various sections (many will autofill from Cayuse424 entries)
- On the “Signoffs and Approvals” tab, enter the names of the PI, each investigator, and each Chair and Dean who must authorize submission
- The PI provides the first approval and submission action
- The form will automatically route to the next approvers as each approves and submits, eventually arriving at OSPA
- Concurrent with the form, notify OSPA of its submission via email at proposals@gsu.edu
Thank you for watching

http://ursa.research.gsu.edu/