

# *PROPOSAL DEVELOPMENT:*

## *Constructing a Funding Proposal*

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*The University of Mississippi*

# *Today's Overview*

- ORSP Role
  - Who can assist?
- GENERAL Guidelines for what a funding proposal MIGHT need to contain
- Each sponsor is DIFFERENT—there is no “standard format”
- If you need detailed guidance on a specific sponsor, we can do a workshop on that topic



# *ORSP Role*

- ORSP acts as the Authorized Organizational Representative for all proposals from and awards to the University
- We are here to assist you in proposal development
- At the same time, we work to make sure federal, state, and University rules and requirements are met



# *Office of Research & Sponsored Programs (ORSP)*

## **Departmental Assignments:**

**Lesha Agnew**

<http://www.research.olemiss.edu/proposal-development#Lesha>

**Ken Sleeper**

<http://www.research.olemiss.edu/proposal-development#Ken>

**Mickey McLaurin**

<http://www.research.olemiss.edu/proposal-development#Mickey>



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# *Proposal Guidelines*

## **Agency Requirements**

### **- Guidelines**

**Read the Guidelines**

**Read the Guidelines**

**Read the Guidelines**

### **- Deadlines**

**- Submission Process?**- Electronic by Email,  
Agency Web site (e.g. NSF FastLane)

**Who submits?**

**The University-ORSP**



# *Parts of the Proposal*

- **Project Abstract** (Summary of the entire proposal)
- **Project Description** (narrative)
  - **Problem Statement** (hypothesis)
  - **Project Objectives** (expected outcomes)
  - **Methodology** (detailed plan of action)
  - **Project Personnel** (who is involved)
  - **Institutional Resources/ Facilities**
  - **Evaluation** (Your Success)
  - **Dissemination** (spread the word)
- **Budget and Justification**



## *Project Abstract (Summary)*

- **Can be the most important part of the proposal**
- **Forms the reviewer's first impression**
- **Be Clear and Direct**
- **Match the content to the sponsor requirements**



# *Project Abstract*

- **The following topics can be addressed:**
  - ✓ **Subject**  
What is the project about?
  - ✓ **Purpose and Significance**  
Why is this project being undertaken?  
What is to be accomplished?  
Why is this important?
  - ✓ **Activities**  
What will be done?  
What methods will be used?
  - ✓ **Target Population**  
What group is being studied or served?
  - ✓ **Expected Outcomes**  
What findings or results will be produced?  
To whom will these be useful?  
How will they advance knowledge in your field?





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- **Budget and Justification**



# *Project Description*

- **Types of Questions you may want to address:**
  - ✓ **What is the problem/need?**
  - ✓ **Why is it a problem/need?**
  - ✓ **To what extent does the problem/need exist?**
  - ✓ **Who is affected?**
  - ✓ **What has already been done to address this problem/need?**
  - ✓ **Why is this not sufficient?**
- **Begin with the broad problem--relate to a smaller problem**
  - **differentiate between problem/need on a state/national level and at the local level**



# *Problem Statement*

- **Provides documentation to establish need**
  - **be specific: cite statistics or other relevant data**
  - **be analytical: describe strengths, weaknesses, comparisons**
  - **demonstrate your familiarity with the field (establish your credibility)**
  - **if no literature available: Offer explanation for the vacuum, cite closest relevant sources**
- **Tips:**
  - **DON'T BURY THE LEDE**
  - **grab the reader & make him want to continue reading**
  - **relate to some larger problem, or a greater social benefit**
  - **be of reasonable dimensions**
  - **be supported by statistical evidence**
  - **NO UNSUPPORTED HYPERBOLE**
  - **\*\*\*minimize the jargon\*\*\***



# *Project Goals and Objectives- Defined*

## ✓ **Goals**

- **desired results that a person envisions**
- **Goals may already be developed by the funding agency**

## ✓ **Objectives**

- **actions taken to attain goals**
- **specific, achievable, measurable statements**
- **describe expected results/benefits**



# *Project Objectives*

- **Questions to be addressed:**
  - ✓ **What do you propose to do about this problem?**
  - ✓ **When?**
  - ✓ **Where?**
  - ✓ **How?**
  - ✓ **With whom?**
  - ✓ **To what extent?**
  - ✓ **With what expected results?**
- **Objectives are:**
  - **clear, precise, measurable statements**
  - **statements of the expected outcomes of the project**
  - **questions to be answered**
  - **Hypotheses (proposed explanations) to be tested**
  - **presented in a form which directly parallels your problem statement**



# *Methodology*

- **Questions to be addressed:**
  - ✓ What is your specific plan of action?
  - ✓ How and why did you choose this particular plan?
  - ✓ Is it the only way to solve the problem?
  - ✓ Did you consider other methods?
  - ✓ Can you do what you propose?
- **The methodology section:**
  - is the heart of the proposal
  - details the methods you will use to reach your objectives
  - clearly describes (in detail) program activities
  - should include justification for the choice of method
  - specifies the time frame for completion of the project
  - is presented in a format which directly parallels the stated objectives



# *Project Personnel*

- **Two Parts:**
  - ✓ **Related qualifications of key project personnel**
  - ✓ **Biographical data sheets (resumes) of key personnel**
- **Should include:**
  - **key project participants- PI and/or co-PI**
  - **academic or other research qualifications**
  - **how each participant's expertise will enable them to carry out the specified objectives**
  - **percentage of time each participant will be working on the project**
  - **other participants: Postdoctoral researchers, technicians, graduate and undergraduate students.**



# *Facilities- To do Your Project*

## **Office**

- **Computers, scanners**

## **Laboratory**

- **Equipment, bench space, fume hood**

## **Classroom**

- **Computers, video**

## **In the Field**

- **UM Field Station, other laboratory space**





# *Institutional Resources*

- **Shows fit between an institution and project**
- **Shows how this institution is the “ideal” place to conduct your project**
- **Describes the institution’s qualifications or “credibility”**
- **Information to possibly include:**
  - ✓ **Background history of institution**
  - ✓ **Statement of the institution’s mission, purpose, goals, philosophy**
  - ✓ **Specific facilities**
  - ✓ **Available equipment**
  - ✓ **Administrative & support services available**
  - ✓ **Associations with other agencies**
  - ✓ **Institution’s competency in project area**



# *Project Evaluation/Assessment*

- **Questions to be addressed:**
  - ✓ **How will you know if your objectives have been reached?**
  - ✓ **What will you do to measure the results?**
  - ✓ **What type of evaluation will you conduct?**
  - ✓ **How will evaluation data be collected?**
  - ✓ **How will you analyze this data?**
  - ✓ **What statistical methods will you use?**
  - ✓ **When will the evaluation occur?**
  - ✓ **Who will perform the evaluation and what are their credentials?**



# *Project Evaluation*

- **Who Can Help?**

UM Center for Educational Research and Evaluation (CERE), **Dr. Marie Barnard, Interim Director**

1. Review an evaluation plan and provide feedback.
2. Serve as a paid “external evaluator” for UM sponsored projects.

Contact CERE **early** during your proposal development stage.



# *Dissemination*

- **Dissemination is the act of making the results known:**
  - to the funder
  - to the project participants
  - to your own institution
  - to other professionals in your field (locally & nationwide)
  - to the general public
- **Questions to be addressed by PI:**
  - ✓ How will the results of this project be disseminated?
  - ✓ To Whom?
  - ✓ When?
  - ✓ Where?
- **Methods of dissemination include:**
  - journal articles/publications
  - presentations at professional meetings, conferences, etc.
  - media presentations
  - classroom instruction



# *Dissemination*

- **University of Mississippi Digital Repository**

Provenance Archival and Retrieval System (PARS) hosted by the Mississippi Center for Supercomputing Research (MCSR) in the UM Office of Information Technology, which is a limited-functionality repository infrastructure people can use (and propose to use).

Contact: **Brian Hopkins**, Director  
Mississippi Center for Supercomputing Research  
303 Powers Hall, (662) 915-7206  
[bwhopkin@olemiss.edu](mailto:bwhopkin@olemiss.edu)



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  - **Dissemination** (spread the word)
- **Budget and Budget Justification**



# *Proposal Budget*

## **What is a Budget?**

- **Financial resources** necessary to implement the tasks & activities outlined in the proposal
- Should be large enough to cover proposed activities; be realistic about the scope of the work proposed, and the related costs

## **Preparing a Budget**

- Check program guidelines for:
  - a budget template
  - allowable budget items
  - items that cannot be included in budget
  - average size of an award or award limitations



# *Proposal Budget (continued)*

- **Includes a numerical budget and a narrative budget justification.**
- **Budget items must be accounted for in the budget justification.**

**For every task/activity you have outlined, determine the following:**

- **Who will perform the proposed task?**
  - **project personnel**
- **How much time will it take?**
  - **level of effort**
- **What resources will the person(s) need?**
  - **non-personnel items to include in budget (examples)**





# Sample Budget Template (NSF)



The University of Mississippi

YEAR 1 PROPOSAL BUDGET								
ORGANIZATION <b>University of Mississippi</b>				PROPOSAL NO.		DURATION (MONTHS)		
				Proposed	Grant			
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR <b>XXX</b>				AWARD NO.				
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with name and title. (A.7. Show numbers in brackets))				Funded Person-months			Funds Requested By	
				CAL	ACAD	SUMR	Proposer	
1.	XXX		0.00	0.00	0.00	0		
2.						0		
3.						0		
4.						0		
5.						0		
6.	( ) OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)		-	-	-	0		
7.	( 1 ) TOTAL SENIOR PERSONNEL (1-6)		-	-	-	0		
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1.	( ) POST DOCTORAL ASSOCIATES					0		
2.	( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					0		
3.	( ) GRADUATE STUDENTS (One Masters)					0		
4.	( ) UNDERGRADUATE STUDENTS					0		
5.	( ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)					0		
6.	( 0 ) OTHER					0		
TOTAL SALARIES AND WAGES (A+B)				0				
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)				0				
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)				0				
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)								
	xx	\$0						
	xx	\$0						
	xx	\$0						
TOTAL EQUIPMENT				0				
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)				0				
2. FOREIGN				0				
F. PARTICIPANT SUPPORT COSTS								
1.	STIPENDS	\$	0					
2.	TRAVEL		0					
3.	SUBSISTENCE							
4.	OTHER							
TOTAL NUMBER OF PARTICIPANTS				0	TOTAL PARTICIPANT COSTS		0	
G. OTHER DIRECT COSTS								
1.	MATERIALS AND SUPPLIES					0		
2.	PUBLICATION/DOCUMENTATION/DISSEMINATION					0		
3.	CONSULTANT SERVICES					0		
4.	COMPUTER SERVICES (service)					0		
5.	SUBAWARDS					0		
6.	OTHER (Tuition)					0		
TOTAL OTHER DIRECT COSTS				0				
H. TOTAL DIRECT COSTS (A THROUGH G)				0				
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)								
44% Modified Total Direct Costs (on-campus rate)								
26% Modified Total Direct Costs (off-campus rate)								
TOTAL INDIRECT COSTS (F&A)				0				
J. TOTAL DIRECT AND INDIRECT COSTS (H+I)				0				
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II.D.7.)				0				
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				0				

# *Budget Justification*

- **Describes how you arrived at the figures (calculations) included in your budget and why you need the resources**
- **Also referred to as a “Budget Narrative”**
- **All items included in the budget should be explained in the budget justification (in the same order listed in the budget)**
- **Sub-headings within the text to separate salaries, equipment, materials, travel, etc., helps the reviewers**



# Sample Budget Narrative

## Dr. XXXX The University of Mississippi BUDGET JUSTIFICATION

### A. **Senior Personnel:**

Two months summer salary in each year is requested for the PI, Dr. XXXX, at a base of \$XXX per year. Salary in subsequent years is calculated with a 3% increase. The role of the PI?

### B. **Other Personnel:**

Funds are also requested to support one graduate research assistant in each year at a rate of \$XXXX and one undergraduate student. The role of the students???

### C. **Fringe Benefits:**

Fringe benefits for faculty and staff are calculated at the University's standard rate of 32.75% of salary. Fringe benefits for graduate research assistants are calculated at the University's standard rate of 8.0% of stipend. Fringe benefits for students paid hourly (graduate or undergraduate) are calculated at the University's standard rate of 3.0% of wages.

### D. **Equipment:**

Defined as an article of tangible personal property with an acquisition cost of \$5,000 or more and an expected useful life of more than one year (no F&A)

### E. **Travel:**

Funds are requested in each year for the PI and graduate assistant to travel to the XXX conference.

### F. **Other Direct Costs:**

1. Materials and Supplies
2. Consultant- an individual hired to give professional advices or services for a fee - NOT a UM employee
3. Other
  - a. Graduate Student tuition remission at the University's standard rate of \$3,330 per semester per student.

### G. **Facilities and Administrative (F&A) Costs:**

Facilities and Administrative Costs are calculated in accordance with The University of Mississippi's rate agreement with DHHS, dated September 12, 2011. F&A Costs for research are calculated at 44.0% of Modified Total Direct Costs (Total Direct Costs less equipment, tuition remission, and the portion of each sub-grant or subcontract in excess of \$25,000).



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# *Takeaways*

- **First and foremost: Follow the Sponsor Guidelines**
  - **Required content will be dictated by the Sponsor**
- **Be aware of items that can strengthen your proposal**
- **Avoid generalities in your descriptive writing**
- **BE SPECIFIC**
- **BE REALISTIC**

