Module 2
Preparing and Submitting Proposals
Objectives

1. Accurately describe which office within the Office of Research and Economic Development (ORED) to go to for support in different stages of the proposal preparation process

2. Accurately describe the proposal planning process

3. Explain how the requirements for different types of sponsors vary

4. Demonstrate knowledge of the most common proposal components
Alphabet Soup

- **ORED**: Office of Research and Economic Development
- **OPD**: Office of Proposal Development
- **OSP**: Office of Sponsored Programs
- **RCS**: Research Compliance Services
- **IACP**: Institutional Animal Care Program
- **NUtech Ventures**
What Happens When?

1. Identify a funding opportunity (OPD/ORED)
2. Read the guidelines carefully and multiple times (OSP/OPD)
3. Determine whether there is a limitation on the number of proposals UNL may submit (OPD/ORED)
4. (Early) Determine whether there are intellectual property issues (NUtech Ventures)
What Happens When?

5. (Early) Determine whether there are any compliance issues (RCS/IACCP)
6. Notify OSP of your plan to submit a proposal (OSP)
7. Create the NUgrant record (OSP)
8. If desired, contact OPD for help, early (OPD)
What Happens When?

9. Decide whether you’ll use an outside reviewer (OPD)
10. Create a timeline, working back from the deadline (OPD)
11. Make a proposal development outline and checklist (OPD)
12. Draft, edit, and revise the proposal narrative (OPD)
What Happens When?

13. Draft, edit, and revise the budget and budget justification (OSP)
14. Collect required ancillary documents (OPD)
15. Give the complete proposal to OSP for compliance review; revise based on feedback (OSP)
16. Submit the proposal to the sponsor (OSP)
Whodunnit?

- Can provide a review of the proposal narrative
- Reviews complete proposals and provides feedback
- Addresses financial conflicts of interest
- Handles issues of intellectual property
Whodunnit?

- Helps interpret sponsor guidelines
- Can arrange for external proposal review
- Submits the proposal
- Negotiates and processes awards
- Handles issues regarding animal subjects
Not Just ORED!

**Role of PI / Department**

- Notify OSP Pre-Award coordinator early
- Prepare proposal according to guidelines and complete all sponsor forms
- Route proposal through NUgrant
- Make required copies

**United Parcel Service (UPS)** picks up at Whittier Research Center at approximately 3 p.m. daily (paper submissions)
Not Just ORED!

Role of Dean / Director

• Review and approve or disapprove proposal in NUgrant
• Sign for cost share, if required, and provide cost object
• Help coordinate collaborative proposals and encourage interdisciplinary proposals (OPD can help)
For What? How? From Whom?

- Types of Proposals
- Types of Award Mechanisms
- Types of Sponsors
A Proposal For.............

- Research
- Fellowships
- Equipment acquisition
- Instruction
- Construction
- Other
Award Mechanisms

Grant

Contract

Cooperative Agreement
Award Mechanisms

• Grant
  – Flexible, public purpose
  – Grant agreement terms, Uniform Guidance, federal-wide terms and conditions
  – More freedom, less specific outcomes
Award Mechanisms

• Contract
  – Binding between buyer and seller
  – Goods/services in return for funds
  – Scope of work (SOW), budget, changes inflexible
  – Payment based on deliverables
  – Intellectual property (IP), publication issues
  – Export controls
Award Mechanisms

- Cooperative Agreement
  - Similar to a grant
  - Sponsor substantially involved
Takeout!
You want support from the National Institutes of Standards and Technology to purchase a new supercomputer.
# Takeout Scenario #1

<table>
<thead>
<tr>
<th>Appetizer (Proposal Type)</th>
<th>Soup (Sponsor Type)</th>
<th>Entrée (Award Mechanism)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
<td>Federal</td>
<td>Grant</td>
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<tr>
<td>Fellowships</td>
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<td></td>
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<tr>
<td>Other</td>
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</tbody>
</table>

You are seeking funds from ABC Genetics Inc. to develop a new plant hybrid that resists root rot. ABC wants you to allow its own R&D team to work with you.
Takeout Scenario #2

<table>
<thead>
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You want support from the Cooper Foundation to fund a summer program for high school students interested in learning about the digital humanities.
A graduate student whose research involves studying the impact of shock waves on service members’ brains would like support from the NIH to continue work on her dissertation.
Subaward Proposals

NIH ➔ UNL ➔ Iowa State ➔ • Subawardee
## Subaward Proposals

<table>
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<tr>
<th>UNL has a subrecipient</th>
<th>UNL is the subrecipient</th>
</tr>
</thead>
<tbody>
<tr>
<td>We need their: (1) Statement of Work, (2) Budget and budget justification, and (3) Subrecipient Commitment Form</td>
<td>Another entity submits to prime sponsor; UNL is subject to prime sponsor’s terms and conditions</td>
</tr>
<tr>
<td>Subawardee’s OSP must review and approve</td>
<td>Route through NUgrant: (1) Budget and budget justification and (2) UNL’s statement of work (abstract)</td>
</tr>
<tr>
<td>Public Health Service Financial Conflict of Interest policy</td>
<td>OSP submits these plus UNL’s institutional letter to our sponsor</td>
</tr>
</tbody>
</table>
Subaward Proposals

- Small Business Innovation Research (SBIR)
- Small Business Technology Transfer (STTR)
- Research to encourage licensing and commercialization
  - Business is the applicant
  - UNL is the subrecipient
- Like any other subaward proposal for UNL
- Contact NUtech Ventures
Parts of a Proposal
Timer (10 minutes)

Stopwatch
Next Steps

- Watch for an email containing:
  - a list of proposal development resources
  - a completed version of the worksheet
  - a brief evaluation
Other NUramp Sessions

- *Using Social Media*, Oct. 1, 10 a.m.-12 p.m.
- *Budget Preparation and Development*, Oct. 7, 1-4 p.m.
- *Data Management Plans*, Oct. 8, 11 a.m.-noon
- *Managing Contracts*, Oct. 12, 1-2:30 p.m.
- *Communicating with the Public about Your Research*, Oct. 20, 10 a.m.-12 p.m.
- *Administering the Award*, Oct. 22, 9-11:30 a.m.