The Grant Life Process

Step 1: Identify Project

Research is the key to getting started in grant writing. You will need to read current research and scholarship to find ideas for creative and original projects and to test the merit of your ideas. You will need to conduct research to see that your ideas are workable and fill a real need. You will also need to research appropriate funding sources and their fit to your project. The following section outlines basic steps to get started. OSP is here to help you in your efforts, please contact our office for assistance.

A.   Develop Project Ideas

i.   Identify the Research Question or Need to be Addressed

Read deeply in the literature of your field; ask questions about what interests you – about the gaps in current knowledge that need to be addressed.

- Consider how you might address these gaps.

- What experimental approaches have been used to answer the question at hand? Do you have a new experimental approach that may be more effective?

Do you have ideas for how to improve education methods and practices?

- Conduct thorough research on this topic to see if others have done this or something similar.

- Why do you feel your approach would be successful? What scholarly work supports your ideas, at least theoretically?

- Do you have any preliminary work that shows the strength of your idea?

Is there a problem or need you would like to address?

- How does this problem affect people? Conduct research to understand the need thoroughly.

- What solution/s do you have to meet this need? Have others implemented similar solutions?

- Would your solution produce significant outcomes for the people who are affected by the problem?

- Has this research already been done?

We strongly recommend that you contact the UVU Library Research staff to obtain current results on published research on your area of interest.

UVU Library Research Staff, for research and literature review assistance contact:

Patron Services Outreach Librarian

Location: FL 105 (Fulton Library)

Phone: 801-863-8751

ii. Determine a Strategy for Developing the Project

What is the **timeframe** for the project?

- Will you need to do preliminary work or a pilot study to demonstrate your project's potential?

- Will your project need to be implemented in stages?

- Will your project require a long-term plan? If so, how long?

- Will your potential sources of funding differ over the long-term course of the project?

What **type of project** will you be developing?

- A **research project** – asks a question that matters to the scholarly community; poses a hypothesis; tests the hypothesis; analyzes the results.

- A **needs-based project** – establishes the specific needs of a target audience; sets goals and objectives; conducts specified project activities; measures project outputs and outcomes.

- An **innovation project** – establishes the need in a larger context; implements an innovative solution that could potentially be used as a model for others; evaluates project outcomes as a means of demonstrating the effectiveness of the approach.

- Some combination of the above.

iii. Define Goals and Objectives

What is your project **goal**? (There may be more than one.)

Goal – a broad statement of the overarching intent of the program, the desired end result.

Example of a project goal: "Increase the number of students with disabilities from UVU who receive and retain family sustaining employment for which they are qualified."

- Do your goals reflect or contribute to the goals of the University or your department?

- Do your goals reflect a significant impact to society or the potential to advance knowledge?

What are your project **objectives**?

Objectives – specific, measurable, statements that address the outcomes you hope to achieve.

Example of an objective: "Assess the career goals and employment needs of all students with disabilities who are ready to look for an internship or full-time career employment, especially targeting those within two years of graduation (approximately 100 students per year – 50% of these students will be individuals with severe disabilities)."

For research proposals:

- What is the primary **research question**?

- What are the **variables** to be manipulated and examined? (What are the independent and dependent variables?)
- What is the **research hypothesis**? (What are the expected results or the expected changes in the phenomena to be studied?)

iv.   Create Target Outputs and Outcomes

Funders give grant awards for a purpose – to accomplish a specific task, to achieve a specific outcome, to benefit a specific group of people, to make the world better in some way. While most proposers think about what they want to *do* with funding, most funders look at what will be *accomplished* through an award. Proposers who think and write in terms of what will be accomplished are more likely to receive funding.

What are your target outputs and outcomes for the project?

Outputs – the effort expended to achieve a particular goal. Outputs are measures of the volume of a program's activity. This may be the number of people served, training sessions conducted, activities and services carried out, reports produced, or, as a specific example, the number of buses retrofitted with new fuel technologies. Outputs are almost always in numbers.

Example of an output: "Individualized employment plans will be developed for each student (approximately 100 students, 50% with severe disabilities); plans will identify employment needs and a course of action, and draws on the knowledge and resources of the team."

Outcomes – benefits to people, generally, the results or benefits that participants of a program receive. Outcomes typically represent an achievement or change in areas such as behavior, skill, knowledge, attitude, or life condition for program participants.
Example of an outcome: "At least 30 students with disabilities will be placed into employment annually and will be retained **in** these positions for a minimum of 6 months; 50% of these students will be individuals with severe disabilities."

What if your project is not intended to change skills, knowledge, or other attributes for people?

- Many projects concern basic research, organizational enhancements, and other activities intended to strengthen the ability of organizations to provide high-quality services. Such projects may be designed to extend a discipline's knowledge or to create tools to improve practice, rather than to produce immediately observable benefits for end users.

- Funders support such projects because they anticipate that these projects will contribute to making lives better *in the long term*. In reporting results of such grants, funders want to know what you believe long-term benefits or broader impacts to be, and how those benefits will be recognized when they are achieved.

v.   Determine Needed or Required Resources

What **personnel** would be required for your project?

- This may include faculty, administrators, clerical assistance, laboratory staff, student researchers or interns, etc.

- What specific experience and expertise will be required? Do you know people with this expertise, or will you need to seek them out?

- Will the project involve faculty from other institutions of higher education? If so, involve both them and their Office of Sponsored Programs early in your planning as this may involve a *subaward* to their institution. (See Protocols for UVU Proposals with Subcontracts.)

- Will the project require you to contract for services, such as laboratory analysis, consultants, and external evaluators?

How much **time/effort** will you be able to devote to the project?

- How much time will you and other personnel devote to the project during the academic year and/or the summer, for the lifetime of the project, for this project to be successful?

- Do you expect that some or all of the time of UVU faculty and administration will be considered "part of the job" and thus donated by the university?

- If necessary, can you obtain release time from your department to conduct project activities?

- How much personnel time will need to be paid for by the grant?

What **partnerships** with businesses, industries, school districts, state agencies, or others would be necessary or desirable?

- Do you have any existing partnerships or contacts?

- Do you have partners with existing partnerships or contacts?

- Do your colleagues have contacts that could be useful?

What **equipment, materials and supplies** will be required for the project?

Equipment – considered items that cost $5,000 or more.

- Do you have any of the necessary equipment available to you?

- If not, can you rent or borrow equipment; would an industry partner be willing to make an equipment donation; or will the purchase of equipment be part of the grant request?

- Will there be other associated costs with the equipment, such as training, materials, staff, or maintenance?

Materials and supplies – considered expendable items that cost less than $5,000, including computing devices.

- Include lab supplies, research materials, printing materials, office supplies, etc.

- Laptop computers and printers are considered supplies.

Will **travel** be required for the project?

- Will there be travel to research sites, participant sites, partner sites, etc.?

- Will you be required to pay travel expenses to bring partners or experts to you?

- Will travel be necessary or desired for conference attendance or professional development?

What **facilities** will be required for the project?

- Will the project be conducted at UVU? If so, are there facility costs that are not covered by the institutional *indirect costs*? (Indirect costs are institutionally required to be part of a grant budget except when not allowed by the funding agency.)

- Will the project or part of the project be conducted away from UVU? If so, do you need to rent space or pay for these facilities?

Assign a cost to the resources you will require through grant funds and create a preliminary budget. This will help you in determining what kinds of funding sources are appropriate for your project. Remember that UVU personnel costs are governed by strict policy; they also include fringe benefits and institutional indirect costs, see Proposal Budget Line-Item Guidance explanation

B.   Draft a Summary of the Project

i.   Write a One- or Two-Page Project Summary

For **general proposals** (need-based and innovation-based), write a 1- to 2-page summary of the project. It should include:

- A statement of the problem to be addressed

- An explanation of what will be done

- The goal and expected outcomes

- The amount you are seeking

- An explanation of how the project will be conducted

- Anything else the reader needs to know

For **research proposals**, prepare a research summary that includes:

- The general research area to be pursued and the context of the research

- The research question and objectives

- The variables to be manipulated and examined

- The methods to accomplish the objectives

- The expected outcomes

- The potential significance of the research

You can **use the project summary** to:

- Serve as a starting point for your funding search and proposal writing

- Give to administrators to gain their support

- Give to colleagues, collaborators, and potential partners for their feedback

Note: The summary should be revised as necessary to reflect changes in your thinking, the requirements of funding sources, etc.

ii.   Seek Input and Feedback

Seek input and feedback on your idea before investing too much time into an application. After you have formulated your preliminary idea and have drafted a summary statement, it is important to seek out the advice and experience of others. In addition to your **colleagues**, the following is a list of some of the resources available to you at UVU. **Office of Sponsored Programs Staff,** for proposal development feedback, project planning, funding sources, training, networking resources, writing assistance, and more. Please see Staff to identify who can assist you.

UVU Library Research Staff, for research and literature review assistance contact:

Patron Services Outreach Librarian

Location: FL 105 (Fulton Library)

Phone: 801-863-8751

iii.   Assess the Idea's Potential for Success

Ask yourself the following questions:

- What is the potential of the proposed activity to **advancing knowledge** and understanding within its own field or across different fields? (The project; impact.)

- What is the potential of the proposed activity to **benefit society** – including the targeted participants and society at large? Are the intended results well defined? (Impact; outcomes.)

- Is the proposer (individual or team) well **qualified** to conduct the project? (The person; project lead and collaborators.)

- To what extent does the proposed activity suggest and explore **creative and original** concepts or practices. (Innovation.)

- How **well conceived and organized** is the proposed activity? (Viability.)

- Is the proposed project **well researched**? Does it fairly represent what has currently been done or not done in the field? (Intellectual merit.)

Step 2: Find Funding

It is important to be realistic about your expectations in regards to obtaining funding. Federal agencies and foundations receive hundreds of grant proposals with generally low funding percentages and often take up to a year to provide an award. The bottom line is that funders offer grant opportunities to fulfill their missions and complete their goals or objectives. Your proposal needs to assist the agency or foundation to do that! Do your homework and find opportunities that are a good fit for your project or research and you can increase your chances of receiving funding. Moreover, it may take a long time to find funding. Some programs do not announce awards until nine months after the submission deadline. Sometimes you may need to apply several times before receiving funding.

This section will assist you with identifying appropriate funding sources for your projects, as well as provide information on searchable funding opportunity databases. To begin with, it is important to understand funding source options, and which office processes the desired type of funding you seek.

The Office of Sponsored Programs (OSP) and the Division of Development and Alumni Relations (Development) coordinate their efforts in soliciting funds from private sources. Both offices overlap in their respective missions in pursuit of funding from private and corporate foundations. In general, OSP handles grants and contracts, whereas Development handles gifts and relationships. Our departments have come to an agreement that when a corporate or private foundation is approached for a grant (written or online proposals that have the potential to contractually bind the institution to an outcome or course of action), the proposal and award will be processed through OSP. This allows the University to track expenditures and ensure compliance with the terms and conditions of the grant.

Grants, Contracts & Sponsored Programs. According to Policy 137, OSP manages sponsored programs grants, contracts and cooperative agreements. The term *sponsored programs* includes any project or program that obtains or uses public (government) or private (corporate/foundation) funding for research, education, training or other services with a defined scope of work or objectives that involves UVU faculty, staff, students, facilities and/or equipment. Grant and contract award documents legally bind UVU to the terms and conditions of each award. Awards carry obligations that, if not adhered to, can result in legal penalties for the University and the Principal Investigator/Project Director (PI/PD), or individual responsible for the award (see Understand Your Responsibilities as PI for further explanation). Awards generally require accountability to the funder in the form of fiscal and programmatic reports. Sponsored programs include grants, contracts, subcontracts, and cooperative agreements. A grant is a written request (including online submissions) to an external agency. OSP has the responsibility for coordination and submission of all written proposals requesting grant funds for programs or activities. A grant can be differentiated from a gift by the following measure; a grant designates funds or resources for a specific project or purpose and is subject to **one or more** of the following conditions:

- Specified performance period, or time frame in which funds must be spent;

- Targeted deliverables or specified outcomes;

- Written terms and conditions;

- Unspent funds must be repurposed with permission of the awarding organization or returned;

- Reporting requirements;

- Deviations from the stated proposal request or approved budget requires the sponsor's approval; and

- Funds can be rescinded if not used for the purpose described in the grant proposal.

The following types of funding are *handled through the Office of Sponsored Programs* including:

- Federal grants

- Federal pass-through money to states

- State agency grants

- State or federal contracts

- Private and corporate foundation grants

- Professional and scholarly organizations

If you would like to apply for a foundation grant, please contact the OSP Program Director Research Administration for approval to proceed. These people coordinates foundation requests with Institutional Advancement. Together, they coordinate requests from UVU so that foundations do not receive multiple, conflicting requests or jeopardize institutional objectives. Please understand that many local foundations have prior commitments with UVU and may not be available for faculty.

Gifts/Development and Alumni Relations. *Gifts* are defined as any money – including donations, endowments and bequests, property or other assets from private sources for which the donor does not retain any reversionary interest or cannot be expected to receive any material or preferential benefit from the act of a donation. Generally, funds received from private sources *where deliverables are not required*, are regarded as gifts. Gifts may include all forms of charitable contributions, including cash, stocks, pledges, planned gifts, real estate, and gifts-in-kind given to the University within UVU Foundation guidelines. Guidelines established by the IRS and by federal accounting standards assist in defining whether or not funds may be considered a gift. **Gifts are *handled through* Institutional Advancement.**

Note: The Office of Sponsored Programs (OSP) and Institutional Advancement coordinate their efforts in soliciting funds from private sources. No institutional personnel or students are authorized to conduct charitable fundraising activities on behalf of the institution without the full knowledge and prior approval of OSP (grants) or Institutional Advancement(gifts).

No individual, program, department, or office of UVU should engage in direct grant solicitation or fundraising activities from private or corporate sources. Such actions could jeopardize other fundraising activities at UVU as well as the responsible individual's standing at the University.

A.   Develop Funding Strategies

Suggested strategies for finding funding sources:

o **Make a list of key words** for searching in your area of interest; refine your list over time.

o **Get acquainted** with several research sites in your field, bookmark them, and check them periodically; subscribe to email notifications and updates.

o **Be astute** in determining what funders want to fund (match to their giving interests, geographic focus, type of support, etc.).

o **Be creative** in finding ways to match what you want to achieve to what funding organizations want to fund. (Think in terms of outcomes.)

o **Search the specific sites** of various federal funding agencies (nsf.gov, ed.gov, neh.gov, nea.gov, etc.) for lists of current and pending funding. This approach can give you advanced awareness of upcoming programs so you can plan well in advance rather than waiting for the funding announcement to appear, often only giving you a month's notice.

o **Network with other investigators** as a good source of locating funding sources. Talk to others to increase your awareness of funding programs available and broaden your perspective about how you can shape your project to fit available funding sources. Networking can be done at an institutional level, as well as the state, national or international level. Professional organizations allow networking by bringing together researchers from around the state, country, and world to conferences and workshops.

- o **Phone calls** to state offices and agencies may be useful in learning what government funding is available in Utah. Some federal agencies have program officers who are willing to talk about available funding sources, particularly if you are trying to determine whether or not a particular funding program is suitable for your project.

- o *Note:* **Do not contact any foundation directly to inquire about funding (including phone calls or emails to seek clarity regarding funding interests). Instead, contact UVU's Program Directors- Research Administration.**

- o **Read, read, read!** Pay attention to who gets funding for what and from whom. Professional and organizational journals and newsletters often contain information about recently funded projects. Even the newspaper has articles on grants-funded projects.

B. Find Funding Sources

UVU subscribes to information databases for grants from federal, private and corporate foundation sources. These are only available to faculty and staff of UVU. Please contact us if you are interested in additional resources, desire to learn how to find available grant opportunities, or would like to obtain a password to access paid resources. If you or your department intend to apply for a grant, please fill out the Notification of Intent to Prepare a Grant Proposal (NOI) **before** you begin preparing a proposal. This will enable us to both coordinate and consolidate grant-writing efforts across campus.

i. Internal Funding

Internal funding can be a stepping-stone to establish and test a program, obtain preliminary data, and troubleshoot problems to prepare for submitting a proposal to external funding sources. The Office of Undergraduate Research sponsors many of these funding opportunities under Undergraduate Research and Creative Works which include GEL and SEED grants, the Presidential Fellowships Program and other sources. In addition, the UVU Institutional Advancement offers a Merit Grant.

ii. Federal Funding

Grants.gov – The grants.gov system provides a centralized location for grant seekers to find and apply for competitive federal funding opportunities that are currently open for solicitation. This site also provides access to 26 federal grant-making agencies, and daily email notices customized to your interests.

ALN (Assistance Listing Number) – This is the official publication of all grant programs available from federal agencies and organizations. This indexed web site includes notices of funding availability. To search: On the right side of the screen (in the light green area) under Find Programs type in a keyword such as literacy. It does not give deadlines, but it will give you specific opportunities, and you can then use their ALN # to search on grants.gov and find the full announcement and deadlines.

Check Federal Agency Websites

Search the specific sites of various funding agencies for lists of current and pending funding. This approach can give you advanced awareness of upcoming programs so

you can plan well in advance rather than waiting for the funding announcement to appear, often only giving you a month's notice. These agency sites include, but are far from limited to:

The U.S. Department of Education (DoEd) is a government agency that provides grants for projects that focus on enhancing education. The department funds projects that represent its mission, "to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access."

The National Science Foundation (NSF) is a federal funding agency with various science and engineering grant opportunities "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense."

The National Institutes of Health (NIH) is a part of the US Department of Health & Human sciences. This agency provides funding for biomedical research projects for scientists, physicians, and all others experienced in biomedical research.

The National Endowment for the Humanities (NEH) promotes excellence in the humanities and conveys the lessons of history to all Americans. The Endowment accomplishes this mission by awarding grants for top-rated proposals examined by panels of independent, external reviewers.

National Endowment for the Arts (NEA) supports arts learning, affirms and celebrates America's rich and diverse cultural heritage, and extends its work to promote equal access to the arts in every community across America.

The U.S. Department of Labor (DOL) promotes the welfare of wage earners, job seekers, and retirees; improve working conditions, advance opportunities for profitable employment, and assure work-related benefits and rights.

The U.S. Department of Health and Human Services (HHS) contractors and grantees play a valuable role in helping to protect the health of all Americans and provide essential human services. HHS grants are provided to states, territories, tribes, and educational and community organizations.

These websites, while all different, provide additional resources for funding searches and grant development. For instance:

- Some websites provide both lists of currently open grant programs and of all existing programs (which generally offer competitions on a regular cycle). By seeing what programs may be upcoming, you can plan your grant well in advance. In fact, many federal grants competitions are held on an annual or periodic cycle. Those who receive funding start early.

- Most federal grants websites provide access to the abstracts of recently funded proposals for specific programs. This can be helpful in understanding what kinds of topics or programs are being funded and in shaping your ideas about your project.

- Many federal grants websites provide dates of upcoming webinars and training workshops for grant competitions that are recently open or about to be opened.

- Some federal grant websites provide additional helps for grant writers, including lists of other sources of funding, written guides for grant writers, data on where funded grants have been located, etc. A few websites provide examples of funded proposals.

iii. Research Tools

The following subscriptions are paid for by OSP and provide searchable grant opportunities to UVU faculty and staff only. Contact OSP for login information and password.

AASCU/GRC (American Association of State Colleges and Universities/Grants Resource Center – Provides notices about grant opportunities specific to public colleges and universities. (Please contact us for password information.) ***To search:*** After logging in, click on *GrantSearch* from the drop down menu. Under *Select an Academic Category* choose a topic (such as *Education*) and notice, the *Select Academic Subjects* choices will change depending on your academic category selection. *Academic Subjects* can be chosen by double-clicking the highlighted subject or clicking the *Add* button. *Activity, Funding Sponsor* and *Deadline Months* are optional fields. Scroll down to select *Start Search*. ***Note:*** This site offers other resources such as announcements and updates about important programs and a library of funded proposals that OSP may request for writers to use as examples.

SPIN (Sponsored Programs Information Network) – Lists funding opportunities from both government agencies and private foundations. The SPIN website can be accessed automatically while on UVU's campus. If you plan to search while off-campus, faculty or staff can contact us for password information. This database offers a feature that will allow individuals to create customized automatic searches and receive daily or weekly notices based on specific keywords. To learn how to use this feature as well as site navigation, faculty and staff can create a profile and password. Once that has been approved, please you will be given access to the training videos located on the *Training and Events* tab (all training clips are under one minute).

Foundation Search Provides comprehensive fundraising information on non-profits and charities. It offers tools to search foundation giving, making it possible to locate grants by type, specific giving interests, subjects or geographic region. For access, please make an appointment with the OSP Program Director of Contracts and Foundation Grants. You can request that a search be performed by OSP.

We can provide you with training on how to most effectively use the University's databases. After you have done all you can do to locate viable funding options, if you are still unable to find opportunities that meet your needs, upon request (and as time allows), OSP can perform a custom search targeted to a general investigative field or a specific project idea. To get started with your custom funding search, contact your OSP Program Director and provide:

- A brief summary detailing the nature of your project

- A timeframe for when you need the funding

- How much funding you need

- Specifics that would be important to know

- Focused and concise keywords, so that we can best match your research plans with available funding opportunities.

Within approximately three weeks of your request, OSP will contact you to discuss available funding opportunities if any are found.

C. Ensure the Project Qualifies

i. Study the program solicitation to determine if it is a good fit

Proposals are generally written in response to a program solicitation, a formal statement that invites competitive applications in a specific area to accomplish defined program objectives. The solicitation indicates the purpose of the program, the due date for proposal submission, the estimated amount of funds set aside for the competition, the estimated number of awards to be made, requirements for applications, evaluation criteria, and submission procedures. The following synonymous terms are commonly used by government agencies to describe proposal solicitations.

- Request for Proposals (RFP)
- Program Announcement (PA)
- Request for Applications (RFA)
- Broad Agency Announcements (BAA)
- Solicitation for Grant Applications (SGA)

The Principal Investigator (PI)/ Project Director (PD) has the responsibility to thoroughly review any solicitation under which they intend to submit a proposal. A PI/PD must be very familiar with the solicitation in order to submit a proposal that properly targets the sponsor objectives as outlined in the solicitation. The Program Solicitation Worksheet may help you in reviewing and understanding a program solicitation.

ii. Consider requirements, limitations, feasibility, required expertise, and time commitment

Scrutinize every detail of the requirements.

- Does the program _really_ fit your project?
- Does the program place limitations on your project or its participants that you are not willing to which you are not willing to commit?
- Is it feasible for you to prepare a proposal for this program in the time allowed?
- Do you have the required expertise to meet the program's expectations?
- Do you have the time that will be needed to conduct this program successfully?

Sometimes a funding program seems at first like a good fit for your project, but upon closer examination, is not. It is unwise to waste time applying for programs that do not truly fit your project. Foundations almost never fund outside their stated program purpose. Federal programs are required by law to adhere to their program solicitation. All grants are very competitive: know that if you are not selective about choosing appropriate funding opportunities, reviewers will be discerning about your project's shortcomings and selective about the proposals that meet their expectations.

iii. Adjust the project to fit the requirements, if appropriate

You will likely need to adjust or modify your initial thinking about the project to make it fit the program requirements. For example:

- For some solicitations, you may need to scale down your project or focus on only a portion of the larger project you envision.

- For some solicitations, you may need to shift your project's focus a little to address the program's purpose or priorities.

- For some solicitations, you may need to broaden your project plan (i.e., to include program partners, to include named best practices, to include a broader participant base, to include additional aspects such as project dissemination, etc.).

iv. If the grant funding entity is a non-federal agency, private or corporate foundation, you must contact OSP for approval

If you would like to apply for a non-federal grant, you *must* first contact the OSP Program Director Research Administration for approval to proceed. This person coordinates foundation requests with Institutional Advancement that solicits gifts for the institution. Together, they coordinate requests from UVU so that foundations do not receive multiple, conflicting requests or jeopardize institutional objectives.

- Do not call, email, or speak with a foundation representative without permission.

- Do not send a grant proposal or letter of inquiry to a foundation without permission.

- If a foundation is cleared for you to apply to, you will receive notification that you are free to proceed with the request or inquiry.

- You may also receive advice for approaching the foundation from the Director of Contracts and Foundation Grants.

Remember – no individual, program, department, or office of UVU should engage in direct grant solicitation or fundraising activities from private or corporate sources. Such actions could jeopardize other fundraising activities at UVU as well as the responsible individual's standing at the University.

v. If the grant funding entity is a government agency, you may contact the program officer directly

Individuals, programs, departments, and offices may apply for government grants and contracts. While the Office of Sponsored programs will coordinate and submit requests, UVU employees are free to contact the representatives of federal funding agencies (called *program officers* for federal grants and a *contracting officer's representative* for federal contracts) directly.

- Contact a program officer if you have questions about your project's fit with a funding program, about specific requirements of the solicitation, or about UVU's eligibility.

- Program officers of some agencies (NSF, NIH, and NEH) will talk with you about your ideas and give you suggestions about refining the project for a better proposal or about other more appropriate funding programs.

- You can usually find the contact information for a program officer in the solicitation.

- Most program officers give you the option to call or email them. Generally, email is the preferred mode of contact, at least initially.

vi. It can be helpful to review a funded application for a program before creating your own application

Copies of awarded federal proposals are made available from various funding agencies upon request in accordance with the Freedom of Information Act (FOIA). It is polite to request a copy of the proposal directly from the PI, however if impractical, each agency has a FOIA officer and contact information can generally be found on the agency website or from the agency public affairs office. OSP can also provide assistance in obtaining copies of funded proposals upon request. Plan ahead as this process takes approximately 3 weeks and may involve a fee from federal agencies. See, for example, the FOIA information at NSF and DoEd.

Step 3. Initiate Proposal

Once a funding opportunity has been identified, it is important to lay a foundation for successful proposal submission. You will need to begin the mandatory approval process and make a plan for meeting all of the proposal requirements to ensure a punctual submission by OSP.

This section will guide you through the process of initiating a proposal, budget preparation, and coordinating with partners and UVU offices. First, you need to understand your responsibilities when you commit to the role of Principal Investigator (PI) or Project Director (PD) on a grant. You will need to notify your administrative authorities of your intentions and obtain their permission to proceed. You must also notify the Office of Sponsored Programs of your intent to prepare a proposal by filling out and submitting a NOI located in *Required OSP Forms* and work with its staff through the process. You will need to meet with either the OSP Program Director of Sponsored Research (for federal and state grants) or the OSP Program Director of Contracts and Foundation Grants (for federal/private contracts, and/or foundation/private grants) on the budget, project timeframe, and OSP involvement. You should coordinate early with any partners to your project so that they have input and buy-in to your project. Depending on the nature of your proposal, you might also need to coordinate with or request services of other UVU offices, such as Institutional Research and the Institutional Review Board. Promptness in addressing these critical issues can make the difference between a proposal being submitted or not.

Preparing a grant proposal takes a considerable amount of time. Contact OSP early in the process, especially if grant preparation assistance is needed. **Please be cognizant that all proposals must be completed and submitted to OSP at least five (5) business days prior to the proposal submission deadline.** This allows sufficient time to gain administrative signatures and for OSP personnel to do a thorough review of the final documents and budget prior to submission as well as allow the time needed to make any required corrections, if necessary.

Note: Some proposals may require more time to gain approvals. For instance, a proposal that has subcontracts or requires the President's signature may take additional time. (A signature or letter from the President, takes a minimum of ten business days).

Late Proposals

Failure to comply with this deadline policy may result in your proposal NOT being submitted. Please note that additional time may be required to address funding for research, new curriculum construction, external subawards, contractual relationships, revenue generating activities, cost sharing or match, or indirect cost modifications. Please contact OSP early in the proposal development process for assistance and direction in these matters.

Please understand that proposals that do not meet the five-business day deadline will not be given priority, and will be reviewed and/or submitted only if time allows. We will do our best to work with individuals needing additional time, however, it is imperative that you notify OSP in advance if more time is necessary and that you continue to communicate with OSP throughout the process.

If a late proposal is not submitted due to errors discovered during a late review, notification may be sent to the PI, department dean, chair or administrator informing individuals of any errors or crucial items omitted in the proposal that compelled the decision to reject submission. A department supervisor or area administrator may also choose to withdraw a proposal from a competition at any time in the development or submission process at their discretion. It is usually wise to discuss this proposal early with supervisors to avoid last minute conflicts.

A.   Understand Your Responsibilities as PI

The Principal Investigator (PI) or Project Director (PD) is the individual assigned and named in a proposal and in the award document as the person responsible for the proper conduct and management of a project. According to University policy, the PI/PD must be a UVU employee (full-time exempt), since there must be direct accountability to the University for the conduct of the project, in addition to accountability to the external sponsor and any governmental regulators.

In a legal sense, externally sponsored programs/projects are actually contractual agreements between a sponsor and the University. In order for the University to fulfill its obligations under such agreements, it relies on the PI to fulfill his/her role responsibly. Please note the following distinctions:

- o   While the PI/PD coordinates the preparation of the proposal and supporting documents, proposals are submitted by UVU through the Office of Sponsored Programs (OSP).

- o   While the PI/PD holds primary responsibility for conduct and management of an award, UVU is the recipient of the award and holds fiduciary and legal responsibility. UVU provides oversight on issues of federal, state, and University compliance, laws and regulations through OSP.

The PI/PD has the pre- and post-award responsibilities described below. You should be fully aware of what these responsibilities entail before you prepare and submit a proposal. (Note, however, that if a grant is awarded, OSP will provide training to help you understand your responsibilities.) Please review the following sections carefully.

i.   Grant Proposal Preparation

The PI is responsible for proposal preparation. S/he may request the assistance of others, including OSP, but the PI is ultimately responsible for the research, planning, writing, and editing of the document; for assembling all supporting documents, including the budget; and for submitting these documents to OSP in time for proper review and submission.

ii. PI/PD Assurances

Prior to submission, the PI is required to certifying that the proposal is accurate and free from falsification, fabrication, or plagiarism; the PI accepts responsibility for the conduct and reporting of the project; assures participants are not debarred; agrees to comply with the terms and conditions of the external funding agency; and makes other assurances related to UVU policies and procedures. The PI signature on these assurances is part of the Grant Proposal Submission Approval Routing Form (GPSR) that the PI submits to OSP.

iii. Award Management

Programmatic Aspects

If a grant is awarded, the PI is responsible to:

i. Manage the technical/scientific and programmatic phases of the project and assure that expenditures are made for the intended purpose of the project, and are in accordance with sponsor requirements, University policy and procedures, and any governmental regulations.

ii. Understand and meet the grant or contract terms and conditions, including any special or unusual conditions.

iii. Strictly comply with the scope of work unless changes are agreed upon in writing by the sponsor and submitted to OSP.

iv. Oversee the training and work of students and other personnel working on the project.

v. Ensure appropriate management of lab, space, or instrumentation needed to complete the project.

While a PI may delegate administrative responsibilities to another individual, ultimately the PI remains fully responsible for all charges, changes, and conduct of the funded project. Please note, when a single research award possesses more than one PI, each PI in a multiple PI award shares the responsibility and authority for leading and directing the funded project as "equals." The presence of more than one identified PI diminishes neither the responsibility nor the accountability of any individual PI. The first PI serves as the contact PI to the sponsoring agency.

Fiscal Aspects

The PI is responsible to understand the fiscal requirements as stated in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200, Subpart E) to:

vi. Ensure that funds are spent appropriately and within the sponsor, college, and/or state guidelines.

vii. Initiate the necessary documents/forms for travel, purchasing, employment, contracted services, extra compensation, etc., in conformity with established institutional policies and procedures.

viii. Supervise expenditures and charges in conformity with the budget approved by the sponsoring agency and guidelines in the budget.

ix. Provide care and maintenance of property procured with project funds in accordance with the sponsor's guidelines.

x. Work with OSP on any changes in the budget, scope of the project, change or absence of the PI/PD, period of performance, etc.

xi. Write and submit progress reports as stipulated by the sponsor in the award agreement.

xii. Review the financial status and closely monitor the project expenditures. If corrections are needed, notify the OSP Manager of Post Award Financial Services.

In the event a PI (or an individual designated by the PI to be responsible for expenditures on an account) fails to follow appropriate cost accounting standards and/or University policies, the PI and his or her cognizant department/vice president will be responsible for covering the cost of any disallowed costs and/or over-expenditures incurred on the account. Additionally, if a PI requests a project index prior to receipt of an award agreement or grant, and the project is not fully funded, or if costs are incurred outside the start or end date of a grant agreement resulting in cost disallowances, the PI and his/her cognizant department/vice president will be responsible for covering the disallowed costs of the sponsored program.

Compliance Aspects

The PI of awarded grants and contracts are responsible for all compliance aspects of the award. The failure to do so can penalize the institution as a whole, making the institution ineligible to receive new awards.

xiii. PI's are expected to conduct the project using the highest ethical standards following policies relating to integrity in research and declare any potential conflict of interest for themselves or any individual involved with the project.

xiv. The PI must comply with the technical requirements of awards such as any and all approvals (e.g. Institutional Review Board (IRB), Human Subjects, Animal Use, Environmental Health & Safety, Conflict of Interest, etc.)

xv. PI's must submit a timely completion of periodic and final narrative reports on the progress of the project and overseeing others who participate on the project, including University personnel, consultants, and subcontractors. Failure to submit technical reports on time can jeopardize continuance of the grant, damage the institution's reputation, and penalize the institution as a whole.

B.   Submit Required OSP forms

The first form is the Notification of Intent (NOI). Please submit this form as soon as you have identified a funding source. This form requests basic information about the proposal, including the estimated amount of funds being requested, and requires preliminary administrative approval. The purpose of the form is to notify OSP that you intend to prepare a grant proposal and have department approval to begin the process. In compliance with University policy, the form facilitates campus-wide coordination and appropriate oversight. It also helps avoid multiple requests from the same funding source and may allow collaborative opportunities to be explored. Please submit this form **before** proposal preparation.

The second required form is the Grant Proposal Submission Approval Routing Form (GPSR) which requests detailed project information, PI/PD assurances, and UVU

endorsements from the Dean, Chair, and other responsible or impacted individuals or departments. The completed proposal should be attached with this form and submitted to OSP 5 business days before the grant proposal deadline. Please allow sufficient time to obtain administrative signatures to ensure compliance with OSP's 5-day requirement.

C.   Make a Plan to Meet Funder's Requirements

Study the program solicitation carefully to see that you understand all of the funder's objectives for this program. That is, why is the funder giving money? What are their purposes? What do they want you to accomplish? The funder's objectives may be different than your own. You will need to focus on their objectives to prepare a successful proposal.

Note: Do not overlook objectives or requirements that are not a good fit with your project. If you cannot meet all of the mandated objectives and requirements, you should rethink your project or the appropriateness of this funding opportunity.

The responsibility lies with the PI/PD to assure that the proposal meets the sponsor's guidelines and requirements. OSP shares in this responsibility as it pertains to budgets, institutional certifications, and submission guidelines, so it is important that PIs communicate their understanding of sponsor's requirements to OSP. If there are questions about federal proposals, you may contact a program officer for clarification if contact information is provided in the solicitation.

i.   Identify Cost Sharing, if Required

Cost sharing is generally the portion of the total project costs that are committed by the institution receiving an award rather than the funding agency. Some grant programs require cost sharing or matching as a condition of receiving an award. Other grant programs suggest that cost sharing, in some form will be advantageous to the proposer. **University policy allows for cost sharing only when it is required by the funding agency**. You should determine the following from the program solicitation:

- Is any form of cost sharing or matching required or suggested by the funder? (Please see *Budget Elements – Cost Share, Match, and Leverage* for an explanation of types of cost sharing.

- Is this form of cost sharing allowed by UVU? (If not required by the funder, it is not allowed by UVU.)

- If cost sharing funds are required, are such sharing funds available? Is the project worth the cost to the institution?

- If cost sharing is voluntary (which is not allowed by UVU), are there workarounds that would allow you to demonstrate institutional contribution without directly committing funds? Please talk with the appropriate Program Director about options.

ii.   Identify Specific Requirements and Essential Resources Needed

The funder may have specific requirements that must be met, such as a PI who is a teaching member of the faculty; partnerships with school districts, business and industry, stage agencies, etc.; letters of commitment from partners; an external evaluator; vendor quotes for equipment purchase; travel to program conferences, etc. Make a list of all of these requirements and a plan for meeting them.

You may have additional needs specific to your project, such as specialized equipment, space or facilities on or off campus, project personnel, consulting services, subcontracting services, travel, etc. (see *Determine Needed or Required Resources*). Make a list of these needs specific to this grant project and a plan for meeting them.

iii.   Understand the Required Submission Process

Almost all funders now require an electronic submission process. Federal agencies are required to use Grant.gov, but several agencies, like NSF, have their own submission portals. Some few organizations or foundations request paper copies of proposals, but this is rare. The submission process for a proposal is usually explained in detail in the program solicitation. Please follow these requirements to the letter. The most common forms of submission are:

Grants.gov – an online portal used by all federal grant-making agencies and their applicants to find and apply for federal funding. The basic steps are provided below. If you have problems, please contact the OSP Program Director of Sponsored Research.

1. Register with grants.gov. Fill in the required information and create a username and password, and then create a profile that includes Utah Valley University as the organization.

2. Once you have created a profile, click on the *Applicants* tab and click on *Apply for Grants*. Then click on the bottom right hand corner on the red box *Get Application Package*. Once you have done so, you will need to data enter your Funding Opportunity Number or CFDA which is usually found on the cover page of the Request for Proposals or grant guidelines.

3. You will now have the ability to create a Grants.gov *WorkSpace* which will enable you to access the forms you need for your specific grant application.

4. Grants.gov WorkSpace provides a number of online tutorials and helps for using this system to work collaboratively with your project team members. All team members to whom you desire to give access to the WorkSpace will need to be registered with Grants.gov as well.

5. With the Program Director of Sponsored Research, complete the required program and budget forms and upload the required pdf documents (i.e. Abstract, Narrative, Budget Narrative, etc.).

6. After the application has been completed, it must be submitted by OSP.

Note: UVU's OSP maintains all institutional registrations with the Dun & Bradstreet (DUNS number), federal System for Award Management (SAM), Grants.gov, and other required submission systems. Please do not attempt to re-register UVU for any of these systems.

Research.gov – is the online portal used by the National Science Foundation. Research.gov provides a page for uploading all the documents of a proposal and a mechanism for reviewing and checking them. While proposals to NSF can be submitted through Grants.gov, NSF recommends using the Research.gov site because it checks grant applications for compliance to the specific program before they are submitted, which Grants.gov cannot do. This compliance check may alert the submitter to problems for which the proposal may otherwise be rejected. To prepare to submit a proposal through Research.gov please follow the general steps below.

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1. If you are not already registered on Research.gov you must contact the OSP Program Director of Sponsored Research to become registered and set up an account through UVU. (If you have been previously registered through another university, you must repeat this process again at UVU.)

2. The Program Director of Sponsored Research will give you a temporary NSF password. You should login to NSF and create a permanent password.

3. As a registered PI, you will need to set up a proposal workspace through your FastLane account. During this process, you will receive a Proposal ID#. You may share this ID with Co-PIs and others to whom you wish to allow access to the proposal workspace.

4. With the Program Director of Sponsored Research, complete the required program and budget forms and upload the required documents. Although there is some variation in requirements among programs, there are standard elements of an NSF proposal, which are described in Components of an NSF Grant Submission File.

5. After the application has been completed and checked for compliance, it must be submitted by the OSP Program Director of Sponsored Research.
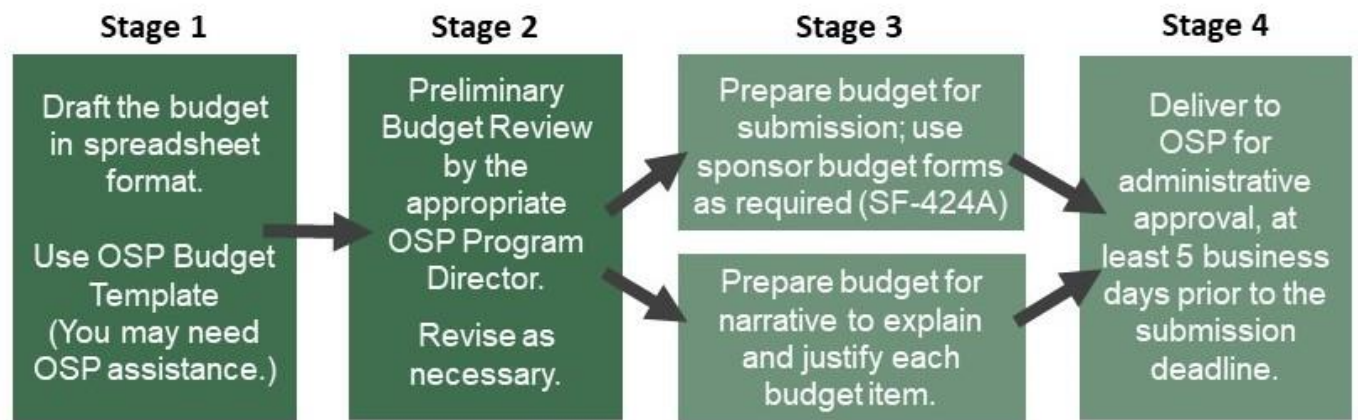
Online submission of electronic forms – some state agencies and foundations have online submission forms. Often, the text boxes of an online form can be prepared in a Word document and then cut and pasted into the form. After the application form has been completed, it will be submitted by the appropriate OSP Program Director.

Email – some small federal agencies, state agencies, and foundations ask that proposals be submitted by email, either as an MS Word file or a PDF file. The program solicitation will give complete instructions and an email address. After the submission has been reviewed by OSP and prepared as an email, it may be submitted by the appropriate OSP Program Director, or, with approval, by the PI or PD of the project.

It is good to know in advance how your proposal must be submitted and what role you will play in the submission process. Please review the submission requirements for your program in advance and then discuss them with the appropriate OSP Program Director during your meeting (see Step 3e).

D.   Draft the Project Budget

As you make your plan to prepare the proposal and to meet all the funder's requirements, you should begin to plan the project budget. You need to know that you have sufficient funds to do all that will be required. Preparing the budget for a proposal is generally a multi-stage process as depicted below.

Stage 1	Stage 2	Stage 3	Stage 4
Draft the budget in spreadsheet format. Use OSP Budget Template (You may need OSP assistance.)	Preliminary Budget Review by the appropriate OSP Program Director. Revise as necessary.	Prepare budget for submission; use sponsor budget forms as required (SF-424A)	Deliver to OSP for administrative approval, at least 5 business days prior to the submission deadline.
		Prepare budget for narrative to explain and justify each budget item.	

The current section explains Stage 1. Stage 2 is explained in the following section. Stage 3 is described in Step 4 of the Grant Life Process. Stage 4 is described in Step 5.

The proposed budget should be an accurate reflection of the necessary expenses associated with the planned project. The budget should be considered as you are developing the project itself – not something hastily put together at the end. This is important for two reasons:

1. Developing the budget alongside the narrative assures that the budget items are specifically related to activities described in the proposal.

2. Reviewers often examine the budget in the context of the program narrative, evaluate whether sufficient and appropriate personnel to perform the work have been included, and match the overall budget to the work proposed.

Remember that the final budget must be detailed and avoid vague estimates. You will probably need to do some research to determine how much necessary items will cost.

Note: Sponsors often have specific budget requirements and restrictions. Review the sponsor guidelines thoroughly for requirements or restrictions regarding the proposal budget.

i. OSP Budget Worksheet

For federal and state proposals, use the OSP Budget Worksheet. This spreadsheet places expenditures in the categories required for federal proposals. There are tabs for up to years five years of a project and a summary page. The lines for personnel, fringe benefits, and indirect costs are self-calculating based on current rates and formulas. The spreadsheet totals expenses for each category. Most individuals find it useful and time-effective to review the form with the Director of Sponsored Research before beginning. If you have any questions or problems as you work with the worksheet, please contact this individual. For foundation proposals, it may be necessary to use the OSP Budget Worksheet, or a spreadsheet of your own design. Please check with the Program Director of Contracts and Foundation Grants.

ii. Budget Principles for all Grants and Contracts

The budget should be carefully developed following UVU and federal policies. Since UVU receives federal funding, it is required to follow federal rules, guidelines, and procedures when administering grants, contracts, cooperative agreements, and other sponsored agreements. All sponsored activity whether federal, other governmental, or privately funded should be given consistent treatment through application of generally accepted

accounting principles appropriate to the circumstances and comply with the appropriate Uniform Administrative Requirements of the Federal Office of Management and Budget (OMB) regulations. These standards and circulars must be followed when formulating a budget for a federal grant or contract. When you meet with the Program Director of Sponsored Research (Stage 2), you will be advised about any aspects of your budget that may not comply with UVU and federal policies.

a. *Direct Cost Principles and Justification*

The University is required to comply with the Federal Cost Accounting Standards which require that the University maintain consistency in budgeting and expending, and in allocating costs to activities, accounting for unallowable costs and cost accounting periods. These standards – along with 2 CFR 200 of the OMB and State and University policy – dictate how the University budgets and expends externally funded projects, including both government and private sponsors. To meet these requirements, it is critical that all costs charged to a grant are:

Allowable Costs – Those categories of costs that can be charged to a grant or contract. Certain types of costs are not allowable and may not be charged to a contract or grant.

Reasonable Costs – A cost may be considered reasonable if a reasonable person would have taken the same action given the circumstance.

Allocable Costs – Those allowable costs that actually benefit the grant or contract to which they are being charged.

Consistently Treated – Similar costs are treated consistently in similar situations within the grant award and within the institution.

Unallowable costs are not allocable to sponsored programs either as a direct cost or as an indirect cost. These include alcohol, lobbying, fundraising, and goods and services for personal use, among others.

b. *Supplanting*

Supplanting is the act of reducing consistent state or local funds for an activity specifically because federal funds are available (or expected to be available) to fund that same activity. That is, supplanting is replacing any consistent, budgeted funds that have been allocated for an existing activity with federal grant funds. Existing funds for a project and its activities *may not* be displaced by federal funds and reallocated for other organizational expenses. This is illegal. On the other hand, federal agencies encourage supplementing—that is, adding federal funds to what is available in state, local, or agency funds.

c. *Funding Overlap*

It is often necessary to have multiple funding sources for a project. Sometimes, a project will have a combination of federal and private sources or multiple federal and private sources. It is critical that each sponsor be fully aware that other entities are providing funding; that is, all funding support is fully disclosed to each funding source. This becomes even more important if the funding has or may generate patentable intellectual property.

When soliciting federal support, it is acceptable to *submit* essentially the same proposal to more than one agency; however, funding cannot be *accepted* from more than one federal agency for the same work. In order to leverage the funding,

the project must be separated into discrete sections. Another option is to work with the agencies to jointly fund the project either through the transfer of funds or a memorandum of understanding.

iii.   Budget Elements – Direct Costs

Direct costs are those costs that can be directly attributed to carrying out the work of the proposed project and can be documented by recordkeeping mechanisms. Direct costs are generally organized into the categories listed below. These categories are described briefly here and in more detail in the document Proposal Budget Line-Item Guidance.

a. Personnel Costs

- Faculty – payments made to UVU faculty for work performed, based on the individual faculty member's base salary (see *Budgets* for explanation of rules).

- Staff – payments made to UVU staff for work performed, based on the individual staff member's base salary, or if a new hire, on HR rates for job descriptions.

- Hourly Personnel – payments made to hourly personnel employed or hired by UVU, including undergraduate researchers, based on HR rates for equivalent jobs.

b. Fringe Benefits – a fixed institutional rate based on the type of employment included for all personnel listed in (a) above (see *Budgets* for fringe benefit rates).

c. Equipment – an item of tangible property to be purchased, rented, or leased that has a value of $5,000 or more and a useful life of two or more years.

d. Travel – all foreign and domestic travel, including costs for airfare, transportation, lodging, and food.

e. Participant Support – costs associated with student participants, including tuition, scholarships, travel, and other. Does not include student wages.

f. Supplies & Materials – expendable items including laboratory materials, information technology items (computers and printers less than $5,000), training materials, and materials for project advertising or participant recruitment.

g. Publication & Dissemination – fees charged by journals for publication and other costs associated with dissemination of project findings (not travel).

h. Consultant Services – costs of professional and consultant services rendered by non-UVU employees of a particular profession or specialized skill. Includes the cost of external evaluators.

i. Computer Services – generally research-specific services, such as reserving computing time on supercomputers or getting specialized software to help run statistics.

j. Subawards and Subcontracts – subawards are program awards to subrecipients for a specified scope of work; subcontracts are payments to contractors for goods or services.

k. Other – other direct costs that do not fall into one of the above categories. Check with the Director of Sponsored Research on these items.

iv. Budget Elements – Indirect Costs

Indirect costs are actual costs associated with providing and maintaining the infrastructure of the University. Indirect costs are sometimes called *facilities and administrative* (F&A) or *overhead* costs. Indirect costs are not readily identifiable or specifically attributable to an individual grant or contract project. Examples include utility costs, depreciation of buildings and equipment, operations and maintenance, grant and contract administration, and utilization of classroom or lab space to name a few. UVU's federally negotiated *indirect cost rate* must be calculated into the budget on all federal grants. Grants from the State of Utah, local government, and most private or corporate foundations also have an associated indirect rate which are usually different from the federal negotiated rate and must be used if allowable. Please contact the OSP to identify the applicable indirect rate for your specific project. <u>This rate is non-negotiable unless otherwise restricted by the grant guidelines.</u>

v. Budget Elements – Cost Share, Match, and Leverage

Cost share, match, and leverage refer to the costs of a project not borne by the sponsor or granting organization. Cost share/ match/leverage includes the portion of the total project cost which the University is required to expend in order to meet the terms and conditions of the sponsored project. The sponsor will list its cost share/match/leverage requirements in the solicitation. Voluntary cost share or match will not be approved by the UVU OSP or Budget Office. The Grant Proposal Submission Routing Form requires you to explain and receive administrative permission for any cost sharing and use of institutional resources required toward a grant project. Please note the following definitions:

Cost Share – the financial contribution of the university toward the project, which could be either cash or in-kind as specified by the sponsor. Cost share can include salary, fringe benefits, supplies, equipment purchases.

Match – a type of cost-share wherein the sponsor requires the University to share in the cost of the project dollar for dollar.

In-Kind Contributions – the verifiable value of contributed goods and services (other than cash) to the project, generally from sources outside the University (non-government). The method of valuing in-kind services and the eligibility of specific in-kind services varies by funding program.

Leverage – the value of other resources the university brings directly to bear for the success of the project such as the use of existing student services, data systems, facilities or other resources internal or external to UVU that multiply the outcome of the project without incurring direct costs to the program. If required or expected by the sponsor, leverage may be allowed to be described in the proposal narrative if the dollar amount is <u>*not*</u> specified and if the leverage is not discussed as a part of the budget.

Note: Whenever the University agrees to provide cost share on a project, the University incurs financial obligations during the term of the project. Often these costs can be significant. Cost share can also have a long-term and extensive negative impact on University reimbursements for sponsored projects even after the project is over. Thus, the

University prohibits including voluntary cost share on projects and allows cost share only when it is a required criterion from the sponsor.

<u>DO NOT include cost-sharing amounts in the budget, the budget narrative, or any other part of the proposal unless required by the sponsor and approved by the OSP</u>. If cost-sharing funds are included in the proposal budget and the proposal is awarded, they are considered mandatory and the institution is accountable under audit for the provision of these funds.

E.   Meet with an OSP Program Director

Meet with an OSP Program Director on the budget, project timeframe, and OSP involvement. The type of funding organization you intend to apply to will determine which OSP Program Director you will work with to help prepare your entire application. For federal or state applications, please contact the Director of Sponsored Research. For all non-federal, private or foundation organizations, please contact the Director of Contracts and Foundation Grants. The Program Director will:

o   Provide guidance on registering in online submission programs such as Research.gov or in accessing Grants.gov applications required for federal grant submissions.

o   Review your preliminary budget and make suggestions for completing the final budget and budget narrative.

o   Provide technical information needed to prepare federal grant applications and review with you the application requirements as per the solicitation and agency requirements. (For NSF proposals, the document Components of an NSF Grant Submission File will be useful).
We strongly recommend that you create a checklist with all the required elements of your proposal as described in the current program announcement, and/or guidelines and regulations (as applicable) and make assignments to your project team for responsible person(s) with specific assigned completion dates.

o   Review the project timeframe and establish deadlines to meet OSP requirements.

o   Connect you with other resources of the OSP.

o   Answer questions you may have about the grant application process.

F.   Coordinate with Partners and Others

i.   Coordinate with partners and request letters, if required or allowed

You should coordinate early with internal and external partners. These may include faculty at UVU or other institutions, business and industry representatives, offices at UVU that will provide services, community organizations, state agencies, local school districts, or others.

A. Some grant programs require partnerships, while many other proposals can be strengthened by them. Partnerships might include business or industry, local school districts, state agencies, non-profit organizations, other institutions of higher education, etc. Partners, however, do not like to be included as an afterthought. True partnerships should involve partners early on in the planning stage. Not only will your project likely benefit from the input of your partners, but also their early

participation leads to more lasting commitment. Many agencies and organizations have protocols for formalizing partnerships or require time to obtain buy-in from administration and participants. It will be helpful to give intended partners a copy of your project summary so they can see your intent and share it with others in their organization.

As evidence of a partnership, proposals often require or allow letters of collaboration, commitment, or support. Occasionally a proposal may require a memorandum of understanding (MOU) which is a more formal document describing the contributions of all partners and signed by all partners. Please see the section *Letters of Collaboration, Commitment, and Support* that describes these documents and explains the general differences among them. As you coordinate with your partners, consider what kinds of letters or documents you will require for the proposal. NSF, for instance, has requires letters with very specific wording. Begin as early as feasible to acquire these documents.

If your partnership will involve another institution of higher education (even if a single faculty member), their institutional policies will require that their Office of Sponsored Programs, or equivalent, be involved. Their OSP will likely need to help draw up a Statement of Work for a Grant Subcontract (sometimes called a Scope of Work) and approve a budget for their institution's portion of the project. This process may take three to four weeks. Begin early to allow their personnel time to do their work and address their institution's protocols.

ii. Locate and work with an external project evaluator, if required

Some funding programs require you to hire an external project evaluator to formally assess the outcomes of a project, especially if the project is a program that might serve as a model for other institutions of higher education. In these cases, they expect that an evaluator will work with the PI to design a program that can be evaluated effectively. Other projects would benefit from the assistance of an external evaluator even when not required. Effective use of an external evaluator requires their participation during the planning phase, not as an afterthought. Generally, proposal reviewers can tell if a project has been designed with the assistance of an experienced evaluator or not. Several options are available for external project evaluation:

- **Academician with Evaluation Experience** – evaluators can be persons with academic experience in the field of the project who have previously managed similar projects or served as reviewers of peer-reviewed research publications. These might be UVU faculty, retired UVU faculty, or others completely external to the institution. PIs and PDs should be cautious not to appoint friends or colleagues to this position. Usually evaluators in this group volunteer their time to assist with planning the evaluation; but again, the budget should include money for the project evaluation.

- **Professional Evaluator or Evaluation Group** – professional evaluators (individuals or groups) with experience specific to certain type of programs are sometimes required to be hired. This is particularly true for grants from the U.S. Department of Labor and some programs funded by the U.S. Department of Education. In these cases, the budget is expected to direct a substantial proportion of project funds to the evaluation. Recommendations for evaluators may be obtained through professional organizations associated with specific programs, or through other funded grants programs on campus. Many professional evaluators

are willing to assist with grant preparation in the hopes that a grant will be awarded and they will, in turn, be awarded the contract. Note, however, that UVU procurement and state expenditure policy prohibit proposers from initiating a bid process for a contractor costing over $5,000 until after an award is received.

iii. Request data research from Business Intelligence & Research Services(BIRS), if needed

UVU's Business Intelligence & Research Services has a plethora of institutional information available for proposal preparations, including the annual Fact Books, interactive dashboards with enrollment and completion data, and specialized surveys of UVU students, etc. If the information you require for your proposal is not available on the IR website, you may need to request customized data from IR. It could be that the data you require is available within IR, but not publicly available, or the IR staff may need to pull data or conduct research specific to your topic. This process is subject to IR willingness and availability, and may take considerable time. It should be initiated as soon as possible. IR's website provides information on making a request for data. You may also wish to schedule a visit with a member of the IR staff.

iv. Initiate the compliance review process, if necessary

UVU expects that professional standards be applied in the conduct of sponsored programs. All persons responsible for designing, conducting, or reporting on sponsored programs and related activities in the course of their work at UVU are governed by UVU compliance policies. These include policies concerning the disclosure and mitigation of conflicts of interest, and the ethical treatment of human subjects among others. Compliance issues must be considered during the grant proposal preparation process and may take some time to address. These issues are described more fully on the University Compliance website.

Conflict of Interest – Conflict of interest means any outside activity, commitment, or interest that has the potential to adversely affect, compromise, or be incompatible with the obligations of an employee to the University or to widely recognized professional norms. It includes, but is not limited to, situations where the designated University official reasonably determines that a significant financial or other interest could directly and significantly affect the design, conduct, or reporting of research technical or financial activities. In some cases, external activities of faculty and staff, such as consulting, outside employment, public service, pro bono work, or serving as an officer of an external entity, even without compensation, can result in real or perceived conflicts of interest. Federal and State of Utah regulations require the University to oversee any project that has a conflict of interest and to obtain approval from the office of University Compliance to ensure that a managed conflict is in the public's best interest. The existence of a potential or actual conflict does not necessarily preclude funding or implementation of a project, it merely states that the College and the individual with the conflict will work together to modify, reduce, or eliminate the conflict if it has a strong potential for negatively impacting the employee's position or research activities on campus.

If you or any of the members of your project team have a conflict of interest or a potential conflict of interest, you are required to disclose this by completing the Conflict of Interest Disclosure Statement. You will most likely be directed to complete a Conflict of Interest Management Plan with your supervisor and the General Counsel Office. This

management plan will need to be submitted to OSP prior to proposal submission as evidence that the issue has been resolved.

Human Subjects / Institutional Review Board (IRB) – All research involving human subjects carried out by faculty, staff, or students of UVU is under the review and approval jurisdiction of the University's Institutional Review Board (IRB). Human subjects research includes surveys, clinical studies, basic research, chart reviews, learning skills assessments, etc. Specific IRB paperwork must be submitted to the IRB office *before* research can be approved, and approval must be obtained *before* the actual research (data collection) can begin. Unless the research project is deemed exempt, all researchers on a project team are required to complete IRB Training online training.

Some agencies, such as NSF, are now requiring that the approval process be completed before the proposal is submitted. This process requires taking IRB online training, completing an IRB application, addressing any concerns of the IRB, and receiving a letter from the IRB, all of which may take up to a month to complete. Begin on the IRB website to initiate this process.

Animal Care and Use (IACUC) – Every institution that uses animals for federally funded laboratory research must have an Institutional Animal Care and Use Committee (IACUC). Each local IACUC reviews research protocols and conducts evaluations of the institution's animal care and use, which includes the results of inspections of facilities that are required by law. UVU's IACUC oversees the institution's animal programs, animal facilities, and policies ensuring appropriate care, ethical use and humane treatment of animals. Most research involving laboratory animals is funded by the United States National Institutes of Health or, to lesser extents, other federal agencies. If your research involves animals, please initiate the IACUC review process.

Export Control – U.S. Export control regulations restrict the use of, and access to, certain sensitive or controlled technical information, materials, and technology for reasons of national security or trade protection. If you are partnering or collaborating with a foreign company, will be shipping to a foreign country, will be traveling to a sanctioned or embargoed country, performing research involving foreign national students, or any similar activities, you should read the Export Control resources, take a short online training presentation, and complete the required forms as necessary. Assistance with other research compliance issues, such as *animal care and use* and the *management and protection of intellectual property* can also be found at the above site.

Environmental Health and Safety – As part of a research proposal, funding agencies may require researchers to provide information related to environmental health and safety (EHS). Typically, these requirements come from sponsors such as the Department of Energy (DOE), the Environmental Protection Agency (EPA), the National Oceanic and Atmospheric Administration (NOAA), the U.S. Geological Survey (USGS) and the Department of the Interior (DOI). Each agency's forms are unique, but the questions they ask may relate to Occupational Safety and Health Administration (OSHA) compliance findings, citations by the Massachusetts Water Resources Authority (MWRA), waste or pollution that will be generated by the project, or potential use of land, water or air resources and their impact. UVU's Office of Sponsored Programs assists researchers in completing and certifying the information on such forms. The Director of Sponsored Programs should be contacted as early as possible by researchers who are preparing a proposal to allow time to gather the necessary information.

Intellectual Property – By UVU policy, the University encourages the development of inventions and other intellectual creations for the best interest of the public, creator, and research sponsor. UVU's Intellectual Property policy is intended to protect the respective interests of all concerned by ensuring that the benefits of such property accrue to the public, inventor, University, and to sponsors of specific research with appropriate degrees of protection, remuneration, return, and recognition. You should notify OSP whenever you believe your proposed project will develop intellectual property. The Director of Sponsored Programs will assist you in safeguarding intellectual property, both in the proposal and during the award period.

Step 4: Prepare Proposal

Writing a winning grant proposal can be a long and, at times, difficult process, so it is beneficial to begin early. If you are new to the grant writing process, the task may seem overwhelming. It is easy to want to cobble together text from previously written documents, such as the author's dissertation, prior journal articles, or previous proposals. However, taking time to write a unique, targeted, thoughtful response will produce far more readable and successful results. A good outline and a sound understanding of proposals in general can make the grant-writing process less daunting. Please take time to review the following overview, guidelines, and suggestions.

A.   Understand General Proposal Requirements

The aim of a proposal is to provide a compelling justification for a project to receive funding, usually under a specific program solicitation. Answering all the reviewer's questions in a clear, well-organized manner helps make the proposal compelling. The sponsor will determine what information is required and specify this in the program solicitation. Most government agencies are very precise in their requirements in order to allow fair, unbiased competition and evaluation for funding. Some requirements (such as number of pages, margins, font size and type, funding priorities, and specifically requested information) are so strict that deviating from them will cause a proposal to be rejected without review. Please review the program solicitation carefully for all requirements.

Proposals can range from very large, detailed manuscripts to one-page documents. There are several basic types of proposals of varying lengths and purposes:

Letter of Inquiry (to a foundation or private, non-government agency) – 1 page. A letter of inquiry is a brief summary of your project that is intended to assess the interest of the funder in receiving a full proposal. The letter allows funders to determine whether or not a project or activity is suitable to their funding purposes. The letter should be attention getting, succinct, and demonstrate a good match with their funding priorities. It should request an opportunity to submit a full proposal.

Letter of Intent (to government) – 1 to 2 pages. A letter of intent indicates your non-binding intention to submit a full proposal to a funding program, due at a later date. Funders use the information to gauge the number of proposals likely to be submitted and to identify the types of review expertise that will be required to evaluate the proposals. Letters of intent usually ask for a brief synopsis of the project design and activities, as well as specific identifying information about you, your project team, and your institution.

Concept Paper / White Paper – 2 to 5 pages. The purpose of a concept paper is to explain your project to potential funders to garner their interest or support. Concept papers may be requested by the funder, but may also be used informally in meeting personally with potential funders.

Pre-proposal – generally short, 3 to 6 pages. Pre-proposals are often requested by funders of large grant competitions. They are usually much shorter than full proposals and do not request a detailed budget or supplemental documents. Reviewers will request full proposals from among those applicants they find most promising. This process is meant to save proposers the time and expense of submitting proposals that are unlikely to be funded.

Proposal Letter (to foundations) – 2 to 3 pages. If a foundation indicates that applicants should submit a proposal or letter and <u>no other instructions are given</u>, they expect to receive a letter of 2 pages, possibly 3 pages with the budget. The letter should be persuasive as to the need addressed, the viability of the proposed solution, and the significance of expected outcomes for program participants.

Online Proposal (to foundations). To be in compliance with UVU policy, online proposals must have their accounts setup by and be submitted by the Director of Contracts and Foundation Grants. OSP will complete the required forms and attach institutional documents. You will be asked to prepare the text of required fields in a Word document and submit this to OSP to be uploaded. Often the text fields only allow for a limited number of characters.

Full proposal, short (foundation, state or federal government) – 5 to 12 pages. These proposals usually have specific requirements from the funder. If not, follow the general outline provided below.

Full proposal, long (state or federal government) – 12 to 60 pages. These proposals have specific requirements from the funder that should be carefully followed. They will probably require supplemental documents and may allow for appendices.

Contract bid (state or federal government) – generally long. Contract bids always have specific requirements from the funder.

Whether the proposal is short or long, the body of the proposal generally follows the structure described in *Write the Body of the Proposal*. Having a good foundational knowledge of the general parts of a proposal will help you organize the information you want to convey in a way that meets the reader's expectations and presents a clear picture of what you propose to accomplish.

i. General Elements of a Proposal

Proposals must be clearly organized, well written, and easily understood by reviewers. Reviewers expect that a proposal will follow the order and format dictated by the solicitation, if given. PIs/PDs should study the program solicitation for the specific required elements for the proposal and follow these completely. The following section is provided to give an overview of proposals in general and an outline in those cases where specific instructions are not given. Most proposals contain the following elements (discussed in the subsections that follow).

1. Cover Page (a.k.a. Face Page / Cover Sheet / Introductory Letter)

2. Abstract (a.k.a. Executive Summary, Project Summary, etc.)

3. Table of Contents

4. Body of Proposal (a.k.a. Narrative, Statement of Work, Project Description, etc.)

5. Résumés (a.k.a. Biographical Sketches)

6. Budget

7. Budget Narrative (a.k.a. Budget Justification)

8. Other Sections or Appendices

   o References Cited

   o Current and Pending Support

   o Facilities and Equipment

   o Job Descriptions

   o Project Timeline or Research Plan Tables

   o Data Management Plan

   o Letters of Commitment and Support

9. Certifications and Representations

ii. Document Specifications in the Solicitation

Most program solicitations prescribe the format of the proposal, specifically the body of the proposal. The solicitation will usually indicate the page limits, font size, margins, and spacing for text and for tables and charts. If these are not indicated, the standard is one-inch margins on all sides and 12-point font. The font should always be of a legible size – generally no smaller than Times New Roman 11 point or Arial 10 point. The font in tables, charts, and diagrams may be smaller if permissible, but must also be legible on a printed page.

Note: Some agencies, such as NSF and NIH have agency-specific proposal guides in addition to specific program solicitations. The writer needs to be aware of these published guidelines and follow them in addition to the solicitation. For example, the *NSF Proposals and Awards Policy and Procedures Guide* prescribes the font types that may be used, the required sections, and information that should and should not be included in the proposal. The funder expects that you will have read and followed these instructions.

iii. Document Formatting

Remember that reviewers must evaluate many excellent proposals in a short time. A well-organized document with clear, logical formatting will make your proposal stand out for reviewers and help them find the information they need for their evaluation. In many cases, they will have a checklist of the grant requirements, and if they cannot easily locate the elements they are supposed to evaluate, your proposal's rating could suffer. Make sure the proposal structure makes it easy for the reviewers to find what they are looking for.

Some solicitations specify the structure of the proposal by identifying specific topics, headings, or criteria that applicants must address. In these cases, use their precise

wording, in the order given, even if you think another arrangement makes better sense. Some solicitations provide the evaluation criteria that the reviewers will use to rate the proposal. The evaluation criteria can be used as an effective structure for the proposal. Here is some advice for structuring your proposal:

- Start by creating an outline that complies with the requirements and is easy for evaluators to follow—using headings that match the solicitation's requirements. Organize the required information and the additional information you wish to convey within this structure.

- OSP can help you develop a detailed outline and structure for your response. It may also be useful to obtain a copy of a funded proposal for the program you are applying to see how the authors organized their document.

- Write the proposal in paragraph format with identifiable topic sentences and supporting evidence. Avoid extensive use of bulleted lists.

- Use subheadings in addition to the required headings to alert readers to the key points in the text and to help them relocate information in the proposal quickly as they write their reviews.

iv. Review Criteria

When the review criteria or scoring rubric is provided, write specifically with these criteria in mind. You may include additional information if appropriate, but be certain to address the criteria by which the proposal will be evaluated. These suggestions may help:

- Write a direct response to the specific prompt or criteria. Support the response with evidence and detail.

- After you have drafted the proposal, review each section one by one, comparing the prompt to your response. Is your response thorough? Have you left out something? Is your response clear to a lay reader?

- Have another person read your proposal in the same manner, checking each section against the review criteria. Suggest that they review and score each section or make notes of what might need more detail or clarification.

B. Write the Body of the Proposal

The body of the proposal is sometimes referred to as the Proposal Narrative, Project Description, or Statement of Work. The body of the proposal should define the problem or need to addressed, formulate the goals and objectives in response to that problem, and explain the specific actions that will be undertaken to fulfill those goals and objectives. The proposal should also address potential pitfalls, how the project will be evaluated to determine its success, and whether it will be sustainable after the funded project period has ended.

The body of the proposal should accurately reflect what the proposers intend to do with the project, why it is being done, and how what is done will be evaluated. The quality of the proposal should be sufficient to compete with other proposers at a state or national level. The description of the need for the project and the explanation of what will be done should be truthful, thoughtful, and accurate. The statement of outcomes or deliverables should be both

ambitious and attainable. The proposal should only propose what can realistically be completed within the time and dollars available to the project.

Again, the writer should study the program solicitation for the specific, required elements of the narrative and follow these completely. The writer should also identify, generally speaking, who the proposal reviewers will be and use sentence structure, language, etc. that is appropriate for that audience. The following sections are generally included in a proposal narrative, although they may be called by different names.

i. Problem to Be Addressed

Problem to Be Addressed, sometimes called the Statement of Need, and may include the following:

- A discussion of the nature and scope of the problem to be addressed with supporting evidence; an assessment of the needs of individuals the proposal will target.
- The context, background, reason for a proposed innovation.
- The context, background, reason for proposed research within the scientific/academic community, including a literature search to build your case.

The importance of the problem should receive considerable and persuasive attention. This section is critical, because if you do not convince the reader that there is a problem, then the other sections of the proposal are irrelevant. The section should include relevant citations from verifiable and reliable sources. It may include tables, charts, diagrams and other visual information that accompanies the written text. Here are some suggestions to strengthen your problem section:

- If the proposal addresses a local problem, be sure to use local data to build a case. If the proposal addresses a national or global problem, use national or global data. If the problem is both local and national, discuss the problem at both levels.
- Take time to adequately discuss the problem. Do not rush over the discussion, assuming that the reader agrees with you without any supporting evidence.
- Explain the significance of supporting evidence or data. Do not assume the reader will understand what the data means. Explain the salient points of tables and charts – do not leave the reader to interpret. Answer the question, "So what?"
- Be sure to focus on the problem and not the plan. Many writers quickly shift from discussing the problem to presenting their solution. The solution or plan will come later in the proposal. Be sure to give adequate presentation of the problem.
- Clearly identify the gap. For service-oriented proposals, this means the gap in existing services. For innovation-oriented proposals, it means the gap in existing solutions or methods. For research-oriented proposals, it means the gap in current knowledge or methodologies.
- Avoid problem statements that declare the problem as "the lack of " or "the need for" the very solution you are proposing for funding. Such as, "The problem with our math program is a lack of peer tutors. Thus, we propose an activity to provide peer tutors." This type of statement usually contains circular reasoning.

▪ Avoid general statements like "too high" or "too low." Instead, explain what is "too high" and why, giving comparison data to justify this assertion.

ii.   Goals and Objectives

The goals and objectives specify what the proposer intends to achieve and are generally the heart of a proposal. The goals and objectives should correlate directly with the statement of need, the project activities, and the project evaluation. The following definitions differentiate between goal and objective:

Goal – a broad statement of the intent or overall outcome of the program, conceptual and more abstract than the objectives. The goal might use visionary words such as develop, decrease, deliver, establish, improve, increase, produce, and provide. For a research proposal, this may be the hypothesis.

Objective – represents a step toward accomplishing a goal. In contrast to the goal, an objective is narrow, precise, tangible, concrete, and can be measured or accomplished in a specific timeframe. Here are some helps in articulating strong objectives:

▪ Objectives should be stated in quantifiable terms.

▪ Objectives need to be realistic and capable of being accomplished within the grant period.

▪ Objectives should be ambitious in relation to the stated needs or problems, and attainable in relation to the plan of work or services to be provided.

▪ Objectives should usually be stated in terms of **outcomes** (outcome objective).

▪ Objectives may specify the result of an activity (process objective).

Additionally, service-based or program proposals should include statements of intended outcomes, either in the Goals and Objectives section, or in the Evaluation section.

Outcome – benefits that occur to participants of a program. Typically, outcomes represent an achievement or a change in behavior, skills, knowledge, attitude, status or life condition of participants related to participation in a program. Well-designed programs usually choose outcomes that participants would recognize as benefits to themselves.

Research-based and innovation-based proposals should discuss the significance or impact that the achievement of the proposed objectives would have on the target audience, the institution, the community, the academic or research community, or others. For proposals to NSF, this could the section to include the required Intellectual Merit and Broader Impacts statements. Note that a separately labeled section for each the Intellectual Merit and Broader Impacts are now required in the Project Description. See the discussion of these criteria in the section describing the Abstract and the discussion of the Merit Review Criteria in the *NSF Proposals and Awards Policy and Procedures Guide*.

iii. Implementation

The section of the proposal that describes what will be done is often called Implementation, Plan of Work, Project Design, Research Design, or something similar. This section sets forth in detail the plan of action to be taken in the proposed project. The plan should correlate directly with the statement of need and with the project goals and objectives.

Remember that no matter how good your ideas or noble your intentions, you must translate them into a specific set of activities in order to secure funding. Whether you want to establish a training program, demonstrate a novel approach to service delivery, or conduct basic research, the task of moving from an idea to a practical work plan is the same. Detail is key. If you don't know how something will be done, find out. Funders never give money up front for a plan that will be developed later. This section is generally the largest section of the proposal and may include:

Activities – specific statements that identify the plan of action to be initiated in order to carry out the objectives. Each objective may have several activities identified.

Implementation Plan – a description in narrative form of how the proposers plan to implement the activities described for each objective, encompassing the *how, when,* and *why*. Tables and charts to clarify the project may be appropriate to accompany the text. The plan should take into consideration things that may go wrong and how they will be addressed.

Participant Selection – if the project requires the selection of participants, scholarship recipients, or the like, you should explain how they will be recruited and the criterion by which they will be selected. Indicate what strategies you will use to target specific audiences, if appropriate. Cite the institution's non-discrimination policies.

Rationale – the scholarly basis for approach taken. For research proposals, a discussion of prior research results may be appropriate here. Academic literature might be cited showing that the approach is a proven best practice or as the basis for proposing a new approach. This section gives the project credibility.

Timeline Table – a table that lists in short form each objective and activity and gives the start time and completion time for each; it should also name the person or persons responsible and may give milestones for achieving project objectives. Sometimes this table can go in an appendix.

Note: If proprietary information is included, you should mark all pages containing replication-enabling information about an invention as ***Proprietary and Confidential*** to avoid release of such information upon award.

iv. Project Management

Management Plan. This section explains how the project will be organized and managed so that the proposed activities successfully achieve the project objectives. The Project Management Plan might include the following information or subsections:

Project Organization – who is responsible for what and to whom; who is fiscally responsible. A project organization chart may be appropriate here. The section

may describe the utilization of staff meetings, oversight committees, advisory boards, etc.

External Partnerships – a description of each of the partners and their roles and contributions to the proposed project.

Institutional Capacity – evidence that UVU supports the project and has the capacity to assist in achieving project objectives. If not provided separately, this section might describe the facilities, equipment, personnel, funds, and other resources UVU will commit. It may include a description of previous institutional efforts and successes that strengthen the proposal. This section is generally supported by letters of commitment or collaboration in an appendix.

v.   Key Personnel

This section should include a description of the role and duties of each person identified in the implementation plan and the budget, and their time commitment to the project. Résumés or Biographical Sketches (usually two pages or less) may be attached in an appendix for most proposals.

The personnel section may also include a summary of the qualifications and duties of people who may be hired or who have been designated to work with the project. For new hires, include a description of the institution's equal opportunity and non-discriminatory hiring practices. Human Resources should be consulted in preparing job descriptions. Some funding programs allow job descriptions to be attached in an appendix.

vi.   Evaluation

The evaluation section explains how the proposers will know whether or not the outcomes of the project are of value. Keep in mind that funders want to know that their dollars will serve their intended purpose. Thus, a strong plan to evaluate the results, outcomes, and impact of the project is an essential part of a winning proposal.

Effective evaluation plans are built into the fabric of the proposal, not tacked on at the end. One of the best ways to do this is to describe how the success of each objective will be evaluated. If objectives are written to be measurable, this should not be difficult. An evaluation table might be created that lists each objective (in a shortened form) and explains how each objective will be evaluated to assess its effectiveness. Columns in the table could include: Area of Evaluation, Measurement Tool, Measurement Methods, Benchmarks and/or Anticipated Outcomes. Robust evaluation plans generally utilize both *quantitative* and *qualitative* measures.

Quantitative measures – are designed to measure or count data. They attempt to answer the question: "How much?" using statistical analysis such as averages, means, percentiles, etc.

Qualitative measures – use direct or indirect contact with people. They can consist of interviews, observation, open-ended questionnaires, or review of relevant documents.

The accompanying text should explain who will be responsible for project evaluation, who will keep records and obtain data, and how it will be done. The text should explain who will be responsible for compiling and analyzing data, how will it be done, and how it

will be reported. Evaluation tools, especially nationally normed tests or tools created for the proposed project (such as surveys and matrices) should be described. An evaluation plan should include both *formative* evaluation and *summative* evaluation.

Formative evaluation – designed to determine the extent to which progress is being made toward a stated objective. It occurs during the course of the project and may be used to modify or improve the project in order to best accomplish the objectives. Formative evaluation should be accompanied by a managerial process for reviewing the findings and making needed adjustments in a timely manner.

Summative evaluation – designed to determine the extent to which the objective was accomplished. It occurs at the end of an operating cycle (project year) and at the end of the project. Findings typically are used to help decide whether a program should be adopted, continued, or modified for improvement. Note that in a multi-year project, the summative evaluation of one year may be used as a formative evaluation for the next year. Summative evaluations are used for the final project report to the funding agency.

For most proposals, a robust evaluation requires significant expertise that is outside the PI's qualifications. The use of either an internal or external evaluator has become common in fields such as education and the social sciences and required by some funding programs. It is often useful to get the evaluator on board as the proposal is being developed to assure the project's goals can be adequately evaluated. (See Section 3.f.1 on Locating and working with an external project evaluator.)

vii.   Sustainability / Institutionalization Plan

This section explains how the project will continue past the funding period. For service-based grants, it might explain how the institution will adopt the changes introduced and begin funding those aspects that require continued funding. For innovation-based grants, it might explain the plan to continue to grow or expand the innovation. For research grants, it should explain what is planned next and how it will be funded.

viii.   Dissemination

This section describes how the proposers will tell others in the professional/academic community about what they have learned through this project. For some service-based grants, this could include papers and presentations about how best practices were implemented at the institution. For innovation and research grants, this section is critical; it should tell how the proposers will get the word out to other interested parties. If peer-reviewed journal articles or conference presentations are planned, indicate which journals or conferences will be targeted. If a website is planned, indicate how you will drive traffic to the site or link to other sites that could direct traffic. Other more active forms of dissemination are encouraged, which include sponsoring workshops or having colleagues at other institutions test, evaluate, or implement the products of your project. Be sure to include monies in the budget to cover the dissemination activities or indicate how they will be funded.

C. Write the Other Proposal Sections

In addition to the body of the proposal, almost all proposals have additional requirements, which vary by funding program. The most commonly required sections are discussed in this section.

i. Cover Page (a.k.a. Face Page / Cover Sheet / Introductory Letter)

Some funding agencies have a special format for the cover page that must be followed. This may be a form generated by an online submission program (such as Grant.gov, FastLane, etc.). The standard form used by many federal agencies is the SF-424. Alternatively, an additional page of information may be required. In the absence of such a format or application form, a basic cover page should be attached. The cover page would include information such as the name of the funding program, applicant institution (Utah Valley University), project title, amount of funding requested, project time period, name and contact information of the PI or PD, Co-PIs, and the name and contact information of the signature authority of UVU. The title should be brief, clear, and as descriptive of the actual project as possible. It should be suitable for use in the public press.

ii. Abstract

The abstract may also be called the Project Summary, Executive Summary, or Project Aims. The abstract should, in general, be no more than one page though some abstracts are limited to a certain number of words. The abstract or summary should give the reader a good overview of the proposal as well as provide suitable text for publication should the proposal be funded. It should be easily understood by a lay audience. An abstract should generally include the following information:

- A compelling, engaging rationale for the project.

- Who is forwarding the proposal (first sentence).

- A succinct description of the problem, need, or reason for the proposal.

- A short description of the project, including the project goals and objectives, what will take place, the intended outcomes, how many people will benefit.

- An explanation of the potential impact of the project, its innovativeness, the scope of its benefits. (For NSF proposals, this would be the required Broader Impact and Intellectual Merit statements.)

- Funding amount requested (optional).

- A brief description of the organization and its expertise (optional).

For NSF proposals, the NSF Project Summary must contain the statements of Intellectual Merit and Broader Impact, as described below. Other proposals would benefit from addressing these issues where appropriate in the abstract.

Intellectual Merit – the potential of the proposed activity to advance knowledge. This section might address:

- How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?

- How well qualified is the proposer (individual or team) to conduct the project?

- To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?

- How well conceived and organized is the proposed activity?

Broader Impact – the potential of the proposed activity to benefit society. This section might address:

- How well does the activity advance discovery and understanding while promoting teaching, training, and learning?

- How well does the proposed activity broaden the participation of under-represented groups (e.g., gender, ethnicity, disability, geographic, etc.)?

- To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?

- Will the results be disseminated broadly to enhance scientific and technological understanding?

- What may be the benefits of the proposed activity to society?

iii. References Cited

Sometimes a separate section is allowed for references (as opposed to including them as footnotes in the body of the proposal). Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the internet address also should be identified. Proposers must be especially careful to follow accepted scholarly practices in providing citations for source materials relied upon when preparing any section of the proposal. This section should <u>not</u> be used to provide parenthetical information.

iv. Résumés and Biographical Sketches

A proposal résumé is a summary of the relevant qualifications of the key members of the project team. Résumés for proposals are generally limited to two pages, though they could be more or less. They are usually included in an appendix or as an attachment. The résumé should be tailored to the proposal, and not just a condensed version of the curriculum vita.

The proposal résumé should be written to convince a reviewer that the personnel are qualified to conduct this particular project. It should emphasize experience related to the project and any special qualifications that uniquely qualify the person for the team. A proposal résumé generally includes the following:

- Name and position on the project team (Project Director, Project Coordinator, etc.)

- Education – institution, field of study, degree earned, year of degree.

- Experience – list in reverse chronological order professional appointments, employment, and consulting jobs.

- Publications – list in reverse chronological order relevant and/or important publications in professional journals. Give the complete reference including the title of the paper. Articles that have been *accepted* for publication may be included.

- Presentations – list lectures given at professional meetings, research institutes, universities, etc. Emphasize those that relate to the proposal content.

- Assignments – list professional committees, editorial boards, leadership roles, etc.

- May include other information relevant to the project, such as courses taught or developed, student mentoring, past grants awarded or participated in, research interests, patents received, etc.

Note: Do not include personal information such as contact information (phone number, email or mailing address, etc.), date and place of birth, hobbies and interests, and family information.

NSF Biographical Sketches are a more specific type of proposal résumé. Specific guidelines for the Biographical Sketch are found in the *NSF Proposals and Awards Policy and Procedures Guide,* and they are summarized with helps and examples in OSP's Requirements for an NSF Biographical Sketch document.

v. Job Descriptions

An appendix containing job descriptions for new hires of key personnel is sometimes requested. The job description should include the required qualifications, major responsibilities, and time commitment to the project. Human Resources should be consulted in preparing job descriptions.

vi. Project Timeline or Research Plan Tables

Sometimes a detailed project timeline or research plan is requested to be included as an attachment or appendix. A project timeline might list activities to be accomplished during a year or other project period and indicate the time period or completion date. It may name the person or persons responsible and may give milestones for achieving project objectives. A research plan should break the methodology section into discrete actions and list these in table format, including the method, timeline, and milestones.

vii. Data Management Plan (NSF)

Some funding agencies require a Data Management Plan. This supplementary document should describe how the proposal will conform to federal and agency policy on the dissemination and sharing of the products of research. The strength of the Data Management Plan is an indication of the project's potential for broad impacts. Specific guidelines for the Data Management Plan are found in the *NSF Proposals and Awards Policy and Procedures Guide.* OSP's has an NSF Data Management Plan – Instructions and Template document and examples of Data Management Plans are available upon request.

viii. Facilities, Equipment and Other Resources (NSF)

The Facilities, Equipment, and Other Resources section is required for NSF proposals. This section is used to provide an aggregated description of the internal and external resources available to the project from the sponsoring institution and its collaborators if the proposal is funded. This includes both physical resources and personnel whose time is being contributed by the University (not paid for out of grant funds). This section, in conjunction with the letters of collaboration, will be used by reviewers to determine whether or not the resources available are sufficient to accomplish the scope of work described in the body of the proposal.

All resources necessary for, and available to, a project should be described in narrative format. The section should describe only those resources that are directly applicable to the project. The requested information should be provided in this section, rather than in other parts of the proposal. The description must not include any quantifiable financial information. Although these resources are not considered cost sharing, NSF does expect that the resources identified in the Facilities, Equipment, and Other Resources section will be provided, or made available, should the proposal be funded.

For proposals requesting major equipment, this section should describe the physical facility where the equipment will be located, including floorplans or other appropriate information. It should also include a description of the source of funds available for operation and maintenance of the proposed equipment.

The commitment of resources described in the Facilities, Equipment, and Other Resources section should be substantiated in the letters of collaboration, with a letter from each institution or organization agreeing to provide these resources. For more information about this section, see the *NSF Proposals and Awards Policy and Procedures Guide.*

ix. Letters of Collaboration, Commitment, and Support

Many proposals require letters of collaboration, commitment, or support from UVU administrators, partners, and other collaborators. The following descriptions explain the general differences among these types of documents:

Letter of Collaboration – indicates the signatory's intent to collaborate and/or commit resources as described in the proposal, should the proposal be funded. Note that NSF now only allows letters of collaboration (unless otherwise requested) and specifies how they should be written in its *Proposals and Awards Procedures and Policies Guide*. Please see OSP's NSF Letters of Collaboration and the NSF Letter of Collaboration Template.

Letter of Commitment – indicates the signatory's intent to commit resources to the funded project as specified in the letter. May also give the partner's rationale for supporting the project and point to strengths of the organization that could be of value in implementing or sustaining the project.

Letter of Support – expresses the organization's knowledge and support of the project, including why the project is important and how it relates to the organization's mission or expressed goals. May address the proposer's qualifications or abilities to complete the project. Such letters can add much additional information to strengthen the proposal.

Memorandum of Understanding (MOU) – a document stating intention of a common line of action between two or more parties. An MOU indicates voluntary agreement among organizations to assist with the implementation plans of a grant-funded collaborative project. Generally, the document defines each partner, sets forth the action that they will accomplish (goals and objectives), and specifies what each partner will contribute to this action. The MOU is signed by the authorized signatory of each participating organization, not the PI.

Please see the document Letters of Commitment, Collaboration, and Support for examples of each.

The PI should solicit letters well in advance of the due date so there will be time for signatures. Letters from partners should represent true, collaborative partnerships. The PI should keep a signed original copy of the letter in case the proposal is funded and audited. Letters from a UVU Vice President or Dean require a week for approval; letters from the UVU President, which are rarely requested, require two weeks (10 business days). Those requesting letters should provide the administrator with a copy of the proposal Abstract and, for NSF proposals, the Facilities, Equipment, and Other Resources section. Please speak with the appropriate OSP Project Director if you have questions about who should submit letters for your project.

x. Certifications and Representations

Due to federal mandate, the University must certify that it conducts its activities in accordance with specific federal laws or regulations associated with the obligations of entities that received federal funds. These assurances to the federal sponsors constitute a promise on the part of the University that it understands the sum and substance of the regulations and that the University will do its best to comply with the regulations. Acting as the certified official, the Senior Director of Sponsored Programs will sign any certifications or representations requiring a signature.

Representations and certifications required to be submitted with the proposal vary, depending on the agency and contract amount. The forms are generally part of the grant application package for Grants.gov and FastLane, but sometimes a form may need to be added to an application. The grant application or the solicitation will clearly specify which certifications are required. If there are special forms required, please alert the OSP Director of Sponsored Research. Examples of commonly required certifications are:

- Lobbying certificate

- Debarment and suspension

- Drug free workplace

- Government Performance and Results Act (GPRA) statement

- Procurement integrity

- Certificate of current cost and pricing data

- Contract pricing proposal

- Statement of intent to establish a consortium agreement

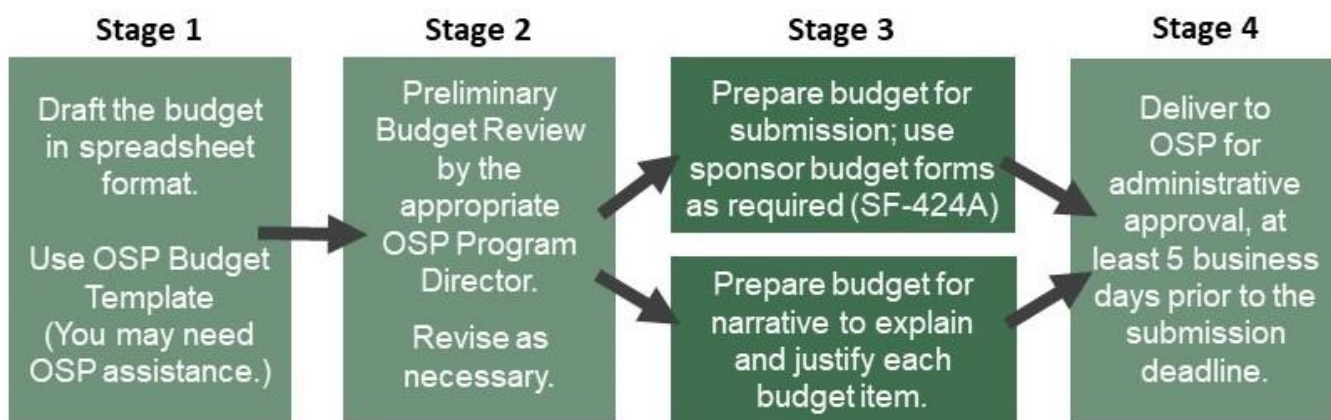- EPA procurement system certification

- Section K certifications
- Certificate of environmental and safety compliance
- Financial audit information
- Small business and small disadvantaged business subcontracting plan.

Many agencies have a single form that covers a general set of certifications regarding employment assurances such as non-discriminatory practices, accuracy of cost and pricing data, employer identification number, etc.

Because certification requirements are constantly changing, OSP monitors federal requirements in these areas. Whenever there are questions about required certifications and representations please direct them to OSP.

D. Prepare the Final Budget and Budget Narrative

As explained in Step 3, preparation of the budget for a proposal is generally a multi-stage process as depicted below. Stages 1 and 2 were described in *Step 3* and an explanation of budget items are provided as a separate printable document entitled Proposal Budget Line-Item Guidance.

Stage 1	Stage 2	Stage 3	Stage 4
Draft the budget in spreadsheet format. Use OSP Budget Template (You may need OSP assistance.)	Preliminary Budget Review by the appropriate OSP Program Director. Revise as necessary.	Prepare budget for submission; use sponsor budget forms as required (SF-424A) / Prepare budget for narrative to explain and justify each budget item.	Deliver to OSP for administrative approval, at least 5 business days prior to the submission deadline.

Stages 1 and 2 were explained in Step 3 of the Grant Life Process. Stage 3 is described in this section. Stage 4 is described in Step 5.

i. Prepare the Budget for Routing and Submission

Using the budget spreadsheet (generally the OSP Budget Worksheet) you prepared in Step 3 and reviewed with the appropriate OSP Program Director, prepare the budget in the format required for submission. The budget format generally consists of the budget sheets (tables) that accompany a proposal submission file, such as Grants.gov with the standard SF-424A form and FastLane with an NSF-specific form. Always check the program solicitation to see what format is required. The solicitation will have a section devoted to budget requirements. Study this carefully and address all requirements.

Standard forms for federal programs consolidate costs under specific budget categories (as in the last page of the Budget Worksheet), including both direct and indirect costs. The forms generally require you to give the combined total for each category. Some programs require you to submit a budget for each year of the project with an additional budget summary page that contains the cumulative total in each category for all years.

Other programs only require that you submit a budget for the first year of the program. (These are generally programs that base subsequent years' funding on the program's performance each year.)

The specific budget categories are described in detail in the document Proposal Budget Line-Item Guidance. Here is some guidance to help as you review your budget.

- Remember to address all the budget issues suggested by the OSP Program Director of Sponsored Research (for federal and state grants) or the OSP Program Director of Contracts and Foundation Grants, your chair, your dean, and others who must approve the budget.

- Check to see that everything described in the body of the proposal that requires project funds is included in the budget. Many proposals have been rejected because the budget did not cover all the costs necessitated by the proposed plan.

- Check to see that everything described in the budget is included in the body of the proposal. Budget line items not described in the proposal will be stricken from the budget by funders (if the proposal is even funded). The budget, the budget narrative, and body of the proposal must correlate with one another.

- Remember that reviewers examine the budget in the context of the program narrative to ascertain whether sufficient and appropriate funds, including project personnel to perform the work, have been included, and match the overall budget to the proposed work and timeline.

- Make sure that the budget sheets and budget narrative add up to the appropriate amount and that they agree with one another.

- Review the program solicitation to see that you have included all of the required expenses, such as annual participation in funder-sponsored conferences, an independent evaluator, or program participant support.

- Check to see that you have not included budget items that are disallowed by the funder or by federal policies.

ii. Prepare the Budget Narrative for Routing and Submission

The budget narrative is sometimes referred to as the budget justification and is considered a companion document to the budget forms. The budget narrative serves two purposes: it explains how the costs were estimated, and it justifies the need for the cost. It may be attached as a supplemental document or included as part of the body of the proposal. The budget narrative should breakdown costs for each of the major cost categories (salaries, fringe benefits, equipment, travel, supplies, other direct costs and indirect costs), as well as any additional categories required by the sponsor. Each item must correlate to specific activities described in the body of the proposal; cumulative totals for each category must correlate with the budget tables.

The budget narrative should describe each line item in the budget and show the calculations used to derive the costs. The format of the budget narrative may be entirely narrative text, a combination of narrative text and accompanying tables, or one-line item table with text explanations in the table (see Budget Narrative Examples). Every item in the budget narrative should relate to the body of the proposal, and every expense in the body of the proposal should relate to the budget narrative. Explain items of the budget

in detail, especially items that may not be clear to the reader or may need further discussion to establish their necessity. For instance, if the budget includes funds for travel, explain how many people will be traveling to attend what conference for what purpose and include an estimated itemization of expenses. Or you might explain why purchasing one piece of equipment is preferable to another. The information should be sufficiently detailed to address all sponsor concerns with respect to cost and need.

The document Proposal Budget Line-Item Guidance describes the specific budget categories in detail and gives suggestions about addressing these items in the budget narrative. Common explanations in the budget narrative include, but are not limited to:

- Explanation of project salaries including percent of effort and total salary base.

- Explanation of fringe benefit calculation for each employee classification.

- Explanation of what travel is for and details on the number of persons traveling, lodging, per diem, etc.

- Explanation of how expenses were derived for supplies, analyses and/or equipment i.e., from past experience, quotes, etc.

- Explanation of UVU's indirect cost rate calculation (currently 38% of salaries, wages and fringe benefits).

- Explanation of consulting and contracting costs.

- Justification of any restricted items (unallowable costs) and specifications of why they are unique to the particular project.

Note: Some proposers mention in the budget narrative that additional effort not listed in the budget will be provided. In other cases, they indicate that the funds requested are insufficient for the proposed activities and will be supplemented from other sources. *This is considered a cost-sharing commitment.* PIs may offer cost share *only* if it is required by the sponsor and approved by the University. Please refer to the *Budget Elements – Cost Share, Match and Leverage* section for further information.

E.   Facilitate Subcontracts with OSP, if Applicable

The primary organization to submit a proposal and be awarded for a sponsored program may choose to allocate a portion of the scope of work to another organization to complete. A subcontract will be generated to obligate a specified amount of funding to the receiving organization to complete a defined portion of work. For federal awards, OSP will help to determine if the receiving organization qualifies as a subrecipient or contractor/vendor.

Federal guidelines in 2 CFR 200.330 help distinguish these roles by the following criteria:

SUBRECIPIENT	CONTRACTOR/VENDOR
Determines who is eligible to receive what Federal assistance;	Provides the goods and services within normal business operations;
Has its performance measured in relation to whether objectives of a Federal program were met;	Provides similar goods or services to many different purchasers;
Has responsibility for programmatic decision making;	Normally operates in a competitive environment;

Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and	Provides goods or services that are ancillary to the operation of the Federal program; and
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.	Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.

In a *subrecipient* arrangement, UVU is the project lead; in a *subaward* arrangement, UVU is a collaborator to another institution who is the project lead. It is the responsibility of the project PI/PD or the lead at UVU to notify OSP about any subcontractual agreement and facilitate the work required by OSP, as described below.

Documents required for submission when UVU is the lead. The project PI/PD should submit to the UVU OSP:

1. A completed NOI, well in advance of the proposal submission deadline, indicating that there will be one or more subcontracts.

2. The contact information for the project lead at the other institution and for that institution's Office of Sponsored Programs (or similar office).

3. A copy of the sponsor guidelines, either as a web link or PDF file.

4. For NSF proposals, the name and NSF registration number of the project lead for the institution and for any other faculty of the institution who may serve in a Co-PI position.

5. The complete grant application/proposal, including the final budget and budget narrative, one week prior to submission.

6. Complete the Grant Proposal Submission Approval Routing Form for UVU with signatures of the cognizant and authorizing administrator(s) (dean and/or vice president).

The subrecipient's OSP should submit to UVU OSP:

i. Contact information for the project lead (PI/PD) at that institution, and for the OSP administrator on the project, the financial official (accountant) for sponsored programs, and the Authorized Signing Authority for the institution.

ii. A Statement of Work for a Grant Subcontract document describing the work to be done by the other institution, one week prior to submission.

iii. The Budget and Budget Narrative documents, one week prior to submission.

iv. A Subrecipient Commitment Form.

Documents required for submission when UVU is subcontracted. The project PI/PD should submit to the UVU OSP:

i. A completed NOI, well in advance of the proposal submission, indicating that UVU intends to be a subawardee to another institution.

ii. The contact information for PI/PD at the other institution and for that institution's Office of Sponsored Programs (or similar office).

iii. A copy of the sponsor guidelines, either as a web link or PDF file.

iv. A Scope of Work document describing the work to be performed by UVU.

v. The Budget and Budget Narrative documents for UVU's scope of work, in time to meet the lead's project deadlines.

vi. Complete the Grant Proposal Submission Approval Routing Form for UVU with signatures of the cognizant and authorizing administrator(s) (dean and/or vice president).

The lead organization's OSP should submit to UVU OSP:

i. Contact information for the project lead (PI/PD) at that institution, and for the OSP administrator on the project, the financial official (accountant) for sponsored programs, and the Authorized Signing Authority for the institution.

ii. Any subrecipient forms required by that institution's OSP.

iii. The complete grant application/proposal.

F.   Peer Review

Review of the proposal and budget by the project team and by other peers is critical to getting a proposal funded. Reviewers see things that the writer(s) may have overlooked. They can identify issues that are unclear, lack sufficient explanation, or may raise reviewer concerns. Reviews by both those who are familiar with the project (the project team) and by those who are unfamiliar with it (other experts in the field) will be helpful. If someone on your project team is not a good copy editor, find someone who is to review the proposal carefully. It is useful to have a non-expert provide a review to ensure the content is easily understandable and free from disciplinary jargon and acronyms. The document needs to be stylistically clean, easy to read, and free from grammatical error.

i.   Self & Project Team Review

The proposal should be reviewed by the writer(s) and members of the project team. The reviewers' time and effort will be more productive if they are given some guidance or asked to respond to some specific questions. Reviewers might be asked the following, in addition to questions of your own:

- Does the proposal address all of the program solicitation requirements?

- Does the proposal clearly explain the problem the project will address? Is the supporting evidence convincing? Are there issues that should be considered that have not been?

- Are the goals and objectives clear and unambiguous? Do they describe what we intend to do and hope to accomplish?

- Does the implementation section articulate what we intend to do? Is there anything that may be unclear to the reader? Are there project elements that have been left out? Is the project timeline workable?

- Is the project management plan effective and agreeable to all? Is everyone's role clearly defined and are we in agreement about this? Are there others who should be included on the project team or in an advisory capacity to the project?

- Will the evaluation plan effectively assess the project? Have the most important aspects of the project been selected for evaluation? Are the measurement tools and anticipated outcomes appropriate? Are intended outcomes both ambitious and attainable?

- Is the budget adequate? Does it include everything that should be included? Is it cost-effective? Does the budget narrative give adequate explanation of costs that may raise concerns?

ii. Peer Review: Technical & Scientific Experts

The PI/PD should seek other reviewers who have expertise in the field or similar fields but who have not been part of planning the project. These reviewers might be faculty members or administrators at UVU or another institution. (UVU OSP has a list of some UVU faculty or retired faculty who would be willing to serve as reviewers.) Again, reviewers' time and effort will be more productive if they are given some guidance or asked to respond to some specific questions. Reviewers might be asked the following, in addition to questions of your own and the questions above:

For research proposals:

- How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? Do the authors present a compelling and thorough review of the literature and locate their project within this context?

- Is the proposer (individual or team) well qualified to conduct the project? Is there sufficient internal, and possibly external, expertise to make the project successful?

- To what extent does the proposed activity suggest and explore creative and original concepts? Is the work innovative or potentially transformative?

- How well conceived and organized is the proposed activity? Is there a clear plan of work that defines the roll of the project team and sets forth a realistic timeframe? Does the plan follow standard research protocols for its field of study?

- Does the proposal anticipate and answer the reader's questions? Does it clearly eliminate every possible criticism?

For service-oriented proposals:

- Is the target audience clearly defined? Are their needs well understood and articulated? Is there an effective plan for recruiting and selecting participants?

- Is it clear what the proposers intend to accomplish? Will the intended outcomes be of value to the target audience? Will they be of value to the community or others? Are the intended outcomes cost effective, considering the expense, time, and energy?

- Are the proposed interventions grounded in evidence-based practices? Is there a clear link between the scholarly justification and the proposed activities? Is there compelling justification indicating that the proposed activities are likely to produce the desired outcomes?
- Is there a valid connection between the proposer's goal and the University's mission and/or core values? Do the aims of the project align with the institution's values and objectives?

G. Proposal Development Resources

The Office of Sponsored Programs has created and compiled a number of proposal development resources to aid you in proposal preparation. Some are general to most proposals and others are specific to the National Science Foundation. Please go to Grant Writing Resources on the OSP website and become familiar with this selection.

Step 5: Submit Proposal – OSP Review and Submission

During the proposal submission process, you will work closely with the Office of Sponsored Programs to ensure that all of the funder's and the University's requirements for grant submission are met. Some of the steps described below may be in progress simultaneously, and the order of steps may need to be adjusted for some proposals, but your OSP Officer will help you determine when adjustments are necessary. This process should begin at least five working days in advance of the grant submission deadline, and for complex submissions, it should begin earlier.

A. OSP Review

The Office of Sponsored Programs is required to review and approve all proposals before they are submitted for external funding. The two components of this review process are the budget review and the proposal review. To facilitate these processes, you should submit your completed proposal to OSP at least five working days before the grant submission deadline. Please submit federal and state proposals to the OSP Program Director of Sponsored Research and foundation proposals and contract bids to the OSP Program Director of Contracts and Foundation Grants.

i. OSP Administrative Budget Review and Approval

Your budget will be reviewed by the OSP Program Director of Sponsored Research or the OSP Program Director of Contracts and Foundation Grants to ensure that it is accurate and that it meets the federal OMB, UVU, and sponsor's requirements. Please give the OSP Officer a copy of these requirements when you submit your budget.

The budget should include any Cost Share, Match, and Leverage required by the solicitation. As defined in UVU Policy 139 and explained previously, cost sharing and other forms of institutional contributions are only allowed if required by the sponsor and approved by UVU. This approval includes the department or unit head responsible for the budget, the dean, the Vice President of Planning, Budget, and Human Resources, and the respective vice president or their designee, prior to submission of a proposal to a potential sponsor. These signatures are part of the Grant Proposal Submission

Approval Routing Form (GPSR). These administrators will not approve a cost share unless it has first been reviewed by OSP.

ii. OSP Proposal Review

Your proposal will be reviewed by an appropriate member of the OSP staff to see that the application guidelines and requirements have been met, that it complies with University policies, and to ensure a high quality of proposal submissions on behalf of the University. The review may take several days. Please give the reviewer a copy of the proposal requirements when you convey your proposal. The proposal should be in Word format rather than PDF format to facilitate the review.

B. Compliance Review and Approval

Issues requiring compliance review and approval before a proposal is submitted are discussed under Step 3 and are listed in the table below. Each have requirements that must be met before a proposal is submitted. If there is a compliance review issue for a proposal you are submitting, please submit the required documentation to OSP at the time you submit the GPSR. You should anticipate that some of those signing the GPSR, particularly chairs and deans, may also require to see this documentation before signing.

i. Conflict of Interest

If you have a conflict of interest, you should have submitted a Conflict of Interest Disclosure Statement and, if required, a Conflict of Interest Management Plan, to OSP before proposal submission as evidence that the conflict has been handled appropriately.

See: https://www.uvu.edu/compliance/conflict_interest/

ii. Human Subjects in Research

If you are proposing research that involves human subjects, your proposal should include the IRB approval letter, IRB exemption letter, or indication that such is in progress.

See: www.uvu.edu/irb/irbprocesses/

iii. Animal Care and Use

If you are proposing research that involves animals, your proposal should include the IACUC approval letter, exemption letter, or indication that such is in progress.

See: https://www.uvu.edu/compliance/research_compliance.htmlExport Controls

iv. Export Controls

If you are proposing a project that requires export controls, you will need to submit an approval letter or exemption letter from UVU's Chief International Officer to OSP before your proposal can be submitted.

See: https://www.uvu.edu/compliance/research_compliance.html

v. Environmental Health & Safety

If your proposed project will have environmental health and safety issues you will need to obtain written approval from the Director of Sponsored Programs before you submit the proposal. Grant-specific forms may be required.

vi. Intellectual Property

If your proposal contains intellectual property that must be protected, you must obtain written approval from the Director of Sponsored Programs before you submit the proposal. Some funding agencies have other specific requirements that will be described in the solicitation.

See: https://www.uvu.edu/compliance/research_compliance.html

C. Routing for Final Approval

i. Complete the OSP Grant Proposal Submission Routing (GPSR) Form

The Grant Proposal Submission Approval Routing Form (GPSR) is an internal document that gives final institutional approval for a proposal to be submitted by OSP. The GPSR requires more detailed information than the NOI in preparation for submission. It requires, for instance:

- Identifying information about the funding agency and proposal to facilitate submission.

- The time and effort of the key project personnel and their signatures.

- A list of resources to be provided by the University, a complete budget, and an indication of any planned cost sharing.

- Administrative signatures approving the proposal and the planned use of institutional resources (generally the department chair and the dean; see below).

- PI assurance that the proposal is original work (is not plagiarized), that the information in the proposal is true and accurate, and that the PI accepts responsibility for the project if funded.

ii. Obtain Administrative Signatures on the GPSR Form

Signatures of senior project personnel – the PI and any Co-PIs

Impacted departments and colleges – Generally, the PI's department chair and dean should sign the GPSR form in addition to the chairs and deans of any UVU Co-PIs or collaborators on the project. The PI is responsible for obtaining these signatures.

Other Administrators – Sometimes the signatures of Vice Presidents or other administrators must be obtained, depending on the requirements of the proposal and the PI's role at the University. The *OSP Program Director of Sponsored Research* will help determine which signatures are required and who will obtain the signatures. (Note that the GPSR form may include places for more signatures than are required for your proposal.)

You should present any signing administrator with all the information s/he will need to make an informed decision about approving the proposal. This may include a project summary, a full proposal, a full budget, and/or a list of facilities, resources, personnel

being contributed by the institution, written resolution of any compliance issues, and possibly a memorandum explaining these issues.

Chief Financial Officer – If there is matching in the amount of $10,000 or more, or if the budget amount is over $100,000, a signature is required from the *Vice President of Planning and Human Resources*. The OSP *Program Director of Sponsored Research* will seek this signature after reviewing and approving the budget and after the appropriate Dean(s) or Vice President(s) has reviewed and approved by signing the GPSR.

UVU Authorized Official – After all other signatures have been obtained and the GPSR form has been submitted to your OSP Officer, that Officer will submit the GPSR form to the Senior Director of Sponsored Programs (the Authorized Signatory for all sponsored programs) for final approval.

Before an agreement can be enforced, it must be signed by a person delegated by policy with specific statutory authority to sign on behalf of the University. Only a limited number of individuals/positions are designated by Policy 247 to execute legally binding agreements on behalf of the University. For sponsored program grants and contracts, this authority has been delegated to the Senior Director of Sponsored Programs.

Please note that a sponsored program grant or contract is a written agreement or other formal instrument where there is mutual agreement to terms that bind the University to any legal obligation related to funding or resources from an external source to UVU. A contract may be in the form of an agreement, proposal, statement, notice, resolution, letter, memorandum of understanding (MOU), memorandum of agreement (MOA), grant, cooperative agreement, amendment to an agreement, etc.

Principal Investigators, Department Chairs, Deans, or other University employees should never sign or submit a sponsored program agreement or award. If a sponsored program proposal or award is NOT signed by the Senior Director of OSP or an authorized individual designated by Policy 247, the contract or grant is void and unenforceable against the University. **Unauthorized employees signing sponsored program grants, contracts or other written agreements may be personally liable for any resulting liability or obligation and may also be subject to disciplinary action, up to and including termination of employment.**

Please note: Occasionally, a funder will request that the President be the signature authority on a submitted proposal. The President will not sign until OSP has reviewed and approved the proposal. This process will require at least 10 business days.

iii. Obtain Administrative Signatures on Letters of Support

Some proposals require letters of support or collaboration from University administrators (see Letters of Collaboration, Commitment, and Support). These are separate documents that will be submitted as part of the proposal, but the PI may choose to obtain **signatures** on such letters at the same time the GPSR is signed. These letters should be printed on UVU letterhead and scanned as a PDF file. The PI should retain the original copy of the letter in his or her files.

Occasionally, a letter or document with the President's signature is required by the funding agency or is necessary for the success of the project, such as multi-institutional grants. The Program Director of Sponsored Research will advise when this is necessary and will be responsible for obtaining the President's signature. The President will not

sign without OSP review and the prior signatures of other appropriate administrators. ***Please allow the required time of 10 business days for a Presidential signature.***

D. Proposal Submission

i. Work with the Authorized OSP Officer to Complete the Grant Submission Documents

Most proposals submitted to the federal government are submitted through Grants.gov or FastLane (NSF). These organizations have their own submission workspaces and processes. Grants to state organizations and foundations have varied formats from simple email to online forms (see *Understand the required submission process*). You should work with the appropriate OSP Officer to complete whatever grant submission documents are required. You should also convey to this officer any special requirements for submission as stipulated by the funder. It will be useful for you to create a written list of required forms and documents for a submission to serve as a checklist.

ii. The Authorized Institutional Officer within OSP Will Submit the Proposal

The completed, approved proposal will be submitted by an authorized OSP Officer, generally by the OSP Program Director of Sponsored Research or by the OSP Program Director of Contracts and Foundation Grants.

Please note: A PI, Department Chair, Dean, or other UVU employee should ***never*** sign or submit a sponsored programs proposal, contract or grant on behalf of the University. This policy does not preclude PIs, Department Chairs, Deans, and other individuals from signing **internal** processing documents. However, to legally bind the University, the OSP Senior Director must sign sponsored program proposals, contracts, and grants on behalf of the University before they are submitted to any funding agency.

Key reasons behind the policies relating to signature authority and submission include:

- Protecting UVU and individual University employees from legal liabilities.

- Maintaining UVU compliance with internal, Board of Regents, state, federal, and private contract regulations and requirements while performing program activities inherent in sponsored programs.

Any Principal Investigator/Project Director or other unauthorized University employee who signs a grant proposal, contract or agreement that s/he is not authorized to sign is acting outside the scope of his/her employment and may be personally liable for any resulting liability or obligation, and may be subject to disciplinary action, including termination of employment.

E. Revise and Resubmit Your Proposal if Needed

Many proposals that are not funded on their first submission are funded on subsequent submissions. Here are some suggestions that may help you to get finding if your submission is unsuccessful:

- Now that you have done the work to complete a full proposal, make full use of that proposal by submitting to other agencies or funders as appropriate. This may take some revision of the proposal to fit the new agency, but may be well worth the effort. (While you cannot send the same proposal to different programs within the same agency, you can adapt the proposal to fit other programs within an agency.)

- Some funding agencies return reviewer's comments to PIs/PDs of unfunded projects. Review these comments carefully and consider how these concerns can be addressed in your next submission. Work to refine both your project and the written proposal to make them more fundable.

- Keep a calendar of upcoming submission deadlines so that you can begin the resubmission process well in advance.

- Review your proposal again after some months with a fresh eye. You will see things you overlooked the first time. Review the solicitation and consider how your proposal might have better addressed each requirement.

- Have your unsuccessful proposal reviewed by an experienced reviewer.

- Speak with a program officer or other person knowledgeable about a funding source to which you are applying to see if your project really is a good fit for that funder and/or to determine an approach that would be more effective.

- Break the project into stages or separate components and seek funding for these.

- Don't give up. It often takes several attempts to get funding for a project.