Research Proposals: From Idea to Submission

Mary Jo Daniel, Director Faculty Research Development
Vincent Sarracino, FRSO in A&S
Isela Roeder, FRSO in SOE
Alyssa Pierce, Sponsored Project Specialist, Sr.

ADVANCE Workshop
September 21, 2018
You have a great idea for a research project…
You have a great idea for a research project…
A Logic Model helps to clarify your idea and organize your research plan

Usually, it is not included in the final proposal, but it can inform an evaluation plan (if one is required)
What are Inputs, Outputs, Outcomes and Impact?

The Logic Model Approach

- **Inputs**
  - Resources dedicated to or consumed by the project
  - Usually a NOUN, staff, facilities, money, time...

- **Activities**
  - What the project does with inputs to fulfill its mission
  - Usually a GERUND, a verb in its “-ing” form, such as assessing, enabling, reviewing...

- **Outputs**
  - The volume of work accomplished by the project
  - Usually a QUANTITY, the number of projects, the number of case studies...

- **Outcomes**
  - Benefits or changes for participants during or after project activities
  - Usually a CHANGE, better projects, increased skills...

- **Impact**
  - The long term consequences of the intervention
  - A fundamental CHANGE intended or unintended in a system or society

---

**Your Planned Work**

**Your Intended Results**

Nixor Ltd

Derived from the Kellogg Logic model
You can start anywhere on a logic model, but to find the best sponsor:

What impact will it have?  
   In your discipline?  
   Beyond your discipline?

What organization/agency/program has related priorities?
Pivot Database for Funding (pivot.cos.com)

- Database of funding from federal, state, international agencies and foundations
- Everyone with a unm.edu email can create/access an account
- Create and save your own searches
- Weekly funding alerts sent out by FRDO
Funding Advanced Search

Find Opportunities matching

- Match all of the fields
- Match any of the fields

All Fields or

Add another row

- Amount
- Deadlines
- Limited Submission
- Activity Location

Clear All
What are Inputs, Outputs, Outcomes and Impact?

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Your Planned Work

Your Intended Results

Nixor Ltd

Derived from the Kellogg Logic model
### BUT WHY?

<table>
<thead>
<tr>
<th>Column Titles</th>
<th>Resources</th>
<th>Activities</th>
<th>Outputs</th>
<th>Short-Term Outcomes</th>
<th>Long-Term Outcomes</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overview</strong></td>
<td>Factors which potentially enable (or limit) program effectiveness.</td>
<td>Products, services, and infrastructure used to bring about the desired results.</td>
<td>Data about direct results of program activities.</td>
<td>Results you expect to achieve one to three years after a program activity is under way.</td>
<td>Results you expect to achieve in four to six years.</td>
<td>The results expected seven to ten years after an activity is under way – the future change your program is working to create.</td>
</tr>
<tr>
<td><strong>Complete these phrases</strong></td>
<td>In order to accomplish our set of activities we will need the following:</td>
<td>In order to address our problem or asset we will conduct the following activities:</td>
<td>We expect that once completed or under way these activities will produce the following evidence of service delivery:</td>
<td>We expect that if completed or ongoing these activities will lead to the following changes in the first half of the grant:</td>
<td>We expect that if completed or ongoing these activities will lead to the following changes in the second half of the grant:</td>
<td>We expect that if completed these activities will lead to the following changes in 7–10 years:</td>
</tr>
<tr>
<td><strong>Examples</strong></td>
<td>Funding, existing organizations, potential collaborating partners, existing organizational or interpersonal networks, staff and volunteers, time, facilities, equipment, and supplies.</td>
<td>Processes, techniques, tools, events, technology, and actions of the planned program.</td>
<td>Size and scope of services/products delivered or produced by the program.</td>
<td>Specific changes in knowledge, attitudes, behaviors, skills, status, level of functioning.</td>
<td>Specific changes in knowledge, attitudes, behaviors, skills, status, level of functioning.</td>
<td>Organizational, policy, community, or system level changes expected to result from program activities.</td>
</tr>
</tbody>
</table>

### BUT HOW?

Outcomes and Impacts should be SMART: • Specific • Measurable • Action-oriented • Realistic • Timed

Lnorstrom.eval@gmail.com
Once you’ve clarified your ideas and found a funding announcement...
You may want to speak with a Program Officer

Come to our next workshop!

Your Program Officer as a Guide:
  When to contact the PO
  What information do you provide
  What can you ask?

Friday, October 19, 12:00-1:30 in the SUB. Register at advance.unm.edu
How to Deconstruct a Funding Opportunity Announcement (FOA)

Vincent Sarracino
Faculty Research Support Officer, College of Arts and Sciences

Research Proposals: From Idea to Submission | September 21, 2018
NSF & NIH Proposal Guides

GENERAL INSTRUCTIONS FOR NIH AND OTHER PHS AGENCIES

SF424 (R&R) Application Packages

Guidance developed and maintained by NIH for preparing and submitting applications via Grants.gov to NIH and other PHS agencies using the SF424 (R&R)
Initial Questions

When is the submission deadline?

Letter of intent (LOI) or pre-proposal?

Are you eligible to serve as the PI?

Is this a limited competition?
Document Specifications

What are the page limits?

What sections of the proposal are included within the page limits?

Fonts, margin and spacing requirements

Are headers and footers allowed?

What is the submission method?
Budget

What is the budget cap?
• Salary Cap

PI effort/time commitment

Inclusion of any specific costs

Facilities and administrative (F&A) costs
Narrative Structure

Required sections of the proposal narrative

Required or suggested subheadings

Additional proposal elements
  Postdoctoral Mentoring, facilities and resources, data plans, etc.

Review Criteria
Resources

Checklists

Sign up for Alerts!

Agency Program Officers

Faculty Research Development Office

Office of Sponsored Projects
Budgets

Isela Roeder
Faculty Research Support Officer, School of Engineering

Research Proposals: From Idea to Submission | September 21, 2018
Now for the Fun Part!
Playing with Money!

Creating your budget
UNM’s Budgeting Tools

- FY 19 Budget Template
- Multi PI Budget Template
  - [http://osp.unm.edu/forms/index.html](http://osp.unm.edu/forms/index.html)
  - Cost Share Forms

- School of Engineering Budget Templates
<table>
<thead>
<tr>
<th>Category</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
<th>FY23</th>
<th>FY24</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary &amp; Benefits</td>
<td>Full-Time Employees</td>
<td>$2,106,500</td>
<td>$2,172,100</td>
<td>$2,231,500</td>
<td>$2,294,700</td>
<td>$2,354,000</td>
<td>$2,408,000</td>
<td>$2,459,000</td>
</tr>
<tr>
<td>Expenses</td>
<td>Supplies</td>
<td>$120,000</td>
<td>$130,000</td>
<td>$140,000</td>
<td>$150,000</td>
<td>$160,000</td>
<td>$170,000</td>
<td>$180,000</td>
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<tr>
<td>Research</td>
<td>Total Personnel</td>
<td>$2,226,500</td>
<td>$2,302,100</td>
<td>$2,361,500</td>
<td>$2,424,700</td>
<td>$2,484,000</td>
<td>$2,548,000</td>
<td>$2,608,000</td>
</tr>
<tr>
<td></td>
<td>Research Faculty</td>
<td>$2,000,000</td>
<td>$2,100,000</td>
<td>$2,200,000</td>
<td>$2,300,000</td>
<td>$2,400,000</td>
<td>$2,500,000</td>
<td>$2,600,000</td>
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<tr>
<td></td>
<td>Research Support Staff</td>
<td>$226,500</td>
<td>$302,100</td>
<td>$361,500</td>
<td>$424,700</td>
<td>$484,000</td>
<td>$548,000</td>
<td>$608,000</td>
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<tr>
<td></td>
<td>Total Non-Human Research Costs</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$100,000</td>
</tr>
<tr>
<td></td>
<td>Total Research &amp; Development</td>
<td>$2,226,500</td>
<td>$2,302,100</td>
<td>$2,361,500</td>
<td>$2,424,700</td>
<td>$2,484,000</td>
<td>$2,548,000</td>
<td>$2,608,000</td>
</tr>
</tbody>
</table>

* In the interest of a Subscriber don't force to add back in your P.I.D. for the $231K of each column.
What will you need to do the work?

- Person effort,
  - Faculty, staff, student
- Materials and supplies
- Other Costs
  - Facility usage, equipment rental fee
  - Tuition
- Travel
- Publication Costs
Budget Example

3 year Project and you are looking to have:

• PI summer Salary 1 month
• 6 Months of a Post Doc
• 1 Graduate Student + tuition
• $50K piece of Equipment
• $10K in Materials and Supplies annually
• $5K in Travel annually
<table>
<thead>
<tr>
<th>Agency: OFFICE OF THE VICE PRESIDENT FOR RESEARCH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Title:</td>
</tr>
<tr>
<td>Estimated Salary Increase: 3.00%</td>
</tr>
<tr>
<td>Estimated Tuition Increase: 6.00%</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Budget Item</th>
<th>Months in FY</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>Assistant Professor</td>
<td>Base months</td>
<td>$10,950</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>Amount</td>
<td>$10,950</td>
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<tr>
<td>Total Summer Research</td>
<td>Base months</td>
<td>$87,550</td>
</tr>
<tr>
<td>Total Summer Research</td>
<td>Amount</td>
<td>$87,550</td>
</tr>
<tr>
<td>Post Doc #1</td>
<td>Base months</td>
<td>$25,790</td>
</tr>
<tr>
<td>Post Doc #1</td>
<td>Amount</td>
<td>$25,790</td>
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<tr>
<td>Graduate Students</td>
<td>Rate/mt</td>
<td>$15,840</td>
</tr>
<tr>
<td>Graduate Students</td>
<td>Amount</td>
<td>$15,840</td>
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<tr>
<td>Research Assistant(s) - AY</td>
<td>Base months</td>
<td>$1,195</td>
</tr>
<tr>
<td>Research Assistant(s) - AY</td>
<td>Amount</td>
<td>$1,195</td>
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<tr>
<td>Total Research Assistants</td>
<td>Base months</td>
<td>$24,720</td>
</tr>
<tr>
<td>Total Research Assistants</td>
<td>Amount</td>
<td>$24,720</td>
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<tr>
<td>fringe benefits</td>
<td>Rate</td>
<td>$4,071</td>
</tr>
<tr>
<td>fringe benefits</td>
<td>Amount</td>
<td>$4,071</td>
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<tr>
<td>Total Salaries &amp; Wages</td>
<td>Base months</td>
<td>$10,950</td>
</tr>
<tr>
<td>Total Salaries &amp; Wages</td>
<td>Amount</td>
<td>$10,950</td>
</tr>
<tr>
<td>Total Fringe Benefits</td>
<td>Base months</td>
<td>$12,562</td>
</tr>
<tr>
<td>Total Fringe Benefits</td>
<td>Amount</td>
<td>$12,562</td>
</tr>
<tr>
<td>Total Salaries, Wages &amp; Fringe Benefits</td>
<td>Base months</td>
<td>$70,348</td>
</tr>
<tr>
<td>Total Salaries, Wages &amp; Fringe Benefits</td>
<td>Amount</td>
<td>$70,348</td>
</tr>
<tr>
<td>RA Training Compensation</td>
<td>Rate/hr</td>
<td>$141.01</td>
</tr>
<tr>
<td>RA Training Compensation</td>
<td>Hr</td>
<td>100.00</td>
</tr>
<tr>
<td>OPSA Fees ($5/semester)</td>
<td>Rate</td>
<td>$50.00</td>
</tr>
<tr>
<td>RA Training Compensation (3/credit hour)</td>
<td>Rate/hr</td>
<td>$85.348</td>
</tr>
<tr>
<td>SOE Differential Tuition Credit Fees</td>
<td>Rate/hr</td>
<td>$87.296</td>
</tr>
<tr>
<td>SOE Differential Tuition Credit Fees</td>
<td>Hr</td>
<td>10.00</td>
</tr>
<tr>
<td>Capital Equipment - $3,000</td>
<td>Rate/hr</td>
<td>$50,000</td>
</tr>
</tbody>
</table>

*In the instance of a Subaward don't forget to add back in your F&A for the first $25K of each subaward.
<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Direct Cost</strong></td>
<td>$144,101</td>
<td>$96,911</td>
<td>$99,863</td>
<td>$340,875</td>
</tr>
<tr>
<td><strong>Modified Total Direct Costs</strong></td>
<td>$85,348</td>
<td>$87,760</td>
<td>$90,290</td>
<td>$263,398</td>
</tr>
<tr>
<td><strong>Facilities &amp; Administrative Costs</strong></td>
<td>@ 51.5% $43,954</td>
<td>@ 51.5% $45,196</td>
<td>@ 51.5% $46,500</td>
<td>$135,650</td>
</tr>
<tr>
<td><strong>Total Budget</strong></td>
<td>$188,056</td>
<td>$142,107</td>
<td>$146,363</td>
<td>$476,525</td>
</tr>
</tbody>
</table>
Things to keep in mind

Be sure to have read the solicitation

- Does the budget have a cap
  - Does the cap include direct costs or total costs
  - Is this a Grant or a Contract

- Are there any Indirect Cost restrictions

- Is Cost Share Required
  - Committed Vs Voluntary Cost
Next steps

Budget Justification

Cayuse Record

Completing your technical proposal for review and submission
Proposal Review and Submission Process

Alyssa Pierce
Sponsored Project Specialist, Sr.

ADVANCE Workshop
September 21, 2018
OSP – Who we are and what we do

Office of Sponsored Projects (OSP)
Located on the 2nd floor of the John & June Perovich Business Center on the SE corner of Lomas and University

Proposal Team (5 Specialists + Manager)
Awards Team (4 Specialists + Supervisor)
Contracts Team (2 Specialists + Manager)

Contract & Grant Accounting (15 Employees + Supervisor + Manager)

Director of OSP + 3 Admin Support Staff
Review and Submission Process

Time is your friend! Plan ahead!

- Cayuse SP record is started
- Request a Proposal Review and Submission Appointment via the OSP website (http://osp.unm.edu/)
  - schedule your appointment when you will be ready to submit
  - 5:2 guidelines (communicate with OSP at least 5 business days before deadline to have appointment scheduled around 2 business days before deadline)
- Continue working on your proposal – follow your solicitation and complete all required forms and documents
- Be prepared for your appointment and be available (via phone or email) during scheduled appointment time
- Be prepared to submit by the end of your appointment
  - If your appointment is on a Friday but your deadline is Monday and you feel you want the weekend to work on the proposal, then schedule your appointment for Monday with the understanding that you share responsibility for any technical issues that may come up submitting on the deadline date.
Office of Sponsored Projects

OSP Mission and Vision

Purpose
The Office of Sponsored Projects (OSP) under the direction of the Office of the Vice President for Research (OVPR) and the Financial Services Division (FSD) supports the University's research mission by providing administration, management, and oversight of extramural sponsored research.

OSP provides support and assistance with proposal submission and management of successfully awarded projects. The OSP office works closely with faculty, department administrators, and support staff across the Main and Branch campuses to ensure project success and compliance throughout the sponsored projects lifecycle.

Mission
Office of Sponsored Projects

Appointment Request Form

OSP Review and Submission Appointment Request Form

Please complete the appointment request form below:

PI Name:*

PI Contact Number:*

PI Email Address:*

Best Contact Person (if different than PI):

Admin Contact Email Address:

Cayuse Proposal Record Number:

Proposal Deadline:* [ ] [ ] [ ]

[ ] Soft Deadline [ ] Hard Deadline

You can add up to 3 preferred proposal review dates below:

1st Choice:* [ ] [ ] [ ]

[ ] AM [ ] PM

2nd Choice:* [ ] [ ] [ ]

[ ] AM [ ] PM

3rd Choice:* [ ] [ ] [ ]

[ ] AM [ ] PM
What do we look for during a proposal review?

- Cayuse SP
  - PI certifications, Department Authorizations, memos, uploaded documents, etc.
- Cayuse 424 (if applicable)
- Sponsor Solicitation (BAA, FOA, RFP, RFI, Email, etc.)
- Statement of Work (SOW)
- Budget
  - Accurate salaries, accurate insurance rates, accurate fringe rates, accurate F&A, numbers that add up, etc.
- Budget Justification
  - Is everything accounted for in a reasonable way?
- Sponsor Specific Required Documents/Materials
  - SF 424, Signed LOS, Reps and Certs, CVs, Facilities Support documents, Eligibility letters, etc.

OSP checks for completeness, accuracy, and ensures all sponsor requirements are met – We are here to help
Questions?
More Next Steps—ADVANCE Workshops and more

- Talking to a Program Officer
  October 19, 12-1:30 pm in the SUB

- Working with the UNM (and other) Foundations
  November 9, 12-1:30 pm in the ADVANCE space

- Faculty Research Development Hours (1-on-1 assistance)
  October 23 and November 13, 2-4 pm at ADVANCE

- Writing Boot Camp and Accountability Groups—check ADVANCE website
Thank you!

Mary Jo Daniel:  mjdaniel@unm.edu; 277-0168

Vince Sarracino:  vsarra@unnm.edu; 277-1373

Isela Roeder:  iroeder@unm.edu; 277-5758

Alyssa Pierce:  alyssamp@unm.edu; 277-4186

Or our websites:  frdo.unm.edu; osp.unm.edu