



Certificate Series for Specialized Grants Training Pre-Award Series Track

Proposal Development and Submission



University of Missouri

The background of the slide is a photograph of the Missouri State Capitol building, a large white neoclassical structure with a prominent dome and a flagpole to the left. The building is partially obscured by a semi-transparent white box with an orange border. In the foreground, there are out-of-focus yellow and orange autumn leaves against a clear blue sky.

Presenter

Hannah Brune

Associate Director
Pre-Award Services, SPA

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Session Objectives

- Understand the responsibility of individuals involved in developing and submitting a proposal.
- Identify basic components of a proposal.
- Describe internal and sponsor compliance requirements.
- Recognize what to look for in sponsor guidelines.
- Discuss proposal development resources.
- Special circumstances affecting proposals.



CY 2024 Facts & Figures

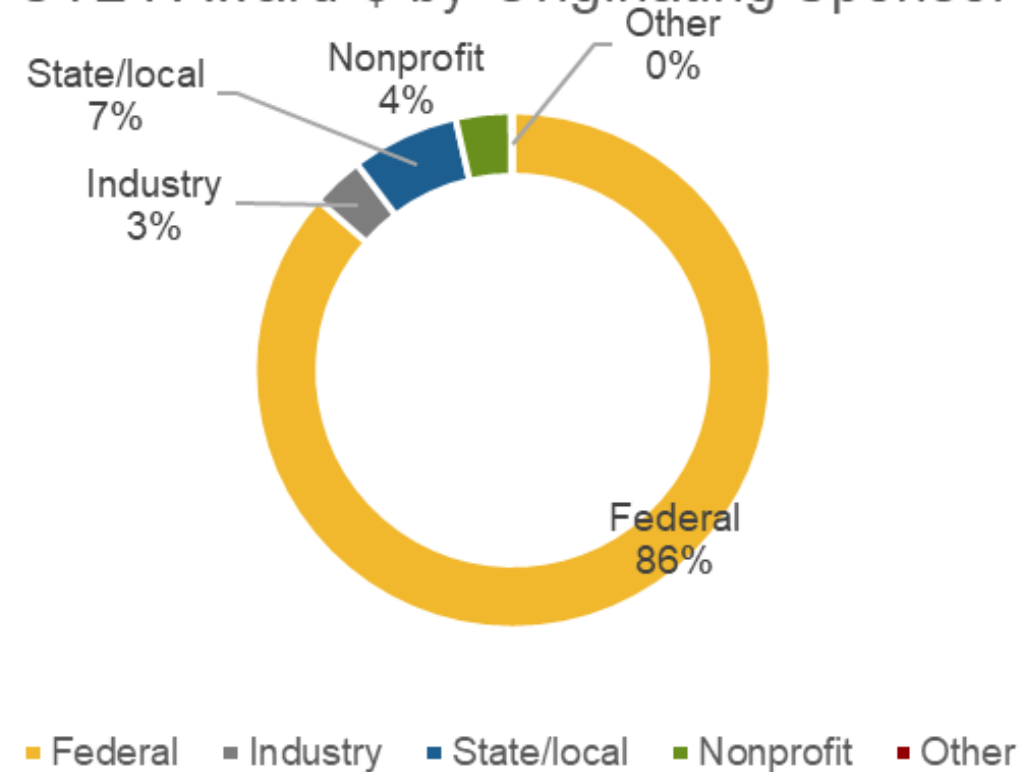
\$2.353 Billion

Dollars of Submitted Proposals

2066

Unique Proposals Submitted

CY24 Award \$ by Originating Sponsor

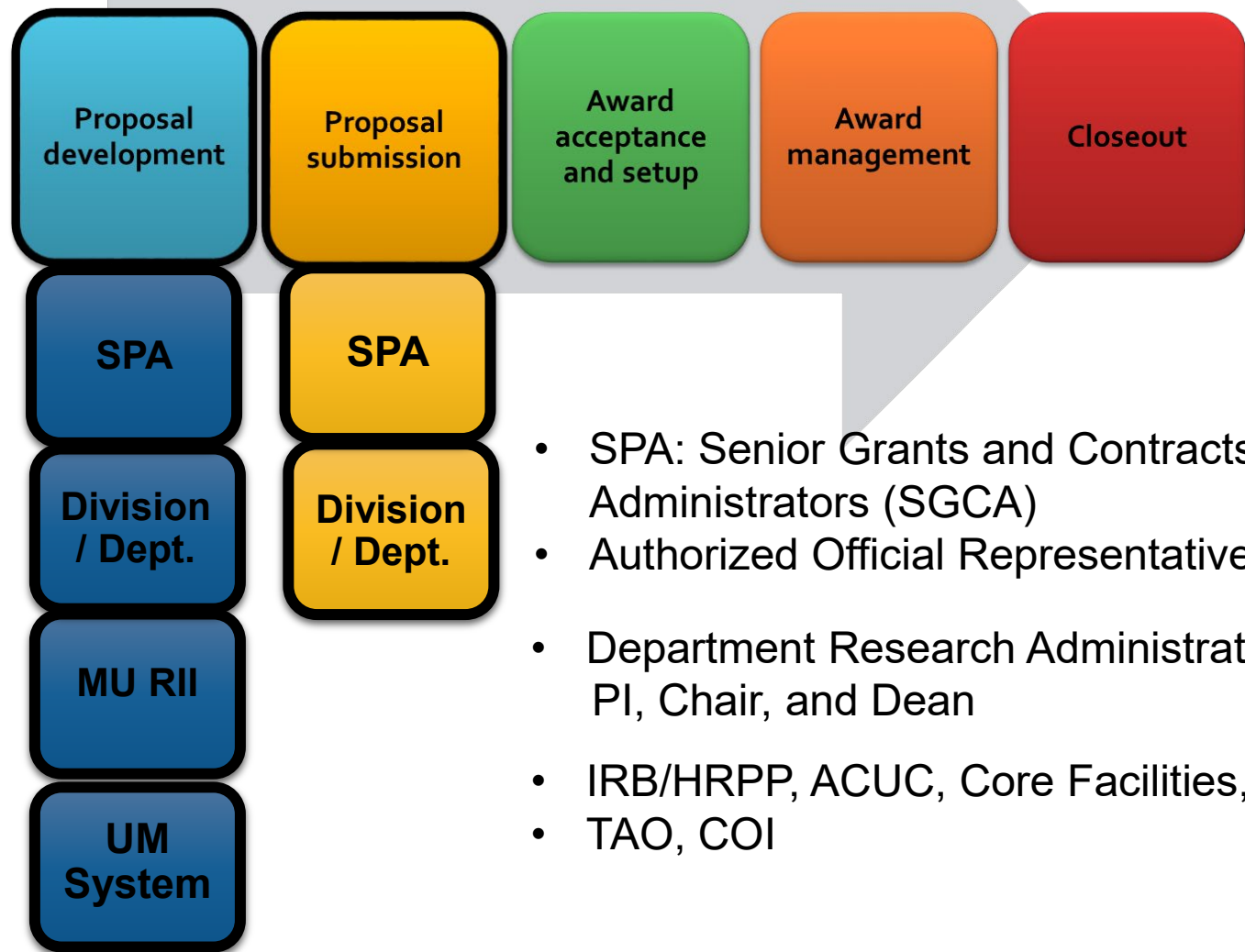


Award Cycle





Many individuals may be involved...



Proposal Process Overview

PI/Department Responsibilities

- Identify funding opportunity
- Review sponsor **guidelines**
- Request needed access
- Draft **narrative and other required documents**
- Develop **budget**
- Create **ePSRS** and obtain approvals
- Prepare **sponsor forms** (paper, online, web-forms, email, etc)
- Prepare **compliance forms**

SPA Responsibilities

- **Review** full proposal and internal documents (e.g., ePSRS, IF)
- **Coordinate legal** reviews
- **Confirm** and complete **compliance** requirements
- **Submit** proposal to sponsor
- Mark as submitted in Peoplesoft

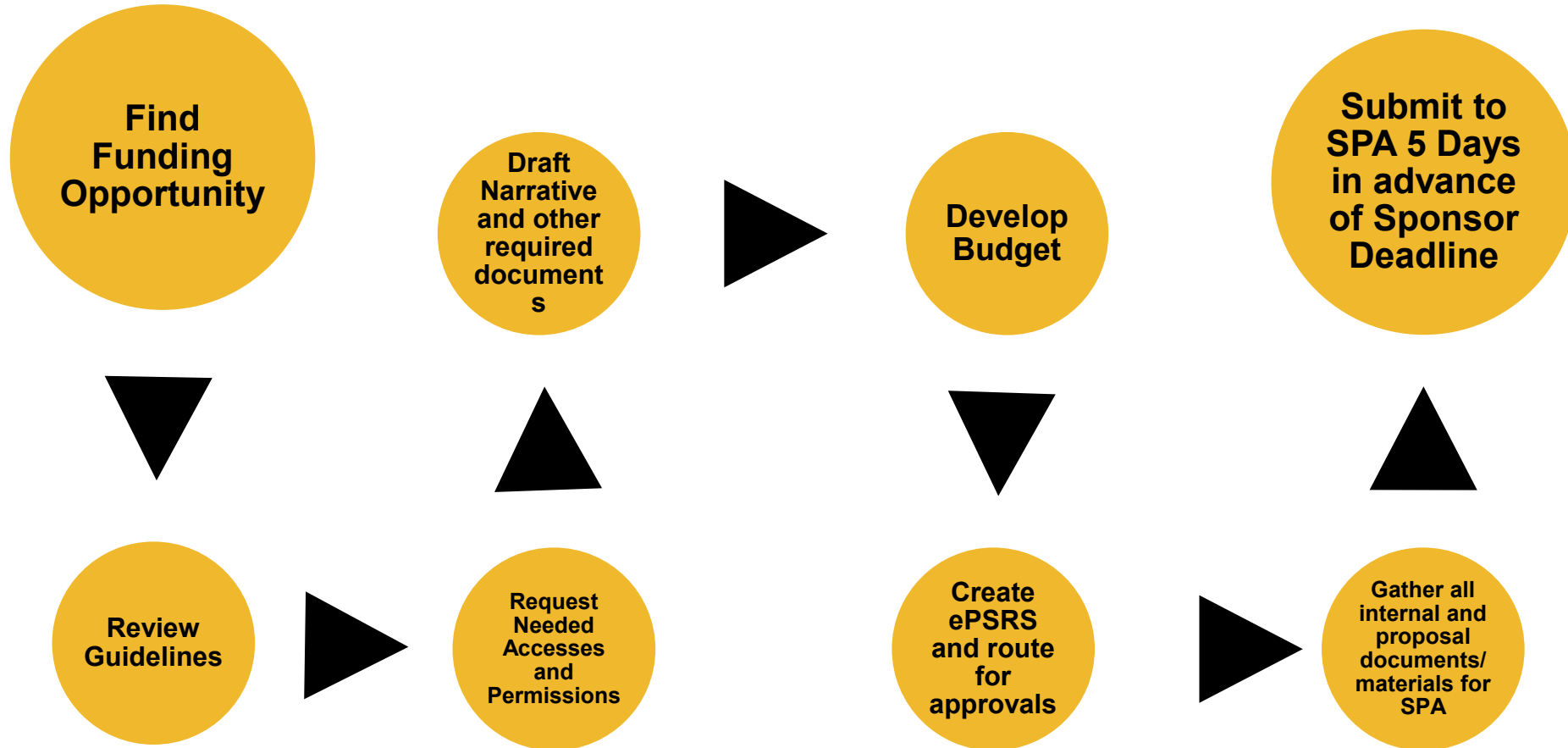




PI/Department Responsibilities

Proposal Process

PI / Department Administrative



Find Funding Opportunity

Pivot – Funding Opportunities Database

- <https://pivot.proquest.com>
- Comprehensive, editorially maintained database of funding opportunities.
 - Includes Research, Contracts, Collaboration or Cooperative Agreements, Awards, Program or Curriculum Development, Training, Scholarship, or Fellowship, Travel, and other funding types.

The screenshot displays the University of Missouri Research, Innovation & Impact website. The header includes the university logo and navigation links for Funding, Profiles, Conferences, Awarded Grants, and News. A search bar is prominently featured with the text "Search for Funding" and "Search Funding Opportunities". Below the search bar, there are links for "Browse Funders A-Z" and "Advanced Search". The main content area is divided into two columns. The left column, titled "Welcome, Please Sign In", contains links for "Create an account" and "sign in", and two large buttons: "My Funding Opportunities" (with a folder icon) and "My Profile & Groups" (with a group icon). The right column, titled "Tips & Resources", provides information on how to use the database, including links to "Contact Us", "Knowledge Center", and "YouTube channel".

Research, Innovation & Impact
University of Missouri

Research Professional Development MU InfoReady

Funding Profiles Conferences Awarded Grants News

Announcements HELP

Search for Funding

Search Funding Opportunities

Browse Funders A-Z Advanced Search

Welcome, Please Sign In

Create an account or sign in to be able to track and share opportunities, save searches, get automatic alerts, edit your profile, view groups and more.

My Funding Opportunities

Curated Opps

My Profile & Groups

My Profile

Tips & Resources

If you have questions, please Contact Us.

The following tips and resources are available to help you:

- "How to" documentation: Visit the Knowledge Center
- Tips for searching for Funding and Profiles
- Videos: Short YouTube videos to help you learn how to edit your profile, search for funding, set-up alerts and other features. Visit the YouTube channel.

Need more help?

Pivot Questions or Training

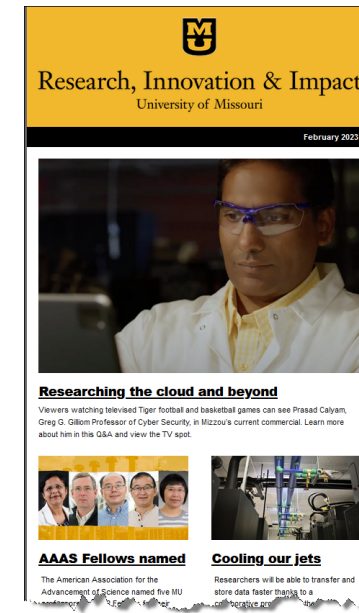
ResearchFRST

Sponsored Programs Administration



Find Funding Opportunity

- **Research, Innovation & Impact Stay Connected listservs:**
<https://research.missouri.edu/stay-connected>
- There are five listservs that used to distribute discipline-specific funding announcements and professional development opportunities. These listservs are one of the many ways to learn about funding opportunities in your discipline.
 - Arts and Humanities
 - Extension and Agriculture
 - Health Sciences
 - Social and Behavioral Sciences
 - Science and Engineering
- **Research, Innovation & Impact Newsletter**



Review Guidelines

Types of Guidelines

- **General Guidelines**
 - NIH: [General Instructions for NIH and Other PHS Agencies using the SF424](#) (319 pages!)
 - NSF: [Proposal and Award Policies and Procedures Guide](#) (216 pages!)
- **Specific Guidelines**
 - (Based on type of Funding Opportunity/Announcements)
 - Notice of Funding Opportunity
 - Parent announcement (PA)
 - Notice of Special Interest (NoSI)
 - Request for proposal (RFP) or Request for Application (RFA)
 - Solicitation—NSF

Note: When a specific funding opportunity (e.g., NOFO) has instructions contradictory to general guidelines, the NOFO supersedes



Review Guidelines

- **Proposal due date/time**
 - Time zone
 - SPA business hours are generally 8 to 5 daily
 - Make plans if needed should the due date fall on a weekend or holiday
- **Submission method**
 - Website/online portal, email, hardcopy

Note: More than one method may be required.



Review Guidelines

The Basics

- Font size and type(s)
- Required sections and titling
- Headers and footers
- Page limits: total, per section
- Margins
- File naming conventions
- Document size and format (.pdf vs .doc)
- Letters of Support templates
- Additional Documents after submission



Request Needed Accesses and Permissions

Accesses and Permissions – Internal

- PeopleSoft Grants Module Access
- PI Eligibility
- PS Budget Categories
- ePSRS Security Changes
- New Sponsor Request Form
- DeptIds
- ePSRS Security Changes

Accesses and Permission to sponsors – External

- [NSF](#) (Fastlane/Research.gov)
- [NIH](#) (eRA Commons/ASSIST)
- Other Sponsor Portals: Confirm with your SGCA as early as possible, particularly for atypical sponsors



Grant Fact Sheet

- A one stop shop for institutional information required for many grant proposals.
- Located on the main SPA Web page
 - UEI (formerly DUNS) and other identifying numbers
 - Tax ID Number (aka EIN)
 - Facilities and administrative (F&A) rates
 - Fringe benefit rates
 - Graduate student tuition support program (GSSP) rates
 - Travel and meal reimbursement rates
 - IRB and IACUC assurance numbers
 - List of Authorized Signers for grants and contracts

Grant fact sheet

HOME / SPONSORED PROGRAMS ADMINISTRATION / GRANT FACT SHEET

Applicant organization information

Mailing address The Curators of the University of Missouri
Sponsored Programs Administration
601 Turner Avenue
Turner Avenue Garage, Rm. 201
Columbia, MO 65211-0001

For overnight courier, use zip code 65201-4206

Telephone 573-882-7560

Fax 573-884-4078

Email grantsdc@missouri.edu

URL <https://research.missouri.edu>

Applicant organization information

[↓ DOWNLOADABLE MU INSTITUTIONAL PROFILE](#)

Business officers

Awards to be sent to Craig David, Director, SPA

Primary official signing documents Hannah Brune, Associate Director Pre-Award, SPA

Alternate officials signing documents Jeremiah Lotven, Pre-Award Manager, SPA
Chad Hampton, Associate Director Post-Award, SPA
Chase Bunker, Research Contracts Manager, SPA
Melissa Old, Compliance Manager, SPA
Megan Faulkner, Pre-Award Submissions Manager, SPA

Checks payable to The Curators of the University of Missouri



Research, Innovation & Impact
University of Missouri

Develop Budget: Indirect Cost Rate

- What Indirect Cost Rate do I use?
 - Determine the Purpose of your project
 - [Award Purpose Determination Guide](#)
- Use MU's federally-negotiated indirect cost rates → Grant Fact Sheet
- Sponsor's published rate → guidelines, website; an email or letter doesn't count (why?)
- Indirect Cost Waiver (aka RUC - Request for University Contribution)

Award Purpose Determination Guide

		Characteristics	Examples
Research	Types	<ul style="list-style-type: none"> • Basic - to acquire new knowledge without a particular application in mind • Applied - to gain knowledge to meet a specific, recognized need • Development - using knowledge gained from research toward the production of useful materials, systems, or methods, including prototypes or processes 	<ul style="list-style-type: none"> • Scientific laboratory or field research • Searching for applications of new research • Statistical studies or analysis • Literary interpretations or criticisms • Health-related studies
	General	<ul style="list-style-type: none"> • Systematic investigation • Contributions to generalized knowledge • Supporting, refining, or refuting other research • Production of research outcomes • Intent to publish or disseminate results • Aim to discover new facts • Data collection, evaluation, analysis or reporting • Evaluating effectiveness of program/intervention using an evidence-based approach • Tracking subjects or participants over time and providing analysis • Training - teaching individuals in research techniques in the same facilities as R&D 	<ul style="list-style-type: none"> • Research on teaching effectiveness • Creation of academic or professional publications • Testing and evaluation • Scholarship or writing of books when the purpose is to publish research results • Research training grants • Maintain facilities, equipment, operation of a facility to be used for research • Conferences that present research findings or provide research training or experience to attendees
Instruction		<ul style="list-style-type: none"> • The teaching and training activities of an institution, except research training • Can be activities that offer credits toward a degree • Instruction, demonstration, or efforts to improve teaching methods • Evaluation of curriculum or teaching methods 	<ul style="list-style-type: none"> • Teaching • Course and curriculum development • Academic advising and development • Instructional or training workshops for non-University students • Support for writing textbooks, videos, or software to be used as instructional materials • Community service projects where academic credit is earned
Other		<ul style="list-style-type: none"> • Delivery of professional (non-instruction) services to individuals and groups external to the institution • Not seeking publication of results or presentation of results at an academic meeting • Support for teachers or students in elementary and high school for outreach purposes • Support for library collections or art museums • Support for activities where there is no training, data collection, or evaluation of any kind 	<ul style="list-style-type: none"> • Conferences, seminars, and workshops that do not support or disseminate research • Special events open to the public • Summer Camps • Publications by University Press • Infrastructure purchases that don't impact research • Travel Grants

See Page 2 for information on selecting the correct codes for Purpose, DEPTIDs (PSC) and SEFA for entry in the PeopleSoft Grants Module while creating the ePSRS.



Create ePSRS and Route for Approvals

ePSRS for internal proposal approvals

- “**E**lectronic **P**roposal **S**ignature **R**outing **S**heet.”
- Is an **MU internal document** (Not included in the proposal package to the sponsor).
- Verifies all **essential information of your grant proposal**:
 - Project title
 - Project dates
 - Budget (general and detailed, including cost sharing)
 - Departments
 - PIs, Co-Is, and other Key Personnel
 - Shared Credit
 - Checklist (e.g., foreign travel, core facilities)
 - Certifications (e.g., IRB, ACUC, EHS)
 - Approvals



Assemble all the Documents

What constitutes a **Complete Proposal Package** to SPA?

- Sponsor **Guidelines**
- Completed Sponsor **Application Documents and Form(s)**
- A complete and **approved ePSRS**
- A **detailed internal budget**
- Other **internal compliance documents** (ex. FCOI)
- Any special instructions for submission



Submit to SPA

SPA Needs your Complete Proposal Package 5 Days in advance of the Sponsor Deadline

- **Why?**
 - To ensure on-time submission of *accurate and responsive* proposals.
 - Maintain *fairness* among faculty.
 - Ensure *acceptability of terms and conditions*.
 - Safeguard *compliance*.
- UM System Policy 27001 The campus Sponsored Programs Office **must** review and approve such requests prior to a proposal being submitted to the sponsor.



The background of the slide features a low-angle shot of a white, ornate domed building, likely a state capitol, against a clear blue sky. A flag with a seal is visible on the left. In the foreground, out-of-focus autumn leaves in shades of yellow and orange frame the right and top edges of the image.

SPA Responsibilities

SPA Review and Submission Process

SGCA

- Review of sponsor **guidelines and terms and conditions**
- **Review** full proposal materials and internal documents – ensure accuracy
- **Coordinate legal** reviews
- **Confirm** and complete **compliance** requirements

Authorized Organizational Representative

- **Submit** proposal to sponsor (delegated authority)



Errors and Warnings

We got an error/warning. Now what?

- Warnings
- Errors
- Changed/Corrected Applications
- Proposal File Updates
- Withdrawn Proposals



Post Submission

- Any screen shots and email confirmations will be returned to you for your records.
- Some Agencies provide time for revisions following submission but not all:
 - NIH—2-day viewing/correction window (pre-deadline)
 - NSF—Proposal File Updates/Compliance Review
- ✓ Award: typically in 6-9 months
- NIH—Just-In-Time requests | NSF—Revised Budgets



Special Circumstances

Special Circumstances when preparing Grant Proposals

- Financial Conflict of Interest
- Letters of Intent, White Papers
- Limited Submissions
- Gift or Grant



Compliance with Federal Financial Conflict of Interest Regulations (FCOI)

In 2012 the Public Health Service (PHS) revised regulations regarding FCOI became effective. (42CFR Part 50, Subpart F, 45 CFR Part 94)

*A financial conflict of interest (FCOI) in research may occur when **outside financial interests** compromise, or have the appearance of compromising, the professional judgment of an Investigator* when designing, conducting, or reporting research.*

**Investigator* is defined as any individual responsible for the design, conduct, or reporting of research.



Which sponsors require FCOI compliance at proposal?

PHS Agencies include NIH, AHRQ, HRSA, CDC, FDA, SAMHSA (and many more).

Many non-PHS agencies have formally adopted the PHS rule or have a similar rule. Examples include NSF, DOE, NASA, and non-federal sponsors such as AHA, ACS, PCORI (and many more).

Requirement is that Investigators disclose significant financial interests ***at the time of proposal submission.***



FCOI

How is compliance ensured?

- PI/Department prepares and submits an Investigator Form (IF) with the ePSRS and grant materials to SPA.
- All MU Investigators named in the proposal as a Key Person *must* have submitted an Outside Interest Disclosure Form (OIDF) in eCompliance within the previous 12 months.
 - Departments include this documentation when submitting the grant proposal package to SPA.



FCOI

How is compliance ensured?

- PI/Department prepares and submits an Investigator Form (IF) with the ePSRS and grant materials to SPA.
- All MU Investigators named in the proposal as a Key Person *must* have submitted an Outside Interest Disclosure Form (OIDF) in eCompliance within the previous 12 months.
 - Departments include this documentation when submitting the grant proposal package to SPA.

INVESTIGATOR FORM

Principal Investigator:		Proposal Number:	
Sponsor:		Project Number:	
Project Title:			

Overview: Expectations of external sponsors require varying institutional procedures which necessitate clearly identifying individuals conducting research activities. Completion of this form provides information to OSPA and the COI Office critical for ensuring that the University adheres to relevant regulations and policies.

Instructions: Submit this completed form to your [OSPA Senior Grants and Contracts Administrator](#) in anticipation of proposal submission where the source of funding will be from any of the following sponsors (directly or as flow through, or for any sponsor who has adopted the policy):

Agency for Healthcare Research and Quality (AHRQ)	Indian Health Service (IHS)
Agency for Toxic Substances and Disease Registry (ATSDR)	Juvenile Diabetes Research Foundation (JDRF)
Alliance for Lupus Research (ALR)	Lupus Foundation of America (LFA)
Alpha-1 Foundation	National Institutes of Health (NIH)
American Asthma Foundation (AAF)	National Science Foundation (NSF)
American Cancer Society (ACS)	Office of Global Affairs (OG)
American Heart Association (AHA)	Office of the Assistant Secretary for Health (OASH)
American Lung Association (ALA)	Office of the Assistant Secretary for Planning and Evaluation
Arthritis Foundation (AF)	Office of the Assistant Secretary for Preparedness Response (ASPR)
Centers for Disease Control and Prevention (CDC)	Office of Public Health and Science
CurePSP	Substance Abuse and Mental Health Services Administration (SAMHSA)
Food and Drug Administration (FDA)	Patient-Centered Outcomes Research Institute (PCORI)
Health Resources and Services Administration (HRSA)	Susan G. Komen for the Cure (Komen)
[New] National Aeronautics and Space Administration (NASA)	[New] Department of Energy (DOE)

For all sponsors with the exception of NSF, the table below should list all Investigators currently named for the project, including MU and non-MU personnel. For NSF projects, list only MU Investigators. For guidance on determining Investigators and additional relevant information, refer to page 2 of this form and the [University of Missouri System and Columbia Campus COI policies](#).

Investigator's Name (first and last)	UM EMPLID (if applicable)	Affiliation and Job Title	Role on the Project	Official Use: OIDF DATE

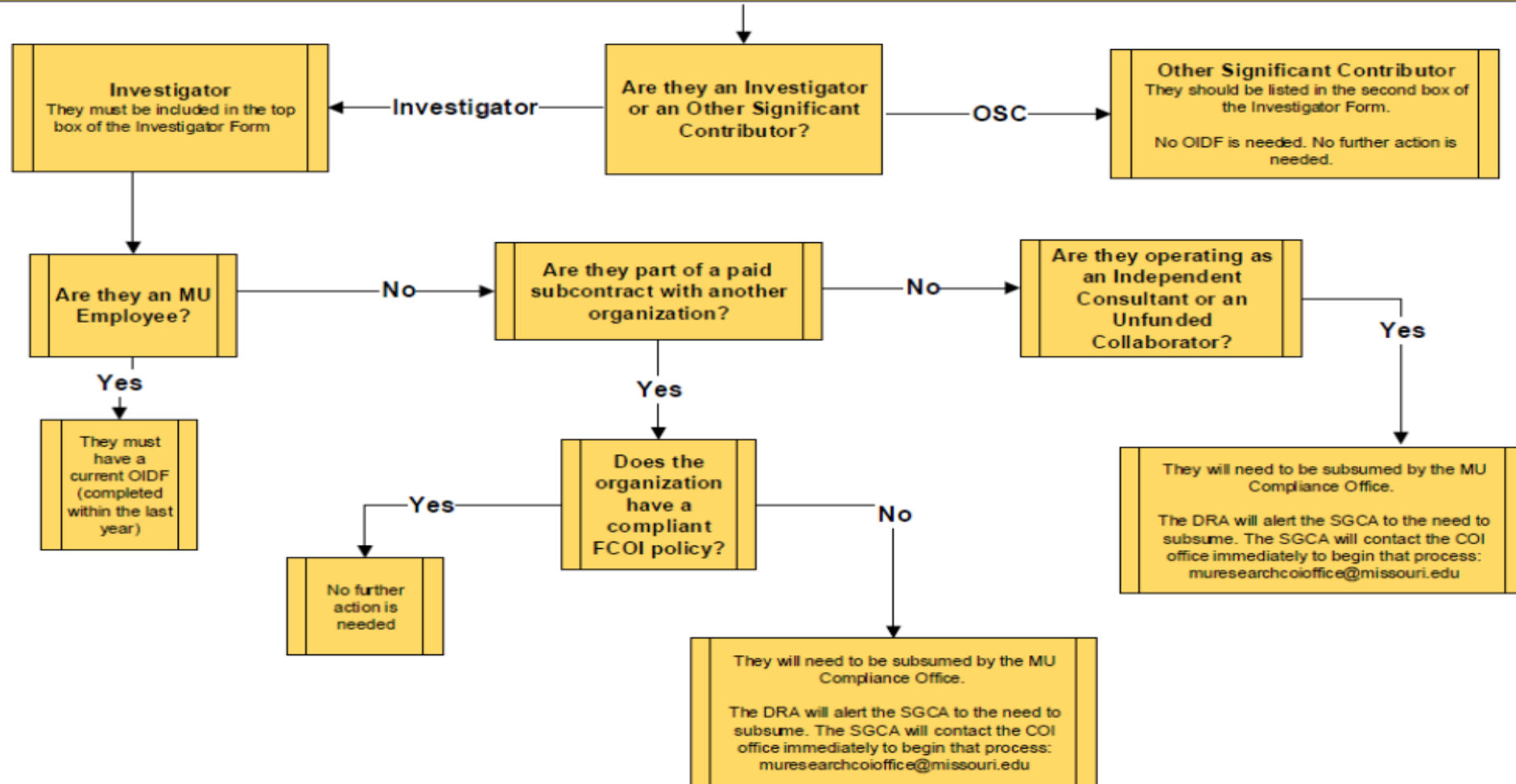


FCOI -- Guidelines for Inclusion of Individuals on Investigator Form

For PHS agencies and those who have adopted the PHS rule (ex. Dept of Energy, AHA, etc). For NSF, we only need to list MU personnel on the form and do not need to be include non-MU personnel. This applies to all proposal submissions, including LOIs and pre-proposals.

All Investigators (PI, Co-I who are responsible for the design, conduct, and reporting of research) must be on the Investigator Form and have a current ODF.

In addition, ALL people on the Senior/Key Personnel Form must be accounted for on the IF, either as an Investigator or an Other Significant Contributor. This decision tree will help identify what is needed for those individuals.



Letters of Intent, Pre-Proposals, and White Papers

PIs can submit general concept/white papers (no budget and no requirement for authorized signature or commitment needed), Requests for Information (RFI), and Pre-Proposals which don't require a budget or an Authorized Organizational Signature.

If the sponsor requires...

- A detailed budget
- University authorized signature
- Online authorized submission

... treat that as a sponsored *proposal* like any other – submit to SPA for review and submission by an Authorized Signer. Questions? Just ask us!



Limited Submissions

Limited submissions are funding opportunities in which a sponsor restricts the number of applications an institution can submit. Guidelines for these programs allow for only one or two applications and require the institution to determine internally which one(s) to submit.

SPA oversees the selection process for limited submission funding opportunities.

A current list of limited submission funding opportunities is hosted on the MU InfoReady page. New opportunities are added weekly. [Subscribe to receive updates](#).

To apply for a limited submission, a PI should go to InfoReady: <https://umsystem.infoready4.com/#MU>

Questions should be directed to (umcresearchltdsub@missouri.edu)



Multi Campus Proposals

- One University of Missouri campus/business unit (BU) is designated as “**lead**” and is responsible for processing the application to the sponsor. For most sponsors, the proposal submitted to the sponsor will have one budget. This budget is comprised of the budgets for all University campuses added together.
- **NOTE:** In some cases (see below for NSF guidance), it is more appropriate to keep sister campus budgets separate. In other cases, it is most appropriate to incorporate a sister campus into the section(s) of a proposal meant for subcontracts. Other University of Missouri business units are **NOT considered subcontracts**. Do NOT request subcontractor information for them. The MU budget will not charge F&A on any portion of the budgeted funds for another BU. Full F&A from the other campus is included in their budget. In these cases, the budget justification should clearly state that the sister campus is not a subcontractor and therefore no F&A was charged on their portion. Defer to sponsor guidance and department preferences to best determine the way to structure a proposal incorporating sister campuses.
- **NSF Proposals:** For NSF proposals, each sister campus must submit a separate budget as NSF awards based on UEI. If a collaborative project submitted by separate institutions is an option, this is the preferable submission method. If it is not, then the non-lead sister campus should submit their budget on the subcontractor budget form. In the budget justification, a line such as “*While the University of Missouri is listed above and a detailed budget is provided, they are also part of the University of Missouri System. Therefore, their budget is excluded from indirect cost calculations and a legal subcontract agreement will not be issued.*” should be included.
- Each BU must have its own eProposal Signature Routing Sheet (ePSRS) for its share of the budget.



Binding Terms and Conditions

Some proposals (specifically RFPs) require MU to agree to binding terms and conditions at proposal.

- These require legal and compliance review
- May need to include an exception letter in the proposal
- These reviews take time – please send to SPA as soon as possible.



Take-Aways

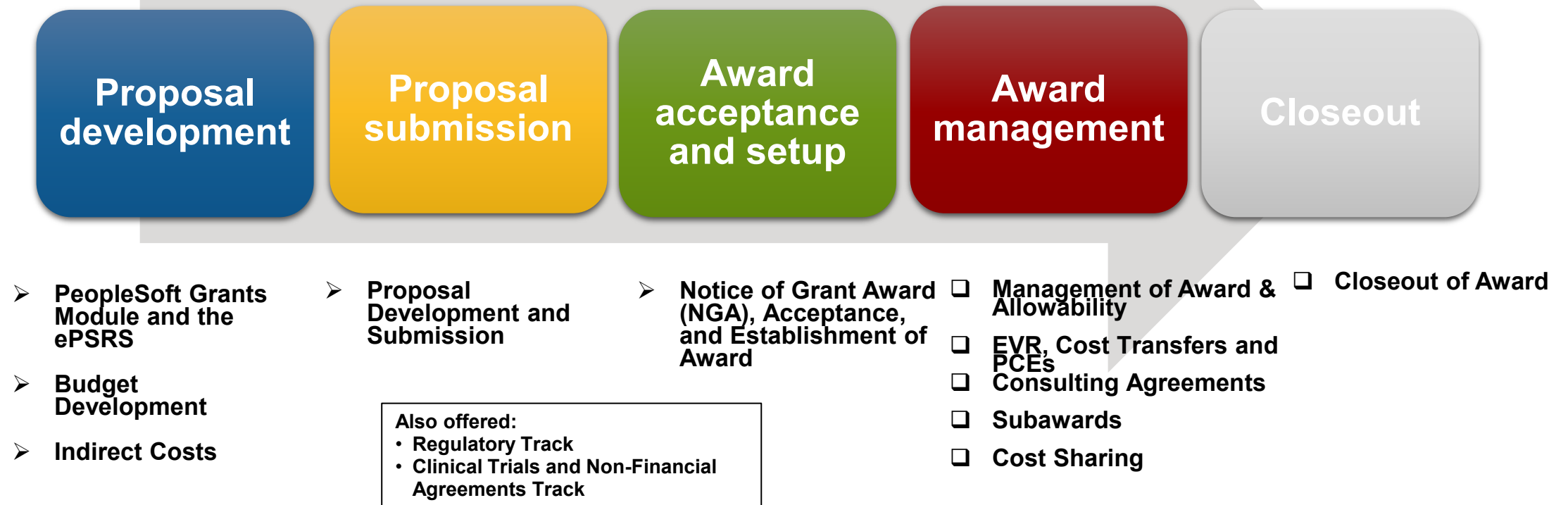
- Read your guidelines
- Plan ahead – the 5-day rule
- Read your guidelines again!
- Follow the guidelines (all of them)
- Don't forget internal processes and approvals – and key compliance requirements

FCOI or Limited Submission clearance may be a show-stopper for some proposals.

- Involve SPA early. We can help!



Certificate Series for Specialized Grants Training



Thank you!

Questions?

Sponsored Programs Administration
(573) 882-7560
muresearchospa@missouri.edu



Research, Innovation & Impact
University of Missouri