



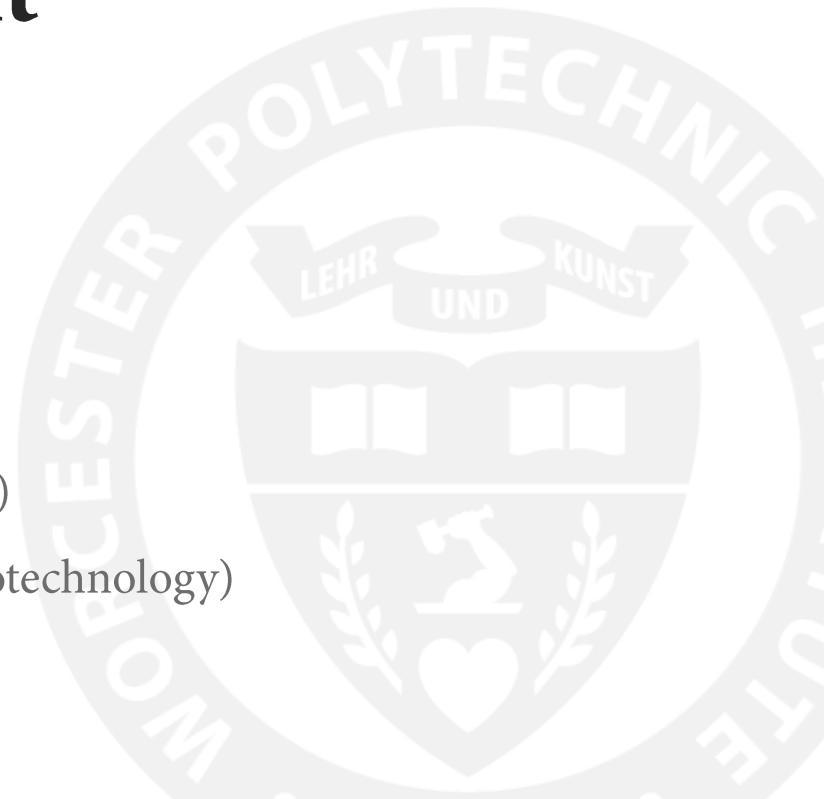
# WPI

# Proposal Development and Submission

Office of Sponsored Programs

Tammy Ducharme (Senior Assistant Director, OSP)

Tanja Dominko (Associate Professor, Biology & Biotechnology)



# PI Perspective and Advice

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- Identify funding opportunity:
  - Who is interested in my work; what is the problem I am trying to solve?
  - What are the available funding mechanisms?
- Program officers are your friends!
- Make it an active process and manage your time!
- Collaborative vs. Individual
  - How to find collaborators?
  - Could and should I propose it alone?
- Project **effort** should reflect your responsibilities and interest

# PI Perspective and Advice

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- Proposal writing
  - Give yourself 3-6 months
  - Delegate writing of specific parts to specific people
  - Have a proposal reviewed and critiqued by colleagues!!
  - For collaborative proposals, make sure the proposal “speaks the same language” and is not a patchwork of different styles
  - **Formatting (fonts and sizes, consistency of terminology, figures and legends of adequate size, symbols, paragraph spacing and indentation, etc...)**
  - **Use language from the funding solicitation!**
- Tailor proposal and CV to specific solicitation

# Components of a Proposal

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- Cover Page
- Project Summary / Abstract
- Project Narrative
- References
- Detailed Budget & Justification
- Personnel Biographical Sketches
- Current and Pending
- Facilities Statement
- Data Management Plan
- Letters of Support / Collaboration
- Sponsor-Specific Requirements

# Budget and Justification

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- Budget should reflect what you are proposing to do; **both**, asking for too little or too much will signal that you can not estimate what is needed to accomplish the proposed work.
- What to think about
  - How much effort should I include for key personnel?
  - Research Assistants and/or Post Docs
  - Will I need equipment?
  - Will I need funds for travel to collaborate or disseminate results?
  - Does the sponsor require attendance at program meetings?
  - Subcontractors and/or Consultants

Name of PI: Tammy Ducharme  
Proposal Title: Proposal Submission and Development  
Program Applying to: WPI OSP  
Project Period Dates: 11/09/16 To 11/08/22

		Year 1	Year 2	Year 3	Year 4	Year 5	Cumulative	Notes
A. Senior/Key Personnel Effort								
PI	1.0 SU	11,111	11,444	11,787	12,141	12,505	58,988	*3% yearly inflator is built-in for all salaries/stipends
Co-I 1	0.5 AY	5,556	5,723	5,895	6,072	6,254	29,500	
Co-I 2		0	0	0	0	0	0	
Co-I 3		0	0	0	0	0	0	
Co-I 4		0	0	0	0	0	0	
Total Senior/Key Personnel		16,667	17,167	17,682	18,213	18,759	88,488	
B. Other Personnel								
Graduate RA - PhD	12 CA	27,600	28,428	29,281	30,159	31,064	146,532	
Graduate RA - MA		0	0	0	0	0	0	
Undergraduate RA	\$12, 10 hr, 50 weel	6,000	6,180	6,365	6,556	6,753	31,854	
Post-Doctoral		0	0	0	0	0	0	
Other Prof. (Eg; Technician)		0	0	0	0	0	0	
C. Fringe Benefits (26.0% of faculty/staff salaries)		4,333	4,463	4,597	4,735	4,877	23,005	
Total Personnel		54,600	56,238	57,925	59,663	61,453	289,879	
D. Equipment >\$5000 per unit								
Item A.		0	0	0	0	0	0	*Overhead not charged on single-item equipment >\$5,000
Item B.		0	0	0	0	0	0	
Item C.		0	0	0	0	0	0	
Item D.		0	0	0	0	0	0	
Item E.		0	0	0	0	0	0	
Item F.		0	0	0	0	0	0	
Total Equipment		0	0	0	0	0	0	
E. Travel								
Domestic		500	500	500	500	500	2,500	
Foreign		1,000	1,000	1,000	1,000	1,000	5,000	
Total Travel		1,500	1,500	1,500	1,500	1,500	7,500	
F. Participant Support Costs (PLEASE CONTACT OSP IF YOU HAVE QUESTIONS REGARDING PARTICIPANT SUPPORT COSTS.)								
Stipends*		0	0	0	0	0	0	**This category is specific to sponsor supported conference, workshop, or training activities, typically involving non-employees of the host institution.
Travel*		0	0	0	0	0	0	
Subistence*		0	0	0	0	0	0	
Other*		0	0	0	0	0	0	
Total Participant Support Costs		0	0	0	0	0	0	
G. Other Direct Costs								
1.) Materials and Supplies		100	100	100	100	100	500	
2.) Publication Costs		0	0	0	0	0	0	
3.) Consultant Services		0	0	0	0	0	0	
4.) Computer Services		0	0	0	0	0	0	
5.) Subawards (Total)		0	0	0	0	0	0	
		Year 1	Year 2	Year 3	Year 4	Year 5		
Subaward A		0	0	0	0	0	0	
Subaward B		0	0	0	0	0	0	
Subaward C		0	0	0	0	0	0	
Subaward D		0	0	0	0	0	0	
6. Other (Total)		13,776	14,154	14,550	14,964	15,378	72,822	
Tuition Fee for MS(*Use Worksheet Below)		0	0	0	0	0	0	
Tuition Fee for PhD(*Use Worksheet Below)		12,672	13,050	13,446	13,860	14,274	67,302	
Health Fee (*Use Worksheet Below)		1,104	1,104	1,104	1,104	1,104	5,520	
Total Other Direct Costs		13,876	14,254	14,650	15,064	15,478	73,322	
Total Direct Costs		69,976	71,992	74,075	76,227	78,431	370,701	
MTDC Base		57,304	58,942	60,629	62,367	64,157	303,399	
F&A @57.0% of MTDC		32,663	33,597	34,559	35,549	36,569	172,937	
Total Budget		\$102,639	\$105,589	\$108,634	\$111,776	\$115,000	\$543,638	

RA Tuition Worksheet						
(Tuition Calculation=A X B X C)	Year 1	Year 2	Year 3	Year 4	Year 5	
(A.) Enter Number of RA's/yr (Masters)	0	0	0	0	0	
(A.) Enter Number of RA's/yr (PhD)	1	1	1	1	1	
(B.) Enter Number of Credits/each RA (Masters)	0	0	0	0	0	
(B.) Enter Number of Credits/each RA (PhD)	18	18	18	18	18	
(C.) Tuition Rates/Cr	AY 16/17	AY 17/18	AY 18/19	AY 19/20	AY 20/21	
Masters	\$845	\$870	\$896	\$923	\$951	Total
PhD	\$704	\$725	\$747	\$770	\$793	
Cost = A x B x C (Masters)	0	0	0	0	0	0
Cost = A x B x C (PhD)	\$12,672	\$13,050	\$13,446	\$13,860	\$14,274	67,302
	AY 16/17	AY 17/18	AY 18/19	AY 19/20	AY 20/21	Total
Health Fee	\$1,104	\$1,104	\$1,104	\$1,104	\$1,104	
	\$1,104	\$1,104	\$1,104	\$1,104	\$1,104	5,520
	Year 1	Year 2	Year 3	Year 4	Year 5	Total
WPI Vol Uncom (OSP USE ONLY)	12,672	13,050	13,446	13,842	14,256	67,266
Actual Per Credit	1,408	1,450	1,494	1,539	1,585	

SUBAWARDS FOR MTDC DO NOT EDIT - FOR OSP USE ONLY						
	0	0	0	0	0	
Subaward A	0	0	0	0	0	
	0	0	0	0	0	
Subaward B	0	0	0	0	0	
	0	0	0	0	0	
Subaward C	0	0	0	0	0	
	0	0	0	0	0	
Subaward D	0	0	0	0	0	

## **SAMPLE - Budget Justification**

### **Worcester Polytechnic Institute**

**PI: Tammy Ducharme**

**A. Senior Personnel** - One month of the PI's summer salary is requested for each year of the proposal. PI will be directly involved in the training of students in the operation of the (process or equipment) and in the analysis of data. PI is responsible for the overall project. Salary rate is based on PI's current appointed Academic Year (AY) salary rate.

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

*i. Graduate Research Assistant* - Stipend for academic year and summer: a full year stipend support is requested for a new PhD level student, who will be conducting research in PI's lab. The graduate student will be the person involved in the preparation of (type of analysis) and will be using these determinations as part of (this project, their thesis research...). Stipend rates are based on WPI's established stipend rates for Academic Year (AY) 16/17.

Salary/Stipend Increases – an 3% salary increase is applied annually after Year 1 for the faculty and the graduate student.

**C. Fringe Benefits** – Fringe benefits are calculated at WPI's federally negotiated rate of 26.0% for faculty and staff.

**D. Equipment** – N/A

**E. Travel** - Funds are requested for travel (to/from X to Y city for a conference...) each year. Per trip travel costs should provide sufficient detail for airfare, "per-diem" (hotel/subsistence), transportation costs, etc.

**F. Participant Support Costs** – N/A

#### **G. Other Direct Costs** -

*i. Materials and Supplies* - Funds are to be used for materials for the (laboratory or project) including: (list supplies).

*ii. Publication Costs* – N/A

*iii. Consultant Services* – N/A

*iv. Subcontractual* – N/A

*v. Tuition* - Funds are requested to cover tuition and fees of the graduate research assistants involved in the project. Tuition costs are based on WPI's established tuition rate and increased by 3% in subsequent years.

*vi. Health Fee* – \$1,104 is requested per year for each student's health fee.

**H. Total Direct Costs** - \$370,701

**I. Indirect Costs** – Indirect costs are calculated at WPI's federally negotiated rate of 57.0% of Modified Total Direct Costs (MTDC), per agreement with ONR. F & A costs exclude equipment >\$5,000, tuition and subawards >\$25,000.



# Cost Share

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- Cost share is any portion of the cost that is not covered by the sponsor
  - Mandatory
    - Required by the sponsor
  - Voluntary committed
    - Not required by the sponsor
    - Any offered cost share in the proposal **must** be committed at time of award
    - Must be tracked and reported
  - Voluntary uncommitted
    - Not required by the sponsor
    - Is not represented in the budget or justification
    - Does not need to be tracked or reported
- Some programs require cost share (ex. DOD, NOAA, DOE)
- Some prohibit cost share (ex. NSF)
- Some indirectly require cost-share by mandating a reduced F&A rate

# Cost Share Approvals

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- Common Types of Cost Share
  - Tuition
    - OSP contact will obtain approval through the VPR
  - Academic Year Salary
    - PI will contact department chair with CC to OSP contact
  - Indirect Costs
    - OSP contact will obtain approval through the VPR
  - Third-Party Cost Share
    - PI will obtain written commitment from third-party

# Biographical Sketch

- National Institutes of Health

BIOGRAPHICAL SKETCH			
Provide the following information for the Senior/key personnel and other significant contributors. Follow this format for each person. <b>DO NOT EXCEED FOUR PAGES.</b>			
NAME		POSITION TITLE	
eRA COMMONS USER NAME (credential, e.g., agency login)			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)			
INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY

Please refer to the application instructions in order to complete sections A, B, C, and D of the Biographical Sketch.

## A. Personal Statement

Briefly describe why your experience and qualifications make you particularly well-suited for your role (e.g., PD/PI, mentor, participating faculty) in the project that is the subject of the application.

- National Science Foundation

Biographical Sketch		
[Type your name here]		
[Type job title here]		
[Type professional address here]		
[Telephone here]		
[E-mail and/or Web page here]		
A. PROFESSIONAL PREPARATION		
<u>College/University</u>	<u>Major</u>	<u>Degree &amp; Year</u>
[Undergraduate institution(s)]	[Major]	[Degree], [Year]
[Graduate institution(s)]	[Major]	[Degree], [Year]
[Post-doctoral institution(s)]	[Area]	[Inclusive dates]
B. ACADEMIC/PROFESSIONAL APPOINTMENTS		
[Most recent appointment]		
[Previous appointment(s)]		
[First appointment]		
C. PRODUCTS		
Products Most Closely Related to Proposal		

# Current and Pending Support

- OSP Originates
  - Based on OSP records

## CURRENT AND PENDING SUPPORT FORM

<i>The following information must be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of this proposal.</i>			
Investigator:		Other agencies to which this proposal has been/will be submitted:	
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future
Project/Proposal Title:	<input type="checkbox"/> *Transfer of Support		
Source of Support:		Total Award Period Covered:	
Total Award Amount:		Location of Project:	
Months of Your Time Committed to the Project:		Cal:	Acad:
Sum:			
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future
Project/Proposal Title:	<input type="checkbox"/> *Transfer of Support		
Source of Support:		Total Award Period Covered:	
Total Award Amount:		Location of Project:	
Months of Your Time Committed to the Project:		Cal:	Acad:
Sum:			

- PI Validates
  - Be sure to notify OSP of any changes that need to be made so records may be updated

\*\*\*\*Formatting may vary by agency

# Facilities and Resources

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- Resources – show that you can do the work!
  - PI laboratory, Co-PI laboratories/offices, grad student/postdoc space
  - Resources of Co-PIs/collaborators, consortia agreements, etc...
  - Institutional equipment and resources
    - Computational
    - Core research equipment that is **relevant** to the proposal
    - Innovation and entrepreneurship programs and other educational/training resources
- Review sponsor requirements
- Collaborate on departmental resource statements

# Data Management Plan

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- Some submissions require the inclusion of a data management plan
- Plans should be approved for each submission, regardless of changes.
- Plans should be sent to [datamgthelp@wpi.edu](mailto:datamgthelp@wpi.edu) prior to submission for review and comment
  - Siamak Najafi [snajafi@wpi.edu](mailto:snajafi@wpi.edu)
  - Ermal Toto [toto@wpi.edu](mailto:toto@wpi.edu)

[Data Management Libguide](#)

# How Can OSP Help?

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- Provides administrative support on policies, procedures and guidelines
- Assists with review and approval of budget and justification
- Reviews proposal for compliance with sponsor instruction and requirements
- Approves proposal by Authorized Organizational Representative (AOR)
- Submits electronic proposals via e-system (Cayuse, Fastlane)
- Any documents to be sent along to sponsor, should be reviewed and approved by OSP

# PI Responsibilities

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- Identify appropriate funding opportunities
- Submit a Notice of Intent to submit proposal as early as possible
- Read proposal solicitation for requirements (and then read it again, and again...)
- Prepare internal forms
- Prepare draft budget and justification
- Prepare full proposal as required by sponsor
- Submit proposal to OSP with adequate time for to review the proposal before we submit it



# Working With OSP

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- OSP
  - Administrative Expert
  - Ensure compliance with agency guidelines and institutional policies and procedures
- PI
  - Technical Expert
- Complete non-technical pieces early
- **Together** we give your application the best chance to be funded

# Moving Forward

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- Contact Your Program Officer
- Get Registered in FastLane, eraCommons, Cayuse, etc.
- Contact Your OSP Representative
  - [OSP Contact by Department](#)
- Visit the [OSP Website](#) for Updated Forms and Templates
- Don't Forget to Submit Your NOI Early!
  - [Notice of Intent](#)

# We are here to help

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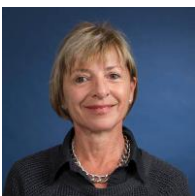


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## Special Thanks to:



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