



# Proposal Planning Process: Grants Manual

Fall 2017 Edition

Prepared by the Grants Development Specialist

Office of Development

REFERENCES: GRANT HANDBOOK MATERIALS FROM ROWAN-CABARRUS COMMUNITY COLLEGE (NC); SINCLAIR COMMUNITY COLLEGE (OH); GRANT PROFESSIONALS ASSOCIATION (GPA) ARTICLES AND BLOGS; MISSOURI STATE UNIVERSITY OFFICE OF RESEARCH ADMINISTRATION POLICIES

## Introduction: Relationship between Springfield and West Plains

"All external funding (grants and contracts alike) should come through the office of research administration (Springfield campus) prior to submission of proposal and contracts and should be signed by Dr. James Baker. We do need copies of proposal, internal approval form, and any documents submitted for this project".

Office of Research Administration  
October 17, 2017

Missouri State-West Plains is part of the Missouri State University system so therefore University rules and procedures must be followed. The role of the grant development specialist at Missouri State-West Plains is to assist administrators, faculty and staff to:

- Identify funding opportunities and
- Guide the proposal through the correct procedures

## What is the office of research administration?

This office coordinates grant efforts for all campuses, seeks funding for special projects and communicates with external stakeholders to develop budgets and participate in grant partnerships.

## Why do I need to contact the office of research administration?

- Following a designated process helps ensure that multiple departments do not ask the same funders for support.
- The office has institutional information and support documents usually required by funders.
- The office reviews grant opportunities that match the institution's mission, strategic plan, etc. The office also considers project viability and sustainability in terms of the institution's financial plan.

## Proposal Preparation Steps and Funding Research:

**To start:** Contact the grant development specialist

Office of development, [\(417\) 255-7731](tel:417-255-7731), to provide grant announcements and forms. These materials will be reviewed with the office of research administration to determine if it is appropriate to pursue.

**Next:** Initiate grant proposal preparation

Summarize the concept of the proposal, review the funder's instructions, prepare a draft, consult colleagues and prepare a draft budget.

**Then:** Complete the internal approval form

Complete the form with the required signatures, budget estimates and return to the development office for transmittal.

- **For 501(c)(3) requests:** the grant development specialist must contact the Missouri State University Foundation
- **For federal and state requests:** coordinate the application process with the grant development specialist
  - Finalize the electronic or hard copy at least five days before the due date.
  - The grant development specialist must submit the proposal to the office of research administration for review.
  - The office of research administration staff secures the approval signatures and submits to the funding organization.
  - The office of research administration will send a confirmation notice to Missouri State-West Plains.

Faculty and staff are encouraged to identify unfunded campus needs, develop new project ideas and look for external resources. The grants development specialist on the West Plains campus is available to assist faculty and staff in all phases of the grant preparation process:

- Seeking funding sources: using online resources and subscription databases
- Preparing the grant competition factsheet: to highlight grant requirements for administrative review
- Initial planning of proposal, budget and logic model: prepare outline and documentation
- Office of research administration review: work with Springfield staff to provide proposal documents and make changes as necessary

Private foundation requests that require a copy of a 501(c)(3) document should be discussed with staff at the Missouri State University Foundation early in the proposal planning process. The Foundation is a not-for-profit corporation that encourages private financial support for Missouri State University programs and services.

Government or public-sector requests should be discussed with the grant development specialist and office of research administration staff to better understand the application package. Packages include the request-for-proposal (RFP), agency guidelines, required forms and other materials.





















During the pre-application (idea or concept stage), faculty and staff should make sure that the funding opportunity selected is a good match for the institution's long-range plan. One tool often used at this stage is a "grants decision diagram" for new programs. An example that can be useful to evaluate a grant proposal is described below.

## Grants Decision Process for New Programs

### Apply for this grant?

This is a green light, red light, caution light process to evaluate if a grant application should be made. Ideally, all signals will be green before proceeding with grant application.

What is the grant concept; what will this grant support? \_\_\_\_\_

1. Is the concept compatible with mission statement?  
Yes? \_\_\_\_\_ Go to next question   
No? \_\_\_\_\_ 
2. Is the concept a part of current strategy?  
Yes? \_\_\_\_\_ Go to next question  Which tier? \_\_\_\_\_  
No? \_\_\_\_\_ 
3. We have data that clearly demonstrates need for program for grant application.  
Yes? \_\_\_\_\_ Go to next question   
Some reservations? \_\_\_\_\_   
No? \_\_\_\_\_ 
4. Concept has been approved by faculty and staff and approved.  
Yes? \_\_\_\_\_ Go to next question   
Some reservations? \_\_\_\_\_   
No? \_\_\_\_\_ 
5. Concept has been approved by faculty and staff and approved.  
Yes? \_\_\_\_\_ Go to next question   
Some reservations? \_\_\_\_\_   
No? \_\_\_\_\_ 
6. There are good prospects for funding this program at the end of this grant.  
Yes? \_\_\_\_\_ Go to next question   
Some reservations? \_\_\_\_\_   
No? \_\_\_\_\_ 
7. Concept approved by the chancellor.  
Yes? \_\_\_\_\_ Go to next question   
No? \_\_\_\_\_ 
8. Concept received office of research administration approval.  
Yes? \_\_\_\_\_ Go to next question   
No? \_\_\_\_\_ 

## "Chasing the Money Doesn't Work"

Grant professionals know from experience that "chasing money" isn't a successful tactic since, to be effective, the first step is preparation of a strong project design. It is also important to understand and communicate ways a request for funding will assist the funders to achieve their goals. In addition, always consider the size of the potential grant award compared to efforts required to plan and implement the project.

### Budget Preparation:

Most grant application packages include a form(s) the funder or agency expects to be used for the money request. Budgets should be created using "real" or researched costs—rounded numbers can raise suspicions. The grant development specialist has templates to use as models for new proposals.

Direct cost categories include: personnel (salary and fringe); supplies and materials; travel; equipment; evaluation; and other. The proposal budget should comply with institutional policies regarding job titles and procurement rules.

Indirect costs (known as facilities and administration costs) should be requested in all proposals if allowed by the funder. For example, federal higher education grants allow only 8 percent of the total to be allocated to indirect costs. The office of research administration maintains a chart for calculating cost rate percentages by type of project (on-campus, off-campus, sponsor-limited and other reduction).

A separate budget justification or explanation for each cost is usually required. The justification should show how costs are calculated as well as why an item is needed to support the project. For example, travel costs must comply with institutional policies. Costs for supplies or equipment (unit cost over \$5,000) will vary depending on the subject field but should be within standard parameters.

### Funding Sources and Resources

- ❖ **Federal Grant Sources:** Grants.gov is the electronic grant submission portal for over 900 programs of federal grant-making agencies. In addition, individual agency web sites often provide more information about specific grant opportunities and forecasts. The Catalogue of Federal Domestic Assistance is a government-wide comprehensive resource on programs, project and grants.
- ❖ **State of Missouri Grant Sources:** Various agencies or organizations concerned about arts programs; higher education and secondary education programs and natural resources have websites describing grant opportunities and guidelines.

- ❖ **Private Foundations:** The Foundation Center's Philanthropy News Digest and its online directory lists thousands of family or independent foundations nationally. In addition, the grants development specialist has access to subscription databases through the office of research administration. The GuideStar site provides information about registered nonprofit organizations using the IRS 990 form.
- ❖ **Businesses:** Local and national companies also provide funding opportunities through corporate foundations, but the Missouri State University Foundation should be contacted first by the grant development specialist to ensure that the company has not already been solicited for funds according to their guidelines.

Proposal writers can also review important demographic information from the Census Bureau and labor market data from the Missouri Department of Economic Development. The National Center for Education Statistics is the federal agency for collecting and analyzing data related to public education.

### Attachments (displayed after the Glossary):

- Office of research administration's "Frequently Requested Information"
- Office of research administration's "Internal Approval Form"
- Development office's "Project Description Worksheet"
- Development office's "Grant Competition Factsheet"
- Development office's "Grant Report and Documentation Form"
- Foundation Proposal Outline (generic)
- Basic Logic Model

## Writing the Proposal: Helpful Hints

- ✓ **Start early:** Average due dates are four to five weeks after announcement.
- ✓ **Follow instructions/guidelines:** The number one reason grants are not funded is the failure to comply with instructions.
- ✓ **Organize for clarity:** Follow the format and don't make reviewers hunt for information.
- ✓ **Make it easy to read:** Check grammar, use white space and use other tools to break up the narrative.
- ✓ **Communicate clearly:** Use plain English and define terms.
- ✓ **Obtain feedback from others:** Ask people not familiar with the topic to read your proposal.
- ✓ **Pay attention to the budget:** Match items on budget and narrative and make sure allowable cost numbers add up.
- ✓ **Meet the deadline:** if a proposal is received late, then it won't be considered
- ✓ **Include:** table of contents, abstract and identify attachments
- ✓ **Different types of proposals:** letter proposal or letter of inquiry; page-limited proposal or full proposal—have different guidelines regarding formats that should be followed.



## Grant Acceptance and Grant Management: Multiple Responsibilities

The office of research administration (and sometimes a project director) will receive a "notification of funding" and sends copies to financial services-Springfield and the grant development specialist. Financial services will establish a grant account for the project so that both requested funds and matching funds can be tracked. The office of research administration will be involved in any revisions to the budget and/or narrative to comply with any funder requirements.

The designated project director (or principal investigator) will have to work closely with the office of research administration to prepare and submit both fiscal and program reports. Each project director should create a "master file" for each grant being managed that contains the following:

- Original proposal and budget materials
- Correspondence
- Personnel paperwork—time sheets and contracts
- Copies of procurement requisitions and invoices
- Report forms and backup materials
- Consultant contracts and invoices
- Audit and close-out documents
- Documentation about in-kind match
- Client files—recruitment, selection and participation

## Glossary of Terms

Following are terms that are often used in the world of grants and awards:

**Award Letter:** The written notification sent by the funding agency notifying the University that a project has been funded, the length of the funding period and the amount of the funding.

**Boilerplate:** Those parts of a contract or grant proposal which are standard and do not relate to the specific project for which the application is made. Includes such things as a "capabilities statement" (facilities available, number of staff, past experience), demographic data, general statements on the organization, negotiated indirect cost rate, etc.

**Budget:** The financial plan for operation of the project that includes an estimate of the income and expenditures associated with operating the project for an identified period of time, often a year.

**Categorical Funds:** Federal or state funds specified for or restricted to a specialized area.

**Competitive Grant:** Funds that are received through the submission of a proposal in response to an RFP/RFA. Competitive grants include those that are received directly from the primary funding source, as well as those that are received from a secondary source from flow through dollars (i.e. federal dollars that are allocated to the state, and in turn, distributed by the state to grant recipients through a competitive grant process).

**Conflict of Interest:** Using a vendor that is a member of your family or a personal friend. If you have a question about whether there might be one, please contact the grants development specialist, who will assist in talking through the issue in a confidential manner.

**Continuation Grant:** Money awarded for the continuation of a previously-funded project. Continued funding is usually contingent upon successful performance in the previous year.

**Consultant:** An individual who is external to the organization who has expertise in a given area and who is hired by the organization to provide assistance in solving a problem that is in their area of expertise.

**Contract for Services:** Funds that are received through a contractual agreement (legally binding) to provide specified services, such as training courses or an educational program, to be completed by a certain date. This may or may not be competitive and are agency-initiated. If competitive, typically a simple proposal is prepared that includes a cost justification for the services provided. Can also include the use of a Memorandum of Understanding (MOU.)

**Cost Sharing:** Cash or in-kind support contributed by the grantee to carry out the project. Some programs require a cost share, and the amount of the share varies by program. (It is the same as matching funds.)

**Cover Sheet:** The top sheet of a grant proposal that is usually a standardized form and includes the summary information about the proposal. This form usually includes signature lines that must be completed prior to submitting the proposal.

**Deadlines:** Due dates for submission of proposals and grant reporting requirements. When submitting proposals, it is important to note whether the deadline is the due date for receipt at the agency or is for the postmark of the proposal. The director of grants development sets internal deadlines one week prior to deadline of funding source to insure that all components of the grant are complete.

**Direct Costs:** Expenses that are associated with the operation of a project and that are itemized by categories described by specific uses of allowable costs (e.g. salaries, fringe benefits, travel and supplies).

**Discretionary Funds or Programs:** Programs or parts of programs whose funds are awarded from the national office based on priorities established in that office.

**Facilities & Administrative (F&A) Costs:** Those costs which are not readily identifiable with a particular project or activity but which are necessary to the general operation of the organization and the conduct of that activity it performs. F&A costs include: cost of operating and maintaining buildings and equipment, depreciation, information technology, administrative salaries, general telephone expenses, general travel and supplies expenses. The F&A cost rate is a device for determining that proportion of an organization's general expenses each of its projects should bear. The rate is a ratio between the total F&A expenses of an organization and some direct cost base, usually either direct salaries and wages or total direct costs exclusive of capital expenditures. Each institution negotiates its rate with one agency of the federal government. Costs are then reimbursed to an organization based on its established rate as part of the costs of individual grant or contract with any federal agency. Some grant funders have a set rate of F&A, and do not allow use of a higher ratio. This should be stated in the RFP or can be identified by the program officer. (Formerly known as Indirect Costs.)

**Federal ID # or Federal Entity #:** The identifying number assigned to an organization by the Federal government. Both the Missouri State-West Plains campus and the Missouri State University Foundation have Federal ID #'s (also known as DUNS #.)

**Federal Register:** The daily publication for rules, proposed rules and notices of federal agencies and organizations, as well as executive orders and other presidential documents. See <https://federalregister.gov>

**Fiscal Year (FY):** Refers to the 12-month period for financial operations of an organization or government. The Missouri State-West Plains FY is July 1-June 30, while that of the federal government runs from October 1- September 30. Funding periods for projects funded by an organization or government generally corresponds to that entity's FY.

**Formal or Full Proposal:** A more detailed version of the preliminary proposal that includes a final budget and review of the relevant literature.

**Formula or Block Grants:** Grants allocated by the federal government to state agencies based on a mathematical formula rather than through a competition. These funds may be re-granted within the state on a competitive basis or go to a specific funder recognized by the federal funding source.

**Full-Time Equivalent (FTE):** The amount of time spent in an activity or position that is calculated as a percentage of a full-time position on an annual basis (e.g. a person who is hired for a 12-month period on a half-time basis is considered a .5 FTE; a 9-month employee working full time is .75 FTE).

**Funding Criteria:** A statement of goals or objectives which should be addressed in a proposal and which will be used to measure the quality of the proposal. May be published in the *Federal Register* in place of guidelines.

**Grant:** An award of funds for research, training, planning, etc., made on a competitive basis to an organization or individual for a fixed period of time. It differs from a contract in that the grantee is not required to produce specified results.

**Grantee:** The organization that is the recipient and administrator of a grant (i.e. Missouri State University or the Missouri State University Foundation).

**Grantor:** The agency that awards the funds to carry out the project.

**Guidelines:** Format for a written application and an outline of program goals that should be addressed in the application proposal. Guidelines are published by the agency and are available from the program staff or on the funding agency's website.

**Indirect Costs:** Costs incurred as part of the expense of operations that are not directly a part of the grant operations. Such costs include maintaining the physical plant, library resources, and general administration. These costs are generally calculated as a percentage of the total direct costs of the project. (Now known as "F&A Costs.")

**In-kind Support:** Non-monetary support of a program. It can be equipment, space, utilities, maintenance, custodial, etc.

**Matching Funds:** Cash or in-kind support contributed by the grantee to carry out the project. Some programs require a match, and the amount of the match varies by program. (It is the same as cost sharing.)

**Merit:** Although a grant process may be competitive, several federal organizations look at each proposal based on its worth. National Science Foundation's Advanced Technology Education competition is merit-based.

**New Starts:** Projects that are funded for the first time.

**Non-Competitive Grant:** Federal or state dollars that are allocated on the basis of a formula. Receipt of the funds may or may not require submission of a proposal. These grants are often referred to as formula-driven grant funds.

**Principal Investigator (PI):** This is the name federal and other funding sources use for the person who is tasked with writing the proposal & usually overseeing a project or program. (It is the same as project director or project manager.)

**Pass-Through Funds:** Federal funds that are received by a state or local agency for a specific purpose that then conducts its own grant process to award the funds to other individuals, organizations or agencies.

**Pre-Application or Pre-Proposal:** A preliminary screening process used by organizations to identify potential fundable projects. Although they are shorter in length than a full proposal, they generally follow a prescribed format identified by the funding agency.

**Preliminary Proposal:** A short statement of a project idea that includes objectives, methodology, justification, estimated budget, time frame, personnel needs and vita (bio) for the principal investigator. Sometimes referred to as "concept paper," "prospectus" or "white paper."

**Project Program Officer:** The individual at the federal or state agency who is responsible for overall administration of the program and for monitoring the project, providing technical assistance and insuring that the project is carried out within the framework of the program. Large foundations also have program officers in charge of specific projects.

**Regulations:** Requirements for the operation of a program, published in the *Federal Register*.

- **Proposed regulations:** Comments from interested parties are requested before regulations are finalized.
- **Final regulations:** Review of the comments received are included with the final, legal requirements for the program's operation.

**Request for Proposal or Application (RFP/RFA):** An announcement by an agency that proposals or applications will be accepted to accomplish specific goals. As a general rule the amount of time from the release of the RFP/RFA until the due date for submitting requests for funding is six weeks, but the amount of time can vary (usually up to eight weeks.)

**Solicited Proposal:** A proposal submitted to an agency in response to an RFP or a program announcement that outlines specific guidelines or criteria.

**Sole Source Procurement:** A contract awarded to an organization without an open competition. Occurs when an organization retains an exclusive or predominant capability, by reason of specialized facilities and equipment, to perform the work required.

**Unsolicited Proposals:** Agencies may allow institutions to submit proposals for projects that are not part of the agency's identified programs or funding priorities. Foundations are most likely to fit this category; however; if a proposal does not fit funding priorities, it is unlikely to be funded.

## Frequently Requested Information

Website: <https://ora.missouristate.edu/85150.htm>

Below you will find information that is frequently requested on proposal applications to outside funding agencies. If you are not able to find the information you need to complete your proposal, please contact your [research administration specialist](#) to obtain the required information.

<b>Tax ID Number or Employee Identification Number (EIN)</b>	44-6000308
<b>DUNS Number</b>	07-6255876
<b>Congressional District (Springfield)</b>	MO-007
<b>Congressional District (West Plains)</b>	MO-008
<b>Date Established</b>	March 17, 1905
<b>Organizational Designation</b>	State Funded Institution of Higher Education
<b>Authorized Organizational Representative (AOR)</b>	Vice-President for Research and Economic Development James P. Baker, PhD
<b>Official Contact Information for all externally funded projects</b>	Missouri State University Office of Research Administration 901 S. National Avenue, Carrington Hall Room 405 Springfield, MO 65897-0027 Phone: <a href="tel:4178365972">(417) 836-5972</a> Fax: (417) 836-8818 Email: <a href="mailto:ResearchAdministration@MissouriState.edu">ResearchAdministration@MissouriState.edu</a>
<b>Missouri State University Tax Exempt Status</b>	Missouri State University is considered tax exempt under section 115(1) of the Internal Revenue Service Code
<b>Missouri State University Foundation Tax Exempt Status</b>	The Foundation is considered tax exempt under section 501(c)(3) of the Internal Revenue Service Code
<b>CAGE Code</b>	1B1E2
<b>OPE ID Number (Springfield)</b>	00250300
<b>OPE ID Number (West Plains)</b>	03106000
<b>Federal Wide Assurance Number (FWA) - IRB</b>	FWA00004733 - Expires 2019/03/07
<b>IRB Registration Number</b>	00003065
<b>USDA Animal Welfare Act Registration Number</b>	43-R-0052
<b>OLAW #</b>	D16-00033 (A3057-01)
<b>NIH Institutional Profile Number</b>	7664601
<b>Indirect/F&amp;A Rates</b>	42.5% for organized research on campus 50% for instruction on campus 34% for other sponsored activities on campus 26% for all programs off campus except other sponsored activities 24.8% for other sponsored activities off campus
<b>Fringe Benefits</b>	*Full time fringe rates still apply to 9-month employees during the summer. Full-time employees - 36.16% Part-time employees - 7.65% Graduate assistants - 0% Student workers - 0% Part-time w/MOSERS - 19.83% Part-time w/CURP - 19%

## Internal Approval Form

Website: <https://ora.missouristate.edu/ora-forms.htm>

## Project Description Worksheet

Project: \_\_\_\_\_ Lead Staff Person: \_\_\_\_\_

Project Description: \_\_\_\_\_

Need: \_\_\_\_\_

Relationship to past projects: \_\_\_\_\_

Budget Summary (list large line-items): \_\_\_\_\_

Total budget for this project: \$ \_\_\_\_\_

Specific line-items include: \_\_\_\_\_

Key words to use for research: \_\_\_\_\_

1. What is the geographic focus of this project (if any)? \_\_\_\_\_
2. What areas of interest are we covering with this project? \_\_\_\_\_
3. What type of support do we need for this project? \_\_\_\_\_

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## Grant Competition Factsheet

Name/Title: \_\_\_\_\_

Funding Source Introduction: \_\_\_\_\_

Grant Program/Opportunity Overview: \_\_\_\_\_

Anticipated Funding Available: \_\_\_\_\_

Unallowable Expenses/Activities: \_\_\_\_\_

Proposal Review Criteria: \_\_\_\_\_

Note from program officer: \_\_\_\_\_

## Grant Report and Documentation Form

Project director/PI: \_\_\_\_\_

Department/program: \_\_\_\_\_

Project title: \_\_\_\_\_

Funding source and amount: \_\_\_\_\_

Please attach any documentation of awards or denials for the development office files for the fiscal year just ended.

Date received: \_\_\_\_\_

## Foundation Proposal Outline

Cover Letter

Project Narrative

History of Organization

Problem Statement

Program Activities & Delivery Strategy

Community Collaborations

Program Outcomes

Budget (project)

Attachments

Internal Revenue Service Letter

Audited Financial Statement

Board of Directors List



## Two Common Logic Model Variations

### The University of Wisconsin-Extension (UWEX) Logic Model:

Inputs → Outputs (Activities/Participation) → Short-term Outcomes → Medium-term Outcomes → Long-term Outcomes

The UWEX model divides "outputs" into activities and participation. See the online logic model course for explanation: <http://www.uwex.edu/ces/lmcourse>.

### United Way and Other Agencies Model

Another very common model separates activities and output and may not include "participation." This is the model typically used by United Way, Center for Disease Control and Prevention and many other agencies. It looks like the following:

Inputs → Activities → Outputs → Short-term Outcomes → Medium-term Outcomes → Long-term Outcomes

In this model, outputs are considered a "product" of the activity. For example, an activity might be "deliver services" and the output would be "# of services actually delivered." See the W.K. Kellogg Foundation Logic Model Development Guide, page 8, for explanation. In the UWEX logic model, such "products" are included as indicators of accomplishments and are measured in the evaluation plan.

Developing a Logic Model: Teaching and Training Guide 2008/02/29 Handout 29  
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# Logic Model Development

## Program Implementation Template – Exercise 1 & 2

Resources	Activities	Outputs	Short- & Long-term Outcomes	Impact
<i>In order to accomplish our set of activities we will need the following:</i>	<i>In order to address our problem or asset we will accomplish the following activities:</i>	<i>We expect that once accomplished these activities will produce the following evidence or service delivery:</i>	<i>We expect that if accomplished these activities will lead to the following changes in 1-3 then 4-6 years:</i>	<i>We expect that if accomplished these activities will lead to the changes in 7-10 years:</i>