# The Mid-Career Faculty Experience of... Grant Writing at UVM

Presented by: Jeralyn Haraldsen Director, Research Development

Julie Macy Assistant Director, Pre-Award Sponsored Project Administration

Ingrid Barcelo Grant Proposal Developer Research Development



The University of Vermont

# **Housekeeping & Ground Rules**

#### •All forms of participation are okay

- Video on or off
- Speak, type in chat box, gesture, emoticons/reactions, mix/match
- Walk, move around, fidget, eat/snack, take breaks

#### •We affirm all aspects of identity

 neurotypes, gender, sexual orientations, race, disability, ethnicity, and all other forms of diversity

# **Purpose of the Presentation**

Participants will:

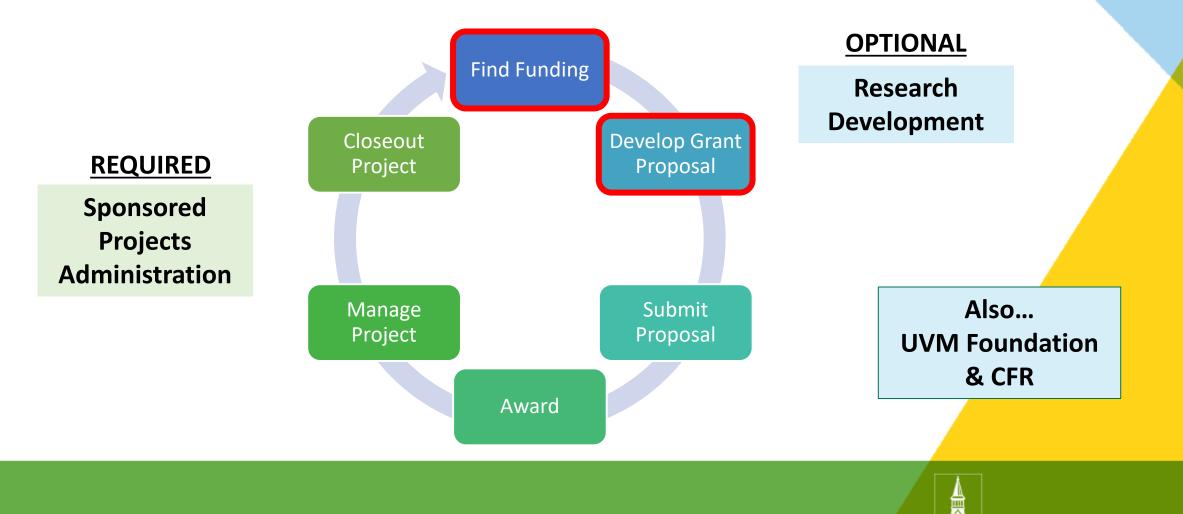
- Learn about UVM services and tools to support you in finding funding, writing, and submitting grant proposals
- Refresh re: the concept of a "sponsored project"
- Roles and responsibilities of key stakeholders involved in research administration at UVM
- Strategies and best practices for developing grant proposals

# **Getting to Know You...**

What has **your experience** been so far with grant writing or developing proposals?

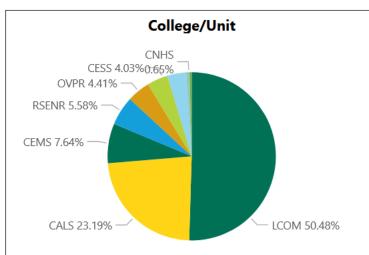
What are the most **intimidating or stressful** aspects of writing grant proposals for you?

# **The Sponsored Project Lifecycle**

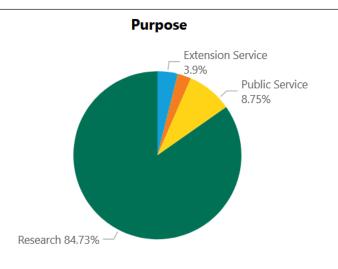


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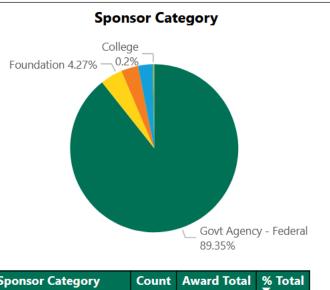
# **UVM FY22 Sponsored Research Snapshot**



Unit	Count	Award Total	% Total ▼
LCOM	400	108,086,556	50.5%
CALS	140	49,644,086	23.2%
CEMS	74	16,350,145	7.6%
RSENR	66	11,952,361	5.6%
OVPR	8	9,434,215	4.4%
CESS	22	8,621,290	4.0%
CAS	62	7,768,115	3.6%
CNHS	15	1,396,222	0.7%
OTHER	10	860,867	0.4%
Total	798	214,118,85	100.0%



Purpose	Count	Award Total	% Total ▼
Research	683	181,425,291	84.7%
Public Service	70	18,731,959	8.7%
Extension Service	36	8,349,806	3.9%
Instruction	9	5,611,801	2.6%
Total	798	214,118,85	100.0%



Sponsor Category	Count	Award Total	% Total ▼
Govt Agency - Federal	589	191,322,121	89.4%
Foundation	126	9,144,230	4.3%
State Government	40	7,024,304	3.3%
Industry	37	6,023,746	2.8%
College	4	429,456	0.2%
Local Government	2	175,000	0.1%
Total	798	214,118,85	100.0%

# **Research Development Support**

## **Research Development: Our Team**



Jeralyn Haraldsen, PhD Director



Gagan Bajaj, PhD LCOM: Proposal Developer



Ingrid Barcelo, PhD Grant Proposal Developer



Erin McConnell, MS CEMS/CAS: Proposal Developer



Heidi Malaby, PhD Grant Proposal Developer



Jeannine Valcour, MA, MBA Gund Institute: Proposal Developer



Cailey Biles, MLIS Grant Resources Coordinator



Jessica Waite, PhD RSENR: Grant Proposal Developer

Coming soon: CESS and CALS Grant Proposal Developers

# **Research Development**

- Communicate funding opportunities
- Manage Limited Competition process
- Provide Grant Proposal Development Support
  - Develop Grant Writing Resources, Programs, Tools

# **Research Development**

- Grant proposal review and grantsmanship critique
  - Annotated feedback and suggestions
  - Review for responsiveness to RFA, and/or reviewer critiques
- Grant proposal writing assistance and editing
  - Substantive editing of draft text
  - Editing to improve clarity and flow, formatting and presentation
  - Assist with drafting non-technical proposal components
- Project Management for proposal preparation Limited service

## **RD Project Management for Proposals**

- For first-time applicants, and those applying to a new agency, or pursuing large, complex proposals:
  - Tailored checklists
  - Tailored timelines
  - Custom outlines for the main proposal document
  - Templates for supporting documents

Date	Deliverable(s)
March 19 – April 1	Write Specific Aims
April 2	Specific Aims (1 <sup>st</sup> Draft) Completed
April 3 - 29	Write Research Strategy
By April 20	Begin budget development with business manager support
April 30	Research Strategy (1 <sup>st</sup> Draft) Completed
May 3 - 19	Iterative revisions to Research Strategy (as needed)
By May 7	Enter grant information into UVM Click
May 10 - 24	Write/update Supporting Documents
By May 11	Complete first draft of <b>full budget</b> (in UVM Click)
May 19	Revise Budget if needed, write Budget Justification
May 20	Full, "near final" Project proposal completed
May 21 - 26	PI, grant developer, colleagues review of text
May 26	All final, signed Letters of Support due (if applicable)
May 26	All final biosketches and Other Support due
May 26 – June 1	Finalization of all documents
Wed, June 2	Upload all final documents into UVMClick and ROUTE proposal
On or before Fri, June 4	GOAL: proposal submission
Mon, June 7	NIH Proposal submission deadline

### **Strategic Resources – Research Development!**

	APPLY SEARCH ~ MYUVM
The University of Vermont	
OFFICE OF THE VICE PRESIDENT FOR RESEARCH (OVP	R)
Research Development	
Research Development offers a suite of services to support faculty efforts to obtain extramural funding for their research, scholarship, and creative activities.	Search for funding using Pivot-
Communication of Funding Opportunities 🛩	RP. Try a quick search below or log in
Limited Competition Management 🐱	-
Research Proposal Development and Project Management 🛩	- Pivot-RP.
Grant Writing Tools, Resources, and Workshops 🖌	Search
THE UNIVERSITY OF VERMONT	
Research Development - Request for Support	

https://www.uvm.edu/ovpr/research-development

# **Finding Funding**

- Tools for finding funding opportunities
- Limited Competitions
- Concept of solicited vs unsolicited funding opportunities

# **Tools for Identifying Funding Opportunities**

- UVM Internal funding opportunities (OVPR and college websites)
- Funding Databases
  - **PIVOT** (UVM subscription SPA website, Res Dev website)
- Funding agency announcements, e-alerts, social media
  - Grants.gov Funding opps for 26 federal agencies
  - Individual federal agency websites (e.g., NIH Guide for Grants and Contracts, National Science Foundation Update)
  - Philanthropy News Digest (Candid.)

# **Pivot Database**

- Searchable funding database and expertise
- Updated daily
- Sources:
  - Federal and regional governments
  - Foundations
  - Professional societies, associations
  - Corporations
- Can create customized, saved searches, e-alerts
- Claim and keep your **profile** updated!
- PIVOT training available through Research Development

https://www.uvm.edu/ovpr/research-development

https://www.uvm.edu/spa/pivot-funding-collaboration-tool-searchable-databases

## pivot<sup>\*</sup>

## **UVM Res Dev Funding Opportunities Newsletter**

- Weekly Funding Opportunities Newsletter
  - Highlights new opps, diverse disciplines (NOT comprehensive)
  - Announcement of **UVM** *Limited Competitions*
  - Links to curated searches by broad discipline
  - Links to federal agency funding websites
  - Self-subscription Click on "Communication of Funding Opportunities"

https://www.uvm.edu/ovpr/research-development

# **Limited Competitions**

**Limited Submission:** Funders sometimes **restrict the number** of applications an institution can submit to a particular program.

**UVM Internal Competition: Internal process** to ensure we do not exceed a stated limit, jeopardizing multiple applications.

- Announced in weekly funding opps newsletter
- Brief LOI
- Convert to pre-proposal and internal review, if needed

https://www.uvm.edu/spa/active-limited-competitions https://www.uvm.edu/ovpr/research-development

# There are Two "Flavors" of Federal Funding Opps

#### **Solicited Opportunities:**

- RFAs or RFPs requesting projects in response to a **specific** topic of interest
- May have only **one** deadline (or a few)
- Can have short "drop" between announcement and submission deadline

#### **<u>Unsolicited</u>** (investigator-initiated) Opportunities:

- Recurring opportunities with relatively predictable submission deadlines
- Broad areas of interest
  - "Core" programs
  - Broad Agency Announcements (BAAs)
  - "Parent" Announcements



# Foundation Opps come in MANY "Flavors"

**Unsolicited** Opportunities (most common and most challenging):

- Typically only fund pre-identified entities
- Will not accept proposals unless invited

#### **Solicited Opportunities:**

- RFAs or RFPs requesting proposals for research or projects
- Often require a Letter of Intent first
- Deadlines may be annual, rolling or anything in between
- May or may not be recurring



## Takeaway: You May Not Need to Find a "Specific" RFA

Many funding agencies have a mechanism for accepting **unsolicited** (**investigator**-**initiated**) grant applications

- "Core" programs
- Broad Agency Announcements (BAAs)
- "Parent" Announcements

You need to understand that process at the funding agency of interest

- Full proposal?
- Pre-proposal or white paper?

# Develop a Process for Identifying Funding Opps

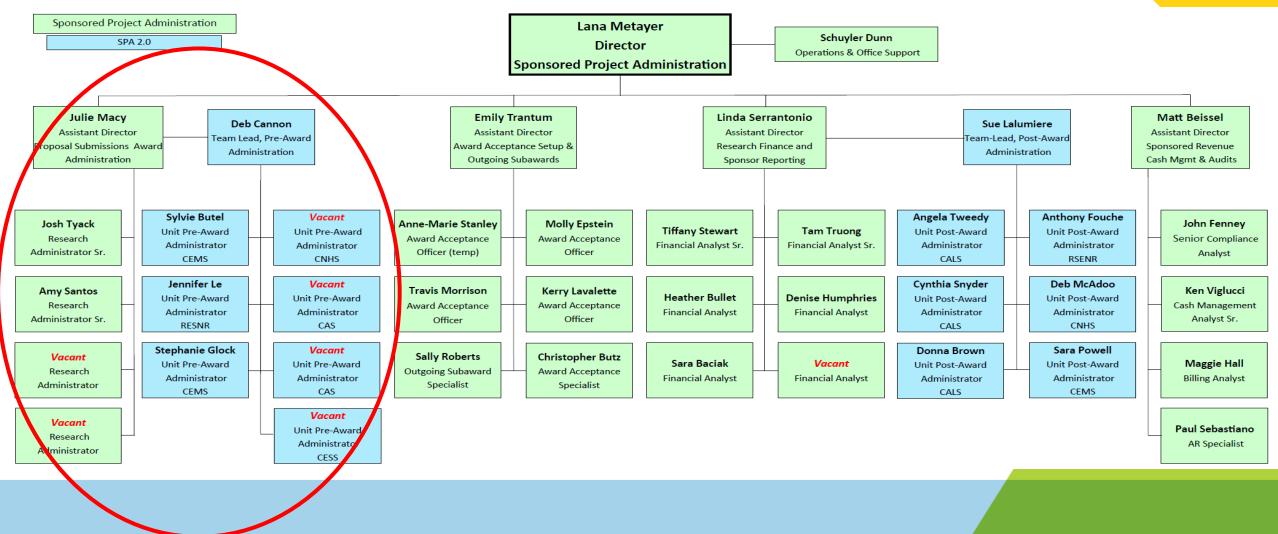
Many funders have recurring opportunities with relatively predictable due dates

Process should:

- provide early/timely notification
- cover your target funding agencies
- cover a range of other potential funders
- meet your needs (i.e., doesn't overwhelm)

# Sponsored Project Administration (SPA) & SPA 2.0 Support

### Sponsored Project Administration (SPA) Offers Both Pre-Award AND Post-Award Support



### What Is A Sponsored Project?

- Externally-funded activity in which a formal written agreement, i.e., a grant, contract, or cooperative agreement, is entered into by recipient (UVM) and Sponsor (e.g. federal, state, other universities, industry)
- Supports research, public service, or instructional efforts

### **Characteristics of Sponsored Projects**

- Statement of work
- Detailed financial accountability
  - Project plan with a line-item budget, including budgetary restrictions at the line item level
  - Specified period of performance
  - Frequent use of cost reimbursable accounting, with the requirement to return any unspent funds at the end of the period of performance
  - Detailed financial reporting
  - Accountability under the terms of the Uniform Guidance
  - Effort reporting requirement
- Regulatory compliance requirements, potentially including:
  - > Export controls, financial conflict of interest, human and animal subjects
- Restrictive provisions related to intellectual property rights or publications

### Fundamentals

• Whose grant is this?

>Awards are made to the institution

• Who gets to call the shots?

A Principal Investigator (PI) is the lead researcher for the grant project
 PIs and Central and Department administrators form a partnership

- $\checkmark$  PIs direct the science
- ✓ Administrators manage the business processes and compliance functions
- Who answers to whom?

Science without administration would not receive grant funding
 Administrators without science would not receive grant funding

## **Proposal Development and Submission**

- Collaboration between:
  - Principal Investigator, Business Unit Administrator, and SPA Research Administrator (RA)
  - SPA/RA Contact: <a href="https://www.uvm.edu/spa/departmental-assignments">https://www.uvm.edu/spa/departmental-assignments</a>
- Determining Principal Investigator (PI) eligibility:
  - Faculty or professionally qualified staff
  - Emeriti faculty, with Department & College approval
  - <u>https://www.uvm.edu/spa/principal-investigator-eligibility</u>

## **Proposal Development and Submission Continued**

#### • PI responsibilities

- ➤Writing the proposal, scope of work
- Budget development and justification
- ➢ Responsible for the successful routing and approval of the proposal
- Ultimately responsible for proposal submission
- Coordinating with sub awardees
- ➢Get the approval of Dean/Chair on:
  - ✓ Levels of effort
  - $\checkmark$  Staff on the project
  - ✓ Cost share
  - ✓ Space
  - ✓ Multi PI plans
  - ✓ IBB allocation

#### Individual Roles and Common Goals of Administrators

- Unit (College/SPA 2.0) Administrators: serve the faculty on a more individual and personal level and act as a liaison between the faculty and the central team
- Central Administrators (SPA): facilitate the submission of proposals and financial reports; review and negotiation of sponsored research agreements; signatory officials for sponsored projects
- **Common Goal**: to provide a full range of assistance to faculty in obtaining and administering funding to support creative and scholarly activities

### SPA 2.0 Staff are your "First Stop"

- Unit (College/SPA 2.0) Administrators: serve the faculty on a more individual and personal level and act as a liaison between the faculty and the central team
- Participating units (more to come soon...)
  - ✓ CAS (2 to be hired)
  - ✓ CESS (to be hired)
  - ✓ CNHS (to be hired)
  - ✓ CALS (post-award)
  - ✓ RSENR
  - ✓ CEMS

### **Pre-Award Services, Proposals, Award Administration**

#### Unit/SPA 2.0 or **YOU as the PI**

- Proposal Development Assistance
- Budget Development Assistance
- Coordination with SPA Central
- Prior Approval Request Initiation
- Advance Account Requests
- Subaward Documentation Coordination

#### Central

- Proposal Review
- System-to-System Proposal Submission
- Prior Approval Requests Approval and Submission
- No Cost Extensions Approval Authority
- Signature Authority

## **Systems for Managing Sponsored Projects Continued**

#### PeopleSoft

- System of record for financial & human resources data
- Source of internal control
  - Award limits
  - Approved budget categories
  - Dates of performance
- Used for
  - Accounting & tracking expenses
  - Reporting of these expenses using various tools
  - Approval of subaward invoices

## **Systems for Managing Sponsored Projects**

Proje	ect Summa	ary Payroll Information	Transaction Detail	Financial Documen	ts Personnel Commitments			
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- WI HC								
	College			-	sor University of Pennsylvania			
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Notes

1. Data is refreshed nightly.

2. Source of the expenditure data is the General Ledger.

3. Keep in mind current unspent balances do not include expenses that are in progress. For example, PurCard purchases take 30-45 days before they are posted as an expenditure. Travel reimbursements are posted as an expenditure when paid.

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Notify

### Systems for Managing Sponsored Projects Continued



- UVM's electronic research administration and compliance system where Principal Investigators and staff manage the lifecycle of:
  - IRB Protocols
  - IACUC Protocols
  - IBC Protocols
  - Conflict of Interest Disclosures
  - Proposal Submission
  - Award Management
  - > Agreements

# **Systems for Managing Sponsored Projects**

### UVMClick

- Proposal Development is used by Principal Investigators (PIs) to:
  - ≻Initiate proposal in UVMClick
  - ➢ Prepare budgets
  - Upload proposal documents
  - ➢ Route proposals for internal approvals
  - System-to-system proposal submissions
- Proposal Tracking is used by the PI & business unit administrators to:
  - ➤Track & report current & pending support data
  - Storage of finalized documents relating to proposals, awards and subawards

## What is an "On Time" Submission?

**On Time Proposals - Two (2) Business Days Before Sponsor Deadline** A submission-ready proposal should be received in SPA no later than two (2) **business days** before the sponsor's published deadline. This gives department, college and SPA time to provide a review, fix issues and ensure a successful submission.

Late Proposals

Proposals are considered late if they arrive in SPA with less than two business days before the sponsor's published deadline.

https://www.uvm.edu/spa/proposal-submission-deadline

### **Routing (aka approval) Process for Proposals**

- Four Steps to the approval process:
  - PI Certification

Signing the proposal certifying to the truth, completeness and accuracy, agreeing to accept sponsor terms and conditions and University policies and procedures

- Step 1 Chair/Home Department
- Step 2 Dean/Home Department

Quality, Consistency with unit mission, Effort, Cost share commitments, Space, IBB allocations

- All other Departments with Personnel are notified but not part of the approval process.
- > SPA

https://www.uvm.edu/spa/proposal-submission-deadline

### **Proposal Development Best Practices**

- Contact SPA/RA early and often. Communication is key!
  - ➤Intent to apply
  - Sponsor guidelines
  - Funding restrictions

Answer question on draft budget & proposal requirements and review and submit final proposal

- Budget development: <u>https://www.uvm.edu/spa/develop-budget</u>
- Subawards: <u>https://www.uvm.edu/spa/outgoing-subawards</u>
- Interpretation of university federal and sponsor regulations
- Completion of agency forms and certifications

### **Proposal Development Resources**

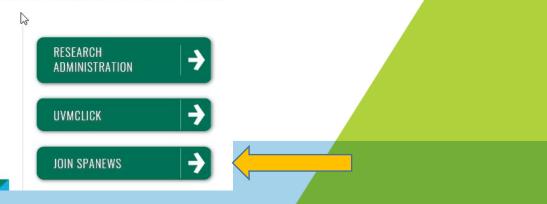
- SPA Fact Sheet <a href="https://www.uvm.edu/spa/spa-fact-sheet">https://www.uvm.edu/spa/spa-fact-sheet</a>
  - \*commonly requested info for federal forms
- Regulatory research requirements (use of human subjects, animals, recombinant DNA, etc.)
   ➢ Research Protections Office <a href="https://www.uvm.edu/rpo">https://www.uvm.edu/rpo</a>
- Financial conflicts of interest
   <u>https://www.uvm.edu/ovpr/research-integrity-financial-conflict-interest-sponsored-research</u>
- University policies & operating procedures
   <u>http://www.uvm.edu/policies/</u>

#### **Educational Resources Available – SPA Website and SPA News**

Visit <u>www.uvm.edu/spa</u> and Subscribe to SPA News!

Sponsored Project Administration is a full-service research administration and compliance office committed to assisting faculty, staff, and sponsors navigate the lifecycle of a sponsored project. SPA provides institutional approval for all proposal submissions, accepts awards on behalf of UVM, and facilitates award administration.

#### For assistance in any one of the following areas please contact us.



## Grant Proposal Development

# What do you think are typical reasons that proposals don't score well?

## What Drives Success?

- Knowing your "audience" who are your reviewers?
- Alignment between your goals and the funder's goals/mission
- Significance/relevance of your idea
- FEASIBILITY and technical approach
- YOU as an investigator
  - Credentials and track record (publications, scholarly productivity, awards)
  - Expertise of you and your team
- AND... Leaving enough TIME to write it takes longer than you think!

## It Starts with a Good Idea!





when I try to write it down

Ideas are the product of preparation

## Mid-Career: Can be <u>both</u> Exciting and Overwhelming

- What do your next 5 years look like?
- Expanding or growing research/scholarship you're already engaged in?
  - Could be a good time for a New Direction, or
  - Move into a completely new research/scholarly direction
- Take on areas of research that you have been interested in for a while, but have been postponing
- Have different type of responsibilities that may allow new explorations
- At a point in your career when you can afford to take on bigger and riskier projects

## **Grants for Mid-Career Faculty**

- They focus on professional development at a mid-career level
- They provide protected time that sometimes can be used to buyout teaching, to develop/learn new techniques that the PI would like to explore
- They provide support during longer periods of time
- They provide support during sabbatical periods

## How Can an Award Database Help Me?

- Compare your work with funded projects assess "fit" and competitiveness
- Has something similar been funded already?
- Where is my "home" within the funding agency?
- Identify funded colleagues
- Determine number of grants awarded in the previous funding cycle

#### **Before You Write You Must Understand Your Audience**



- Reviewers take the role seriously, but... busy, overcommitted, tired
- Inherently skeptical and critical mindset
- Perhaps only peripherally interested in your research

#### Make Their Job Easy



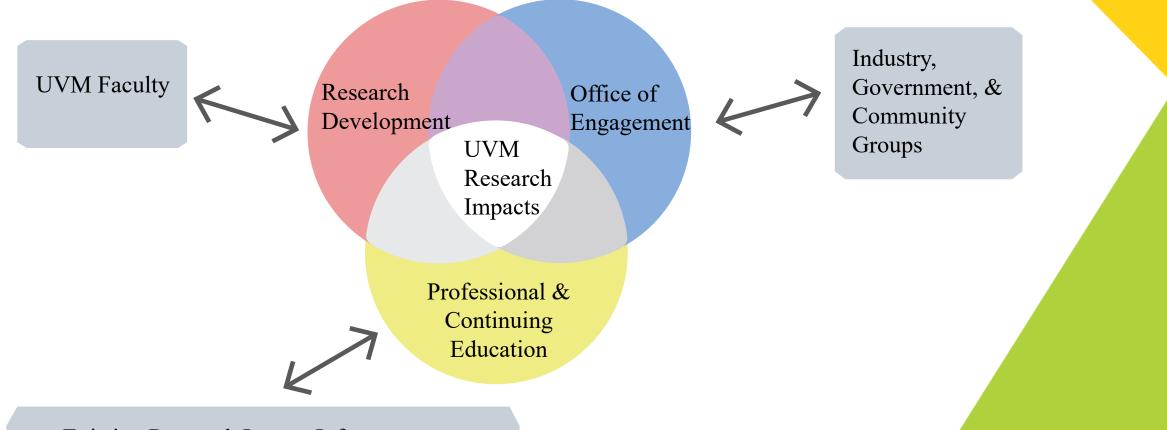
- Understand the review criteria and give the reviewers the words they need to defend your proposal to the rest of the panel
- **Explicit** statements
- Clear and concise writing

## What Are They Looking For? Review Criteria

NIH	USDA	NEH	NSF
Significance	Relevance	Significance	Intellectual Merit
Investigators	Investigators	Applicant	Broader Impacts
Approach	Scientific Merit	Feasibility	
Environment	Facilities	Design and Work Plan	
Innovation		Cost	
		Clarity of Expression	



#### **Strategic Resources – UVM Research Impacts Hub**



Existing Research Impact Infrastructure (UVM Extension, EPSCoR, INBRE, etc.)

Request a consult!

http://www.uvm.edu/ovpr/uvm-research-impacts

Everyone who does research has a *RESEARCH IDENTITY* 

It is (or will someday be) your research legacy

Whether consciously, or not, you spend a lot of time thinking about your *RESEARCH IDENTITY* 

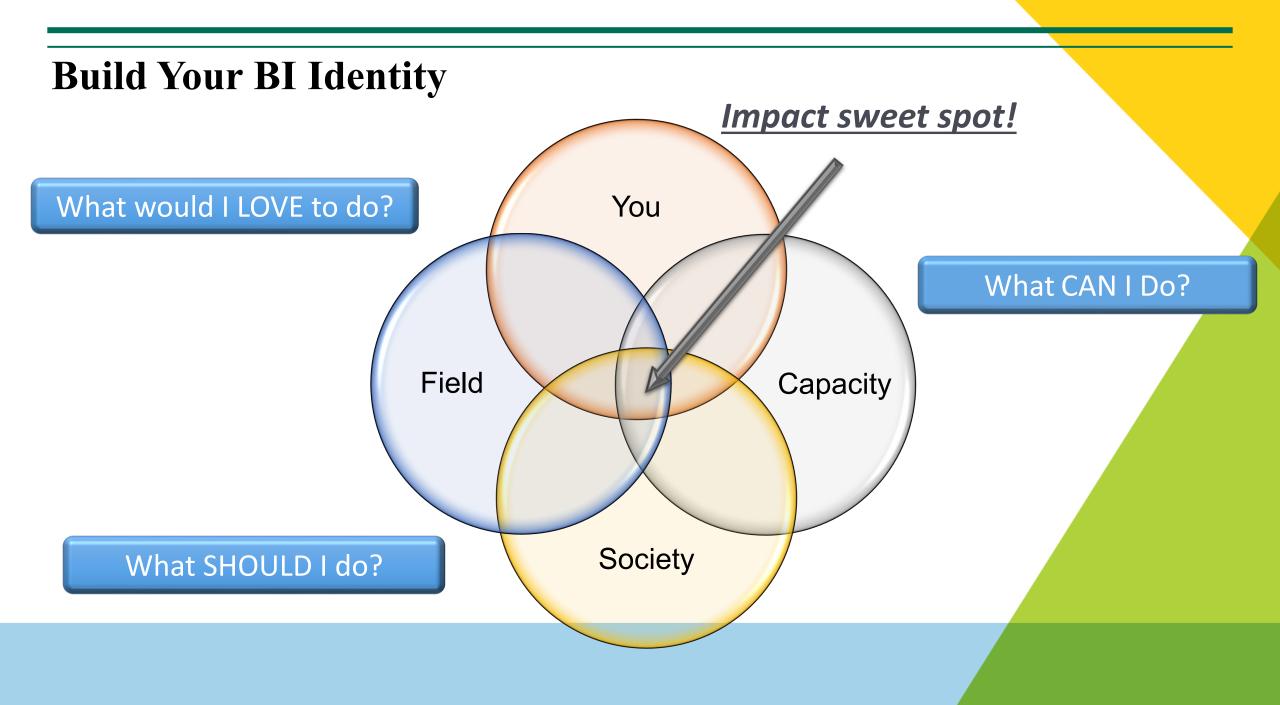
But.. What about the impacts of your research? Who will know or care about your research outside of your field? What you do to disseminate your research is your BROADER IMPACT IDENTITY.

RESARCH IDENTITY + BROADER IMPACT IDENTITY = CAREER LEGACY

#### What are broader impacts?

The potential of a research project to benefit society and contribute to the achievement of specific, desired societal outcomes.

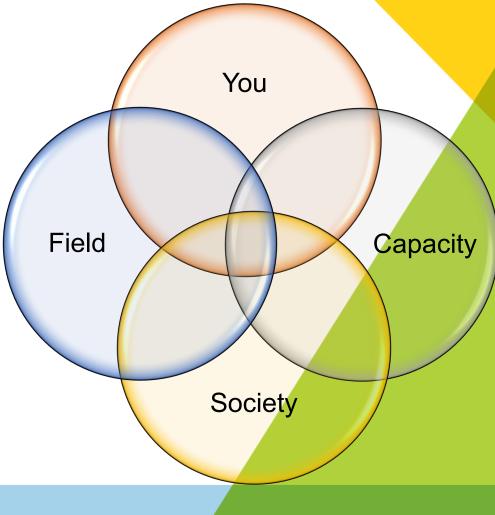




#### Building your BI Identity – What is your identity?

Put it all together:

- Who are you, what impact can your work have?
- What change do you want to see as a result of your work and why?
- Who will be your target audience?
- What might some of your BI activities look like?



### A helpful BI tool with lots of resources and ideas:

RIS 🖪 Broader Impacts Toolkit

Plan Elements - Wizard - My Summary Checklist Rubric About

# Broader Impacts Wizard

The Broader Impacts Wizard will help you develop a broader impacts plan that will satisfy the National Science Foundation (NSF) Broader Impact requirements and fulfill your interest in communicating your science.



#### Quick Wizard Walkthrough

The quick and easy process will help frame discussions with your BI partner(s) to produce an outline of important points to include in your NSF proposal. This short video walks through the key tools available on this site.



## **Don't Take Negative Reviews Personally**

Distinguishing between excellent science/ scholarship and slightly less

excellent science/ scholarship is exceedingly difficult



## **Responding to Critiques**

- Respect the reviewers' opinions
- Assume reviewers' comments are intended to be helpful
- Read the critique thoroughly and dispassionately
- In general, respond from the perspective that "the reviewer is always right" (even if you disagree with them!)
  - Errors in clarity and grantsmanship
- Be appreciative, not defensive
- Be persistent and consider resubmission

# Time for Conversation & Questions

#### **SPA EDU 22/23 Academic Year Sessions**

Торіс	Course	Date	Time
UVMClick New Proposal Creation and Completion of Funding Proposal Smartforms	POL036	Sept 21, 2022	9:00AM-10:30AM
Introduction to Sponsored Project Administration	POL012	Oct 4, 2022	1:00PM-2:30PM
Budget Building for Proposal Development	POL034	Oct 14, 2022	2:00PM-3:30PM
Reviewing and Understanding Sponsored Agreements	POL039	Nov 9, 2022	10:00AM- 11:30AM
Cost Transfers on Sponsored Projects	POL021	Nov 16, 2022	1:00PM-2:30PM
Cost Sharing on Sponsored Projects	POL022	Jan 18, 2023	9:00AM-10:30AM
Personnel Effort on Sponsored Projects	POL042	Feb 14, 2023	9:00AM-10:30AM
Award Acceptance for Sponsored Agreements & Establishment of Advance Accounts	POL020	March 28, 2023	9:30AM-11:00AM
Proposal Submission to National Science Foundation	POL043	April 19, 2023	9:00AM-10:30AM
Sponsored Project Financial Reporting and Closeout	POL024	April 27, 2023	1:30PM-3:00PM
SPA & Outgoing Sub-Awards	POL010	May 10, 2023	9:00AM-10:30AM
Proposal Submission to NIH in UVMClick	POL038	May 24, 2023	9:00AM-10:30AM
SPA Post Award Budget Review, Expense Monitoring & Forecasting	POL041	May 31, 2023	1:30PM-3:00PM

## **Grant Writing Tools and Resources Online**

**Research Development Website:** 

- NIH, NSF writing templates & checklists (USDA coming soon)
- SciENcv tutorial biosketches
- (Archived presentations a bit dated, but...!)
- More coming soon

**Sponsored Projects Administration Website:** 

- Video tutorials for UVM Click usage
- Standard Operating Procedures for each step of the lifecycle

https://www.uvm.edu/ovpr/research-development https://www.uvm.edu/spa

## How to Request Research Development Support:

- Initiate contact early 6-12 weeks in advance\* of your deadline
- Complete intake form on website with info about funding opportunity and deadline

https://www.uvm.edu/ovpr/research-development

- Contact us to set up a phone call or coffee meeting:
  - Meet our team tell us about your research!
  - Help with using Pivot funding search database
  - New to grant writing or need help navigating the process
  - Early consult to answer questions or if unfamiliar funding agency

## When you receive an award:

- Set up an award "kick-off" meeting with SPA for efficient grant management
  - Includes the PI, SPA staff (both pre- and post-award), SPA 2.0 or department staff
  - Review:
    - Terms & conditions of award
    - Reporting requirements
    - Subrecipient monitoring
    - Prior approvals
    - Roles and responsibilities for each teammate

https://www.uvm.edu/spa/manage-award

The University of Vermont

## **Additional Questions?**

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