Grants Submissions Process: an Overview

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Outline

- Review of main issues associated with:
  - Determining areas of strength
  - Finding research partners
  - Planning/writing/submitting a Proposal
  - Sponsor's evaluation results
  - Implementation/re-evaluation
  - Closing the cycle

Step 1: Strengths and Areas

- Types of Academic Scholarship (Boyer):
  - Discovery (hard core; theoretical in nature)
  - Integration (putting the above in perspective)
  - Application (solve specific societal problems)
  - Teaching (methods, theories, applications)
- Determining one's areas of interest
- Analyzing one's strengths/weaknesses
- Deciding on appropriate Research Area

Step II: Researching the Area

- Creating research mechanisms: COS/Piv.
- Data Bases: NSF, NIH, NEH, NIST, DOD
  - Search topic, deadline, funding, partnering
- Researching Professional Organizations
  - ASEE, IEEE, ASCE, ASME, Nat'l Academies
- Attending/Presenting at Conferences
- Journal publication, editing, reading, etc.
- Social Networks (LinkedIn, SUNY, other)

Step III: Finding Partners

- Who is doing what, where, when, how?
  - How do you find out? COS/Pivot
- Piggy Backing in existing/new projects
- Creating a Network of interested people
  - On Campus, SUNY-wide, broader
- Sharing knowledge/past experiences
  - Small conferences, workshops, talks, panels
  - Learn from those more experienced

Step IV: Planning/Writing

- Contact sponsor of identified Topic
- Schedule work to meet deadlines
- Reading Homework: sponsor's list
- Study Past Project Awards
- Reframe original idea to suit RFP
- Start writing your proposal (help?)
- Find Evaluators for Project Results
  - And other external expertise (consultants)

Step V: Submitting the Proposal

- Program Officers constant feedback
  - They will research you, too! (Past work)
- Write, re-write, revise, share
- Costing your proposal (OSR)
  - Time, equipment, evaluation, support, etc.
- Approvals (Department, College, IRB)
- Submission mechanisms (sponsors)
  - Fast Lane, Grants.gov: create an account

Step VI: Results

- Winning the award (1 in 5 times: NSF)
  - Paper work (Agency/OSR)
  - Conducting/managing the work
  - Periodic/Final Reports: SUNYIT & Albany
- Not Winning (4 out of 5 times, NSF)
  - Referee comments and soul searching
  - Award Statistics (see next slide)
- Closing the Proposal Cycle

| TABLE F.1 NSF Proposal Acceptance Rates , FY 1988 to FY 1999								
http://www.nap.edu/openbook.php?record_id=9954&page=77#p200032fbttt00019								
	AST		ATI		EXC		GAL	
Year	Prop.	Succ.	Prop.	Succ.	Prop.	Succ.	Prop.	Succ.
1988	337	123	50	10	108	44	65	25
1989	312	139	33	17	85	32	49	20
1990	286	150	31	25	78	43	61	30
1991	291	148	39	26	88	48	58	26
1992	321	151	44	24	78	38	49	21
1993	357	114	54	21	87	29	57	23
1994	354	166	50	30	76	32	48	19
1995	382	118	50	11	72	21	52	20
1996	391	107	26	7	95	24	73	15
1997	489	158	48	18	119	43	82	22
1998	366	102	45	14	133	32	58	14
1999	419	109	38	8	124	32	48	11

What Is the Issue?

- Success rate for research proposals was 20% in FY05, down from 30% in FY00
- Potential impact on merit review
  - Increased workload on reviewer community
  - Increased workload on NSF staff
- Potential loss of capacity

All R&RA directorates experienced a decline in funding rates between FY 2000 and FY2005

Funding Rate for Select Directorates
Competitive Research Grants
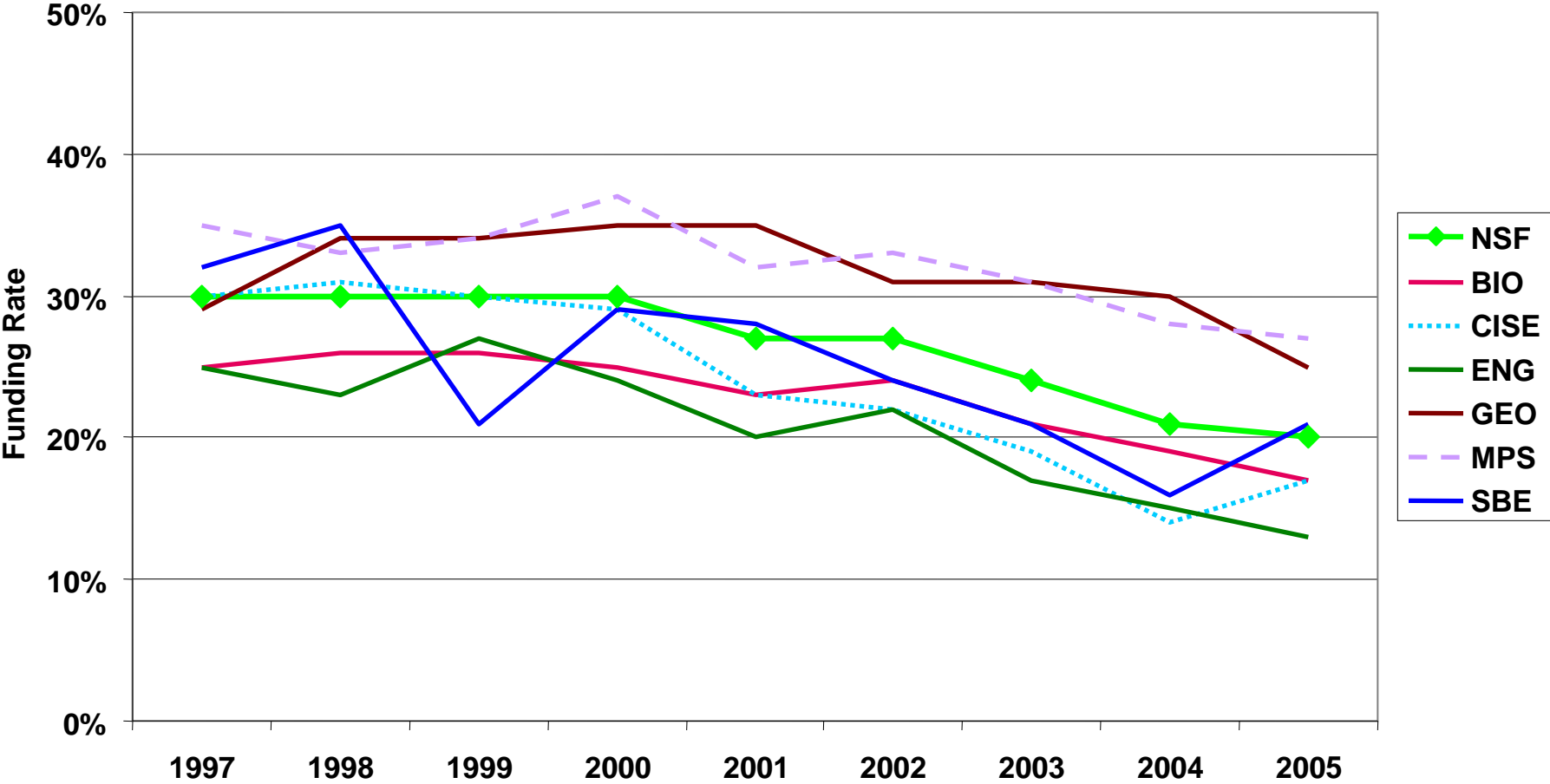
Attempt	ProbSucc.	CumProb
1	0.2000	0.2000
2	0.1600	0.3600
3	0.1280	0.4880
4	0.1024	0.5904
5	0.0819	0.6723
6	0.0655	0.7379
7	0.0524	0.7903
8	0.0419	0.8322
9	0.0336	0.8658
10	0.0268	0.8926
11	0.0215	0.9141
12	0.0172	0.9313
13	0.0137	0.9450
14	0.0110	0.9560
15	0.0088	0.9648
16	0.0070	0.9719
17	0.0056	0.9775
18	0.0045	0.9820
19	0.0036	0.9856
20	0.0029	0.9885

Rate:	0.2

Expected values:

E(X) =	4.9838
Var(X) =	19.4948
StDv(X)	4.415288

Probabilities

Prob X >	Value
3	0.5120
5	0.3277
8	0.1678
10	0.1074

TWELVE STEPS TO A WINNING RESEARCH PROPOSAL
George A. Hazelrigg
National Science Foundation P.O.

<u>Twelve steps that are nothing more than common sense</u>.

1. Know yourself
2. Know the program from which you seek support
3. Read the program announcement
4. Formulate an appropriate research objective
5. Develop a viable research plan
6. State your research objective clearly in your proposal
7. Frame your project around the work of others
8. Grammar and spelling count
9. Format and brevity are important
10. Know the review process
11. Proof read your proposal before it is sent
12. Submit your proposal on time

Discussion/Conclusions

- An overview: consider other steps/ways
- OSR mission is to support Faculty in
  - Submitting/obtaining research grants
- Other faculty needs, not considered?
  - General issues?
  - Individual issues?
  - Junior Faculty?
- Discussion and Questions.
- Thank-you!