

Proposal Development and Evaluation Exercise

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Third IAI Summer Institute, July 2001
University of Miami Rosenstiel School
Miami, Florida



Purpose of the Module

- Learn how to better structure your proposal writing
- Understand how funding agencies evaluate *and manage* proposals
- Present and defend your proposal before a group
- Analyze and criticize the presented proposals
- Discuss and summarize the principal lessons learned
- Present these points to the whole group
- Learn how to modify your proposal in response to review and criticism



Module Program

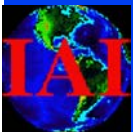
- **Monday, July 16 (today) – 90 minutes**
 - **Research Proposal Development and Submission**
 - **How Research Proposals are Evaluated**
 - **Mock Proposal Guidance**
 - ***Multidisciplinary Program Management***
- **Tuesday, July 31 12:00 noon - **DEADLINE****
- **Thursday, August 2 – 3 hours**
 - **Panel Review of Mock Proposals**
 - ***Other types of proposal development***



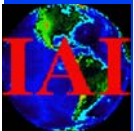
Proposal Development and Submission

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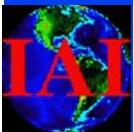


A Good Proposal Is a Good Idea, Well Expressed, With a Clear Indication of Methods for Pursuing the Idea, Evaluating the Findings, and Making the Results Known to All Who Need to Know



Institutional Research Development Strategies

- **Long Term Plan**
- **Commitment (Willingness to Spend Dollars)**
- **Quality Base (Faculty)**
- **Research/Teaching Policy Appropriate for Institution**
- **Develop and Improve Potential:**
 - **Faculty Commitment to Change**
 - **Personalized Development**
 - **Recognition --- Role Models**
 - **Honest Analysis of Barriers**
 - **Public Awareness of Research Role**



Individual Investigator Research Development Strategies

- **Determine Your Long-Term Research Goals or Plan**
- **Develop Your Bright Idea**
 - Survey the Literature
 - Contact Investigators Working on Topic
 - Prepare a Brief Concept Paper
 - Discuss With Colleagues/Mentors
- **Prepare to Do the Research**
 - Determine Available Resources
 - Realistically Assess Needs
 - Develop Preliminary Data
 - Present to Colleagues/Mentors/Students



Individual Investigator Research Development Strategies (Continued)

Determine Possible Funding Sources

Understand the Ground Rules

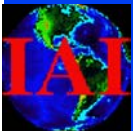
- **Ascertain Overall Scope and Mission**
- **Carefully Read Announcement/Instructions**
- **Determine Where Your Project Fits**
- **Ascertain Evaluation Procedures and Criteria**
- **Talk With Program Officer:**
 - **Your Proposed Project**
 - **Specific Program Requirements/Limitations**
 - **Current Program Patterns**
 - **Reviewing a Successful Proposal**

Coordinate With Your Institution/Research Office



Project Development Key Questions for Prospective Investigator

- 1. What do you intend to do?**
- 2. Why is the work important?**
- 3. What has already been done?**
- 4. How are you going to do the work?**



Project Development

Clear Problem Statement

- **Needs to Be Met or Problem to Be Solved**
- **What You Want to and Can Accomplish**

Significance of Proposed Work

- **Background**
 - **Relevant Literature**
 - **Gaps to Be Filled**
- **Importance/Justification**
 - **Discipline**
 - **Fields Outside of Discipline**
 - **Future (Long Term Context)**

Feasibility of Proposed Research

- **Valid, Testable Hypothesis**
- **Qualifications of Investigators**
- **Available Resources**
- **Preliminary Data**



Project Development (Continued)

Experimental Plan

- **Project Design**
- **Methodology (Feasible, Adequate, Appropriate)**
 - Innovations
 - Limitations
 - Difficulties Anticipated/Alternative Approaches
- **Sequence (Activities Schedule/Timeline)**

Outcome and Assessment

- **Data Analysis**
- **Interpretation of Anticipated Results**
- **Evaluation**
 - Assessment Activities
 - Check Points to Chart Progress

Continuation

- **Plan(s) for Continuation Beyond Grant Period**
- **Long Range Research Plan**



Project Description

Utilize Available Expertise

- **Peer/Mentor Input**
- **Pre-Submission “Reviewer” Comments**
- **Previous Submission Input**
 - **Program Officer**
 - **Reviewers**
- **Consultant Use on Project**

Develop Ideas Clearly and Logically

- **Put Essence of Work at Beginning, Not End**
- **Ensure Coherent Direction**
- **Organize to Permit Ease of Skimming**
- **Never Assume, “Reader Will Know What I Mean”**



Project Description (Continued)

Selectively Use Clarifying Materials to Accent Main Points

- **Well Designed Visuals**
- **Other Clarifying Materials**
- **Confine Supplementary Material to Appendix**

“Sell” Your Project

- **Write to Evaluation Criteria**
- **Address Special Requirements**
- **Convey a Sense of Enthusiasm for Your Work**



Project Description (Continued)

Use Concise Scientific Writing Style

- **Simple Sentence Structure**
- **Acronyms and Jargon**
- **Page Limitation**

Allow Time for Thorough Editing and Proofing

Convey Image of Investigator's Work Through Proposal

Package Neatly, Not Slickly

Check for Completeness

Special Situations

- **Equipment Proposals**
- **Group Proposals**



Proposal Submission

Who

- **Principal Investigators**
- **Submitters (Institution/Organization)**

When

- **At least 6+Months to a Year Prior to Starting**
- **Target Dates/Deadlines**



Proposal Submission

Where

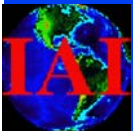
- **Bilateral Agencies**
 - Germany (GTZ)
 - Australia (AusAID)
 - Canada (CIDA, IDRC)
 - USA. (NOAA, USAID)
 - Spain (AECI)
 - Finland (Global Finland)
 - Netherlands (BuZa)
 - Japan (JICA)
 - UK (DFID, CDC)
 - Switzerland (SDC)
 - Embassies
- **Banks**
 - World Bank
 - Inter-American Development Bank
- **International Agencies**
 - UNDP (ICT)
 - UNEP
 - UNIDO
 - UNESCO
 - WMO
- **Others**
 - Ministries/GOvernments
 - Corporations
 - NGOs



Proposal Submission (Continued)

What

- **Complete Original Signed Proposal Plus Copies**
- **List of Reviewers/Non-Reviewers (Optional)**
- **Cover Page: Program; Title; Boxes; Signatures**
- **Table of Contents**
- **Project Summary**
- **Project Description (Including Results of Prior Support)**
- **References Cited**
- **Budget (+ Explanation)**
- **Current and Pending Support**
- **Special Information and Supplementary Documentation**
- **Facilities, Equipment & Other Resources**



Proposal Submission (Continued)

How

Internal Institutional Clearance

Institutional Commitment

- **Assure Necessary Support and Project:**
 - **Personnel/Time**
 - **Facilities**
 - **Equipment**
 - **General Services**
- **Share Costs**



Budgetary Guidelines

- **Amounts**
 - Reasonable for Work - Realistic
 - Well Justified - Need Established
 - In Line with Program Requests
- **Eligible Costs**
 - Personnel
 - Equipment
 - Travel
 - Other Direct Costs, Subawards
 - Indirect Costs
- **General Suggestions**
 - Cost Sharing by Institution and Other Sources
 - All Funding Sources Noted
 - Help from Research Office



Post Facto

- **Follow-Up with Program Officer**
 - Changed Circumstances
 - Proposed Work Affected by New Developments
 - Inquiries
- **Grant - Reward for:**
 - Outstanding Qualifications
 - High Quality Research
 - Good Presentation
 - Sustained Effort and Considerable Patience
- **Don't Despair!**
 - Perseverance Pays Off
 - Awards are Highly Competitive
 - Declination May Be Because of Budgetary Limitations
 - Resubmit - Try, Try Again



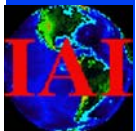
What to Look for In a Program Announcement

- **Goal of Program**
- **Eligibility**
- **Special Requirements**



Getting Support In Proposal Writing

- **Publications**
 - Program Announcements
 - Web Pages
- **Program Officers**
- **Mentors on Campus**
- **Previous Panelists**
- **Serve As Reviewer**
- **Serve as Panelist**
- **Sponsored Research Office**
- **Successful Proposals**



Getting IAI Publications

- World Wide Web

<http://www.iai.int>

- E-Mail Requests
(Electronically)

iaibr@dir.iai.int

- Phone Requests

+55 (12) 345-6855

- FAX Requests

+55 (12) 341-4410

- Mail Requests

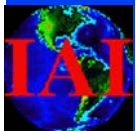
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Next... Proposal Evaluation

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