



# Special Cases in Proposal Development: Large-Scale, Multidisciplinary and/or Multi-Organizational Proposals

October 30<sup>th</sup>, 2013  
1:00PM EDT



# Introduction

Questions: Please use the Q&A pod located at the bottom of your screen

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Audio problems: Please email [ynagashima@hanoverresearch.com](mailto:ynagashima@hanoverresearch.com) or call 202-350-4681.

Recording: All webinar registrants will be emailed a link to access the recorded webinar and additional materials.

# Background on Hanover Research

Global research and grant development firm  
headquartered in Washington, DC



We provide solutions to:

- Higher Education
- K-12
- Healthcare Organizations
- Hospitals
- Municipalities
- Non-profits

# Background on Hanover Research

Our full-cycle proposal development solutions were developed to enable increased competitiveness and results for our partners. They include:

## Capacity Building and Pre-Proposal

- RFP analysis
- Relationship building strategies
- Grants calendar for specific grant makers
- Funder overview/analysis
- Funding prospect research
- Grants capabilities assessment survey and analysis
- Grantseeking strategy memo

## Proposal Development

- Mission critical proposal review
- LOI production
- Comprehensive proposal review/critique
- Concept paper development
- Program/research design consulting
- Proposal rewriting
- Foundation proposal production
- Federal proposal production

## Post Award

- Foundation grant outcomes reporting
- Multiyear comparative data analysis
- Grant application renewal review
- Proposal rewriting and resubmission
- Quantitative and qualitative program evaluation
- Grant evaluation

# Agenda

During today's webinar, we will cover the following topics:

Planning considerations for combinations of groups, including multi-disciplinary and multi-organizational partnerships

Best practices for managing the development process for complex proposals

Strategies for successful program evaluation and sustainability planning

Case Studies—examples of planning challenges and successes

# Presenter- Bryan DeBusk, PhD



**Bryan DeBusk, PhD, GPC** draws from his experience in academia and the laboratory to assist partners in pursuing federal and private funding. He works with higher ed and healthcare partners to develop evidence-based programs and refine innovative research ideas that are both competitive in peer review and manageable in practice.

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## Presenter- Susan Perri, MPA



**Susan Perri, MPA** has a decade of experience designing, writing, and managing grant programs for organizations nationwide. Her track record securing federal, state, corporate and foundation funding has yielded over \$30 Million in healthcare, education, economic development and environmental conservation programming. Susan has also served on multiple federal and community grant review panels including the U.S. Department of Education. She is a member of the Grant Professionals Association (GPA) and serves as the Acquisitions Manager for the GPA peer-reviewed Journal.

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# Best Practices for Managing Complex Proposal Development

## What makes a proposal complex?

- Multiple collaborating programs/departments, centers, or institutions
- Multiple projects and/or core resources
- Substantial institutional commitment in financial or other resources
- Related but distinct components managed/envisioned/implemented by distinct individuals or groups

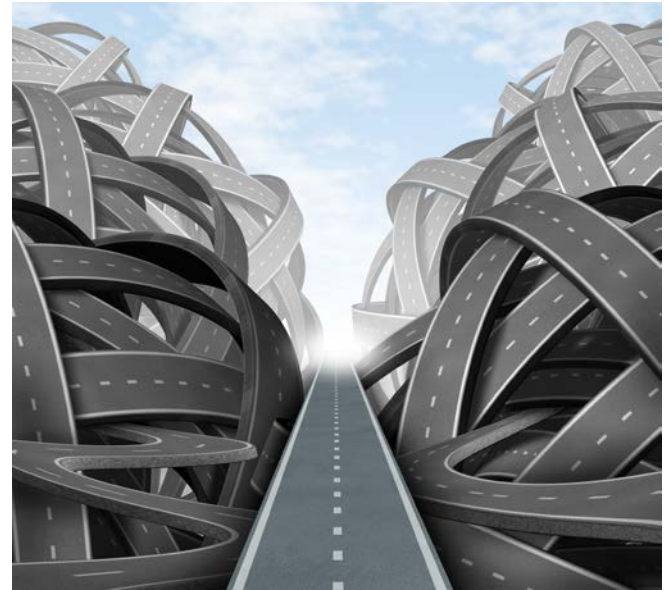


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# Major Challenges in Proposal Development

- Keeping all team members engaged
- Keeping all cores/programs aligned with the overall vision
- Maintaining timelines
- Obtaining institutional and departmental data
- Pushback from other programs (turf battles)
- Budget creep
- Personality and capabilities management

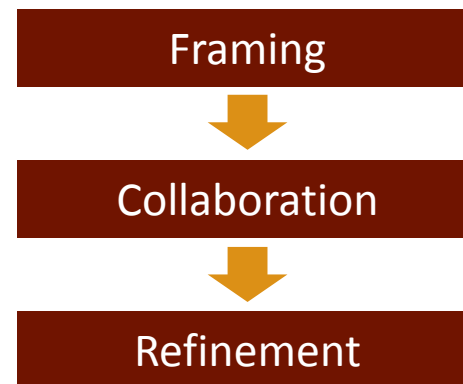


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# Strategic Interdisciplinary Research Office (SIRO) at Pennsylvania State University Recommendations



1. Planning to plan
2. Three phases of proposal development:



3. Sustainable process

## Understanding the RFP

- Confirm eligibility and obtain institutional approval for applying
- Break down the RFP in such a way that everyone involved clearly understands all requirements
  - Summarize funder's goal(s)
  - Identify all required components of the proposal package
  - Define key terms for members of the team who are less familiar with specialty language

## Proposal Development Timeline

- Establish a timeline for all activities in the three proposal development phases (framing/planning, collaboration, refinement)
  - Analysis and Planning
  - Problem Development
  - Program Officer Input
  - Partnerships
  - Management/Personnel
  - Budget
  - Proposal Writing



# Examples

<b><i>From a SAMHSA Primary Care/Behavioral Health Integration Grant (2012)</i></b>	Assigned Team	Timing
<b>Section A: Population of Focus Statement</b>		
Demographic profile		
Relationship of population of focus		
Describe nature of the problem		
Describe how currently provide primary care/health home services to SMI clients		
<b>Section B: Proposed Evidence-Based Service/Practice</b>		
Describe purpose of project including goals and objectives		
Describe evidenced-Based Practice that will be used and justify its use for population of focus		
Describe any modifications that will be made to EBP with reasons for modifications		
<b>Section C: Proposed Implementation Approach</b>		
Describe proposal with regards to the required health home services		
Describe plan to meet Meaningful Use Standards		
How will individuals be identified and referred to the health home program		
Describe anticipated program, policy, and reimbursement barriers		
Describe how achievement of goals will produce meaningful /relevant health outcomes for your community		
Provide a chart or graph depicting a realistic time line for entire project		
Describe how you will ensure meaningful participation of consumers/peers and family members		



# Proposal Team & 3 Development Phases

## Roles and responsibilities by phase of proposal timeline

Player	Phase 1: Framing	Phase 2: Collaboration	Phase 3: Refinement
<p><b>Principal Investigator (PI)</b></p> <p>*Needs to be supportive of the 12-week plan. Ultimately controls the process, but relies on key players to complete tasks and stay on the timeline.</p>	<ul style="list-style-type: none"> <li>• Finalize key participant &amp; collaborator list; Recruit partners</li> <li>• Define proposal outline (incl. Vision, Goals, &amp; Themes)</li> <li>• Start writing assignment outline</li> <li>• Identify graphics</li> <li>• Draft/estimate budget</li> <li>• Identify necessary University resources (Admin Issues, Space, Data, Cost Share)</li> <li>• Interpret solicitation, and identify appropriate teaming Strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Refine partner participation; identify external commitment letters</li> <li>• Finalize writing assignments</li> <li>• Identify management structure</li> <li>• Refine budget and cost share</li> <li>• Identify internal commitment letters</li> <li>• Compile technical plan draft text and prepare for University review</li> </ul>	<ul style="list-style-type: none"> <li>• Track writing assignments &amp; follow-up with missing contributions</li> <li>• Finalize management structure</li> <li>• Finalize budget, justification and cost share</li> <li>• Finalize Commitment Letters (internal/external)</li> <li>• Review technical plan and make final edits based on University review</li> <li>• Verify that Institutional approvals have been obtained to submit the proposal</li> </ul>

From Dressler, K., Mulfinger, L., & Page, N. "Averting the Big Bang." NCURA Magazine, Volume XLV, No.2, March/April 2013. p. 21.

# Proposal Team & 3 Development Phases

## Roles and responsibilities by phase of proposal timeline

Player	Phase 1: Framing	Phase 2: Collaboration	Phase 3: Refinement
<b>Advocate (AV)</b>  *Needs to be identified by University and PI. We recommend an institutional administrator (i.e. Research Dean, Institute Director, Department Head)	<ul style="list-style-type: none"> <li>• Participate in University limited submission process</li> <li>• Contact with PI to verify necessary University resources (space, cost share, admin support)</li> <li>• Verify that the PI has completed initial proposal vision/goals outline</li> </ul>	<ul style="list-style-type: none"> <li>• Verify writing assignments and draft text components are on track.</li> <li>• Support the PI</li> </ul>	<ul style="list-style-type: none"> <li>• Participate in the proposal University review</li> <li>• Support the PI</li> <li>• Verify that University approvals have been obtained to submit the proposal</li> </ul>
<b>University</b>	<ul style="list-style-type: none"> <li>• Organize limited submission process</li> <li>• Select and support PI/Advocate with necessary resources</li> </ul>		

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# Proposal Team & 3 Development Phases

## Roles and responsibilities by phase of proposal timeline

Player	Phase 1: Framing	Phase 2: Collaboration	Phase 3: Refinement
<p><b>Development Specialist (DV)</b></p> <p>*Are typically Masters or PhD-level professionals who serve as catalysts in the proposal process and participants in writing/editing</p>	<ul style="list-style-type: none"> <li>• Serve as a catalyst in University limited submission process</li> <li>• Assist PI in conceptualizing Draft/ estimate budget</li> <li>• Identify necessary University resources (Admin Issues, Space, Data, Cost Share, outreach, diversity)</li> <li>• Interpret solicitation, and identify appropriate teaming strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Refine partner participation</li> <li>• Coordinate drafts for nontechnical proposal pieces</li> <li>• Assist w/ commitment letters (internal/external)</li> <li>• Help compile technical plan draft text and prepare for University review</li> <li>• Edit text if necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Assist w/ finalizing commitment letters</li> <li>• Coordinate and make final edits based on University review</li> </ul>

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# Proposal Team & 3 Development Phases

## Roles and responsibilities by phase of proposal timeline

Player	Phase 1: Framing	Phase 2: Collaboration	Phase 3: Refinement
<p><b>Research Administrators (RAs)</b></p> <p>*University authority for proposal submission. Assist w/ compliance, budget and administrative functions.</p>	<ul style="list-style-type: none"> <li>• Draft/estimate budget</li> <li>• Identify necessary University resources (Admin Issues, Space, Data, Cost Share)</li> <li>• Interpret solicitation, provide feedback; contact sponsor if necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Contact participants for Biosketches, Current/ Pending Support, CIO tables, Appendix material</li> <li>• Refine budget and cost share</li> <li>• Assist w/ commitment letters (internal/external)</li> <li>• Compile draft text</li> </ul>	<ul style="list-style-type: none"> <li>• Finalize budget, justification and cost share</li> <li>• Assist with finalizing commitment letters</li> <li>• Review proposal text for compliance issues</li> <li>• Verify that University approvals have been obtained to submit the proposal</li> </ul>

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## **NIH Clinical and Translational Science Award**

- 5-year, ~\$20M Center grants to establish integrated resources to improve CT science
- Single institution with multiple departments and resources or multiple institutions
- Original solicitation included ~15 separate Cores and Resources with independent descriptions in the proposal (~250-page narrative; ~750-page full proposal)

# Case Study - CTSA

- Research Administrators and External Consultant directed the collection of supplemental documents
- Dedicated RA compiled all documents, and Dedicated RA and external consultant reviewed and revised all materials
- PI, University Advocate, and Dedicated RA ensured all university approvals were complete prior to submission

## Problem Development

- Define vision & goals
- Develop a proposal outline
- Estimate the budget and obtain institutional approval for cost share / other commitments
- Obtain institutional data or review preliminary data to support need statement or rationale
- Refine outline with project team



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## Solicit Funder Input

- Contact Program Officers for Feedback
  - Email or phone
  - Elevator pitch
  - Concept/white paper
- Refine outline with project team





# Case Study - CTSA

- Two External Partners
  - For-profit healthcare system with large patient population but limited research infrastructure
  - Independent university campus within the same state system
- Identified representatives from partners to participate in the full proposal development process
- Integrated personnel from external partners in multiple Cores and Programs



## Effective Management/ Personnel Planning

- Identify management structure
- Collect and edit biosketches
- Write and secure internal commitment letters



## Budgeting

- Draft an internal budget
- Determine external partner needs and determine budget division
- Determine cost share needs
- Secure cost share
- Refine overall budget and prepare justification
- Confirm budget is aligned with all activities included in the proposal narrative



# Case Study - CTSA

- Collaborative Budget Process
  - Core and Program Directors submitted requests
  - Senior leadership team and university advocate identified opportunities for university contributions
  - University advocate obtained institutional commitments
  - Senior leadership team and university advocate reviewed and revised Core and Program requests
  - Core and Program Directors submitted revised requests
  - Senior leadership team revised and finalized budgets

# Best Practices

## Proposal Writing

- Prepare a style guide
- Establish a shared document repository and guidelines for editing, file names, and file ownership
- Assign writing sections and prepare drafts
- Compile first draft and revise
- Circulate for comments and revise again
- Internal and external review and additional revision
- Full revision for unified style, consistency, and final check for alignment with RFP requirements and internal/external requirements
- Compliance checks, internal/external signoff



# Case Study - CTSA

- Distributed proposal writing
  - 12 of 15 Core/Program directors developed their first drafts
  - 3 of 15 Core/Program directors requested that the external consultant assist with the first draft
  - PI and external consultant drafted the overview
- Centralized revision and editing
  - Senior leadership and external consultant reviewed all drafts
  - External consultant directed subsequent revision cycles and was responsible for the final stylistic revision and consistency check for the full proposal



## Other Useful Tools and Techniques

- Planning Retreats
- Style Guides
- Shared Document Storage (Dropbox, Google Docs, institutional options)
- Multiple review cycles

# Case Study - CTSA

- 3 planning retreats (two in framing/planning phase and one in collaboration phase)
  - Retreat 1—reviewed RFP, agreed on overall vision, assigned writing tasks and established timeline
  - Retreat 2—Core and Program directors outlined their ideas and received feedback prior to developing full drafts
  - Retreat 3—Reviewed first drafts

# Case Study - CTSA

- Internal/External review
  - Full project team reviewed the full proposal (prior to final stylistic revision and consistency check)
  - Three external reviewers reviewed the full proposal
  - Team and external reviewers provided written feedback
  - University advocates reviewed the proposal and provided feedback in a session with senior leadership





## Evaluation Planning

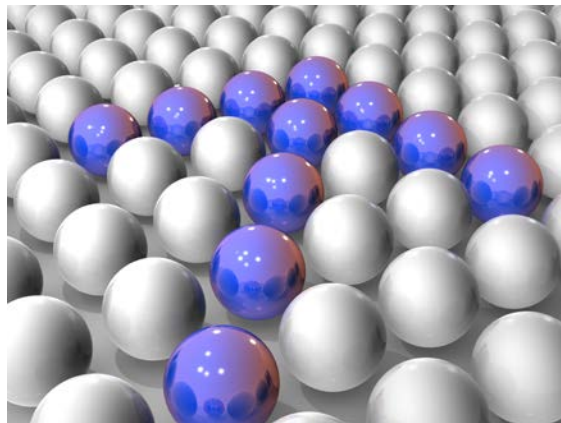
- Develop metrics
- Measure community impact
- Research activity
- Educational and outreach programming and development
- Other tangible returns
- Apportioning faculty credit
- Benchmarking

## Evaluation Resources

- National Science Foundation - 2002 User-Friendly Handbook for Project Evaluation: [http://www.nsf.gov/pubs/2002/nsf02057/nsf02057\\_1.pdf](http://www.nsf.gov/pubs/2002/nsf02057/nsf02057_1.pdf)
- NIH Extramural Center Programs: Criteria for Initiation and Evaluation. Institute of Medicine (US) Committee for Assessment of NIH Centers of Excellence Programs: <http://www.ncbi.nlm.nih.gov/books/NBK1863/pdf/TOC.pdf>
- W.K. Kellogg Foundation Evaluation Handbook: <http://www.wkkf.org/knowledge-center/resources/2010/W-K-Kellogg-Foundation-Evaluation-Handbook.aspx>
- The Evaluation Center at Western Michigan University Evaluation Library and Bibliography: <http://extension.wsu.edu/pd/resources/documents/Evaluation%20Bibliography.pdf>

## Sustainability Planning

- Show broad stakeholder support and buy-in via institutional commitment and adoption of program budget line items.
- Identify partners who will provide certain services to or support.
- The grantee and partners should demonstrate leveraged resources to take grant capital and keep a program going.



# Q&A



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## **Next Grants Webinar:**

Healthcare Funding Forecasting

Wednesday, November 13<sup>th</sup> at 1PM EST

Register by visiting [\*\*http://bit.ly/HealthcareFunding\*\*](http://bit.ly/HealthcareFunding)

To learn more about Hanover Research's Grants Webinars and to Access Past Webinar Resources, visit [\*\*http://bit.ly/HanoverGrantsArchives\*\*](http://bit.ly/HanoverGrantsArchives)

## Thank You

Thank you for participating in this Hanover Research webinar. A link to the recording of this webinar and a post-webinar brief will be emailed to you.



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