



EMERGING TRENDS IN PROPOSAL REQUIREMENTS

MARCH 1, 2022





TODAY'S WE WILL FOCUS ON:

- DIVERSITY EQUITY AND INCLUSION PLANS
 - COMMUNITY ENGAGEMENT PLANS
 - COLLABORATION/LEADERSHIP/MANAGEMENT PLANS
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THE FUNDING LANDSCAPE

- Why do funders ask for these things?
 - Beyond Broader Impacts; federal mandates and initiatives; qualified and connected applicants
 - Stewardship of funds
- How to prepare to write them
- Where do they go in the proposal?
 - Follow your solicitation; use the WHOLE proposal to sell your project (i.e. budget, facilities and other, bios)
- Resources for examples, instructions, best practices
 - Samples and examples: the good, bad and ugly



DIVERSITY,
EQUITY &
INCLUSION
PLANS

WHAT IS THE PURPOSE OF A DEI STATEMENT?

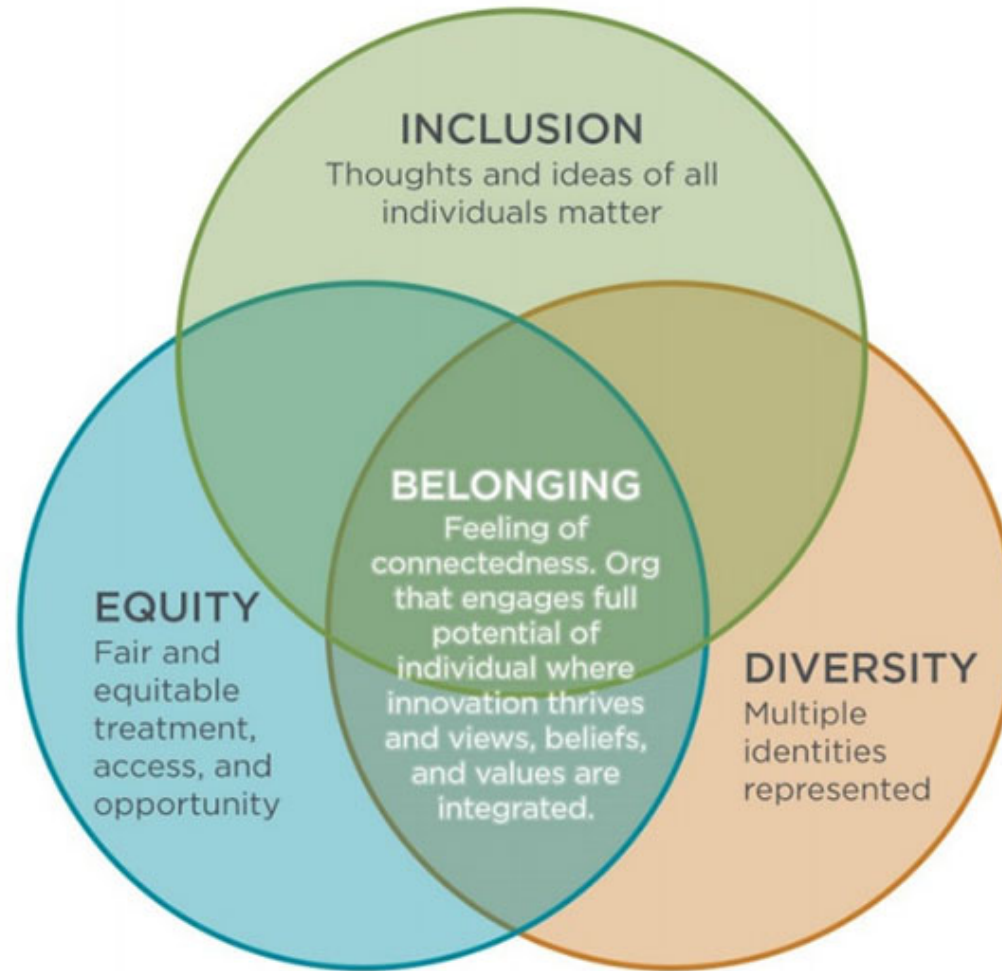
- Increasingly, institutions are becoming more intentional about diversity, equity and inclusion. A DEI statement **gives the writer the chance to highlight the values of Mississippi State University and demonstrate their pledge to an inclusive and equitable environment.**
- Funders want to know:
 - Is the organization diverse and inclusive?
 - Will the funding help decrease disparities and/or advance equity?
 - What and who is missing?

DEFINING DEI

Diversity: Includes race and ethnicity, gender and gender identity, sexual orientation, socioeconomic status, language, culture, national origin, religious commitments, age, (dis)ability status and political perspective.

Equity: The idea of equal opportunity for all persons and no discrimination on the basis of race, color, national origin, age, marital status, sex, sexual orientation, gender identity, gender expression, disability, religion, height, weight, or veteran status.

Inclusion: Deliberate efforts to ensure that our campus is a place where differences are welcomed, different perspectives are respectfully heard and where every individual feels a sense of belonging and inclusion.



IN OTHER
WORDS

Diversity is where everyone is invited to the party.

Inclusion means that everyone gets to contribute to the playlist.

Equity means that everyone has the opportunity to dance.

KEEP IN MIND

- As always, read the RFP. It will give you the guidelines on what to write for DEI.
- It may call for a separate statement/plan or framework, or it may be a part of the narrative.
- Use positive, inclusive language.

Example: Use “Underserved/Underrepresented students” instead of the term “minority” to describe students from diverse backgrounds.

WHAT TO THINK ABOUT BEFORE WRITING

Why is this important to us?

What are our goals relating to diversity, equity, inclusion?

How do we define these terms as an organization?

How do we currently incorporate or include DEI within our organization?

How do we hope to or plan to include DEI within our project?

Is there data we can cite?

Are there specific things that we are already doing well that we can point to? (For example, employee resource groups, inclusive benefits, etc.)

How does our DEI work tie back to our values?

Have we involved voices from all aspects of our organization in the creation of this statement? (Or, whose voice is missing?)

SAMPLE DIVERSITY/INCLUSION PLAN

In order to realize fully our Mission and Vision, we are committed to actively fostering diversity, inclusion and cultural competency throughout our programmatic, research, development, and operational efforts.

Goal 1: Build our organization's capability to execute the long-range inclusion plan

- Create a Diversity/Inclusion Standing Committee
- Create and lead cross divisional implementation team
- Increase diversity of staff and volunteer population
- Assess the level of intercultural competency of staff and volunteers, and design tools to increase and develop the competency
- Evaluate our diversity/inclusion initiative activities

Goal 2: Increase the number of people from diverse and underserved populations using our supportive services and informational products

- Develop appropriate current and proposed tools and information
- Develop and implement education and program initiatives for individuals and their care partners

BROADER IMPACTS

- **Broader Impacts refers to the potential for research to advance knowledge and benefit society.**
- Broader impacts may be accomplished through the research itself, through the activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to the project. NSF values the advancement of scientific knowledge and activities that contribute to the achievement of societally relevant outcomes. Such outcomes include, but are not limited to: **full participation of women, persons with disabilities, and underrepresented minorities in science, technology, engineering, and mathematics (STEM); improved STEM education and educator development at any level; increased public scientific literacy and public engagement with science and technology; improved well-being of individuals in society; development of a diverse, globally competitive STEM workforce; increased partnerships between academia, industry, and others; improved national security; increased economic competitiveness of the U.S.; use of science and technology to inform public policy; and enhanced infrastructure for research and education.** These examples of societally relevant outcomes should not be considered either comprehensive or prescriptive. Proposers may include appropriate outcomes not covered by these examples.

RESOURCES

Office of
Institutional
Diversity, and
Inclusion

Office of
Institutional
Research and
Effectiveness

Toolkit

COMMUNITY ENGAGEMENT PLANS



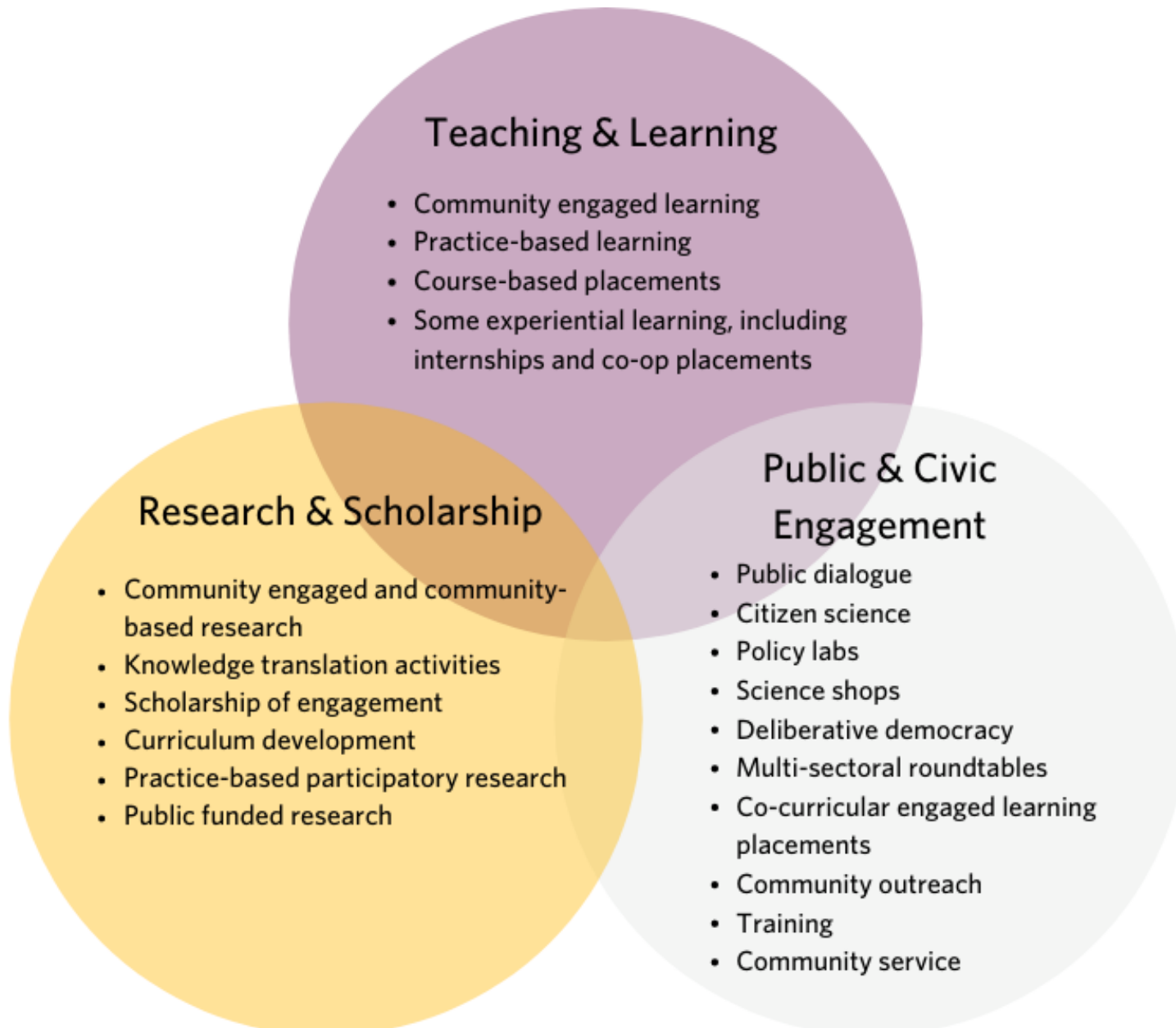
COMMUNITY ENGAGEMENT PLANS

What is “Community Engagement” in this context?

- Seeks to better engage broad perspectives to achieve long-term and sustainable outcomes, processes, relationships, discourse, decision-making, or implementation
- Not only an outcome, rather, a process; there is no one right method or set of activities

What types of proposals require a community engagement plan?

- Single investigator research projects (*research impacts*)
- Centers; multi-collaborator research proposals (*integrative research and/or capacity-building*)
- Outreach and programmatic proposals (*education, advocacy*)
- Arts and humanities projects (*education, advocacy, capacity-building*)



Teaching & Learning

- Community engaged learning
- Practice-based learning
- Course-based placements
- Some experiential learning, including internships and co-op placements

Research & Scholarship

- Community engaged and community-based research
- Knowledge translation activities
- Scholarship of engagement
- Curriculum development
- Practice-based participatory research
- Public funded research

Public & Civic Engagement

- Public dialogue
- Citizen science
- Policy labs
- Science shops
- Deliberative democracy
- Multi-sectoral roundtables
- Co-curricular engaged learning placements
- Community outreach
- Training
- Community service

EXAMPLES OF UNIVERSITY- COMMUNITY ENGAGEMENT

UNIVERSITY OF BRITISH COLUMBIA
COMMUNITY ENGAGEMENT

CONSIDERATIONS FOR A CEP

- What is the NEED for Community Engagement?
 - Evaluate the current state of the problem/issue/need and determine gaps or opportunities
- What stakeholders from the community should be engaged in the project?
 - A stakeholder is anyone (or group) that will be affected by the project, has knowledge related to the project; has some authority related to the project; has an interest in the project
- How will using a collaborative approach break down barriers between academia and the various partners? i.e., what are the perceived or real barriers to achieving the desired impact?
- From the community's perspective, do the proposed activities address a problem? Has the community worked to address this problem previously? Why does the community believe this problem will benefit from inclusion of researchers?
- Is there a need for skill building or development activities for the community to be an integral part of the project and contribute in a meaningful way?
- What combination of partner(s), engagement activities, and research outputs will enable the project team to achieve significant impact? Are the partners contributing in *meaningful ways*?

WHAT LEVEL OF ENGAGEMENT IS RIGHT?

Increasing Level of Community Involvement, Impact, Trust, and Communication Flow 

<i>Outreach</i>	<i>Consult</i>	<i>Involve</i>	<i>Collaborate</i>	<i>Shared Leadership</i>
<p><i>Some Community Involvement</i></p> <p><i>Communication flows from one to the other, to inform</i></p> <p>Provides community with information.</p> <p>Entities coexist.</p> <p>Outcomes: Optimally, establishes communication channels and channels for outreach.</p>	<p><i>More Community Involvement</i></p> <p><i>Communication flows to the community and then back, answer seeking</i></p> <p>Gets information or feedback from the community.</p> <p>Entities share information.</p> <p>Outcomes: Develops connections.</p>	<p><i>Better Community Involvement</i></p> <p><i>Communication flows both ways, participatory form of communication</i></p> <p>Involves more participation with community on issues.</p> <p>Entities cooperate with each other.</p> <p>Outcomes: Visibility of partnership established with increased cooperation.</p>	<p><i>Community Involvement</i></p> <p><i>Communication flow is bidirectional</i></p> <p>Forms partnerships with community on each aspect of project from development to solution.</p> <p>Entities form bidirectional communication channels.</p> <p>Outcomes: Partnership building, trust building.</p>	<p><i>Strong Bidirectional Relationship</i></p> <p>Final decision making is at community level.</p> <p>Entities have formed strong partnership structures.</p> <p>Outcomes: Broader health outcomes affecting broader community. Strong bidirectional trust built.</p>

More types of engagement methods and activities, along with their appropriateness for the audience, barriers, and assessment of strengths and weaknesses can be found in this [Community Planning Toolkit](#). The kit also contains a “Process Planner” and many links to further resources.

CRAFTING YOUR ENGAGEMENT PLAN

Define the community(ies) with which you will engage.

What evidence do you have that this is an impacted community willing to engage?

Clarify the purpose of your engagement efforts and establish clear goals and objectives.

Are you including this community in the goal-setting processes?

How are you going to measure the success of and evaluate your engagement efforts?

Establish the method(s) of engagement.

What types of activities will you implement? How do the activities build on one another?

What organizational or management infrastructure is needed to support the activities?

What resources or needed to fully realize the value of engagement? Capacity-building for your community?

Describe the processes and steps involved for each method/activity. Plan for a continuum, not a static plan.

How will you reach your target groups? How will you incentives and sustain involvement?

*Realize that all of this could change! Community engagement is a framework, not an outcome.

EXAMPLE ENGAGEMENT METHODS AND ACTIVITIES

- Displays, signage, posters
- Newsletters, brochures, advertise in subject or audience newspapers, magazines – promote the community members/stakeholders
- Hotline or 1-800 number
- Social Media tools; create an app!
- Public exhibits, surveys & questionnaires
- Community mapping
- Focus groups
- Host a public forum or meeting (considerations!)
- Interviews
- Open house
- Community fairs, festival, events
- Advisory committee
- Incentives

STAKEHOLDER IDENTIFICATION AND ADVOCACY

The potential stakeholders for your project are limited only by the scope of the project and the alignment with the goals of the funder. ORD can help!

Once identified, be strategic in framing messaging for reaching out to the potential partners and be sensitive to cultural and social factors.

The benefits of engagement should be mutual. Partners are not an afterthought or merely a “requirement;” they require a significant long-term commitment to establish and maintain. The relationship doesn’t necessarily end when the project ends.

The communities you engage have a right to act in their own best interests. Limit barriers to participation. Allow community partners to have influence, the ability to “own” the problem, formulate plans and implement strategies, and contribute to assessment of outcomes.

Emergency management
Employee groups
Environmental organizations
Housing authority
Education providers
Public health departments
Utility companies
Veterans associations
Faith-based organizations
Disaster response organizations
Parent organizations
Professional societies
Tribal communities
Health care providers
Volunteer organizations
Elder associations
Social clubs

GUIDING PRINCIPLES FOR COMMUNITY ENGAGEMENT



*Principles of Community
Engagement (CDC, 1997)*

Reciprocity: In a context of relationships and trust, engagement results in value for all. Value will be different depending on the community and relationship.

Meaningful Engagement: May include shared development of research questions, methods of engagement; co-production of knowledge - use and stewardship of data, shared interpretation and application of results,

Flexibility / Willingness to Learn: Building relationships means listening, learning, and adapting approaches throughout. It is important to admit and address mistakes. Approach/communication will likely differ by audience.

Transparency: Engagement involves a commitment to clear, honest conversations about process, ownership, access and motivation.

Respect for Differences: Engagement is built on respect for the different knowledges, experiences, and contexts of individuals and communities within and beyond the partnering institutions.

MORE INFORMATION & SOME EXCELLENT RESOURCES

Some National Science Foundation opportunities with clear Community Engagement Requirements:

[CISE Community Research Infrastructure \(CCRI\)](#)

[Civic Innovation Challenge](#)

[Centers for Innovation and Community Engagement in Solid Earth Geohazards](#)

[Smart and Connected Communities \(S&CC\)](#)

[Penn State College of Agricultural Sciences Engagement Toolbox](#)

[ATSDR Principles of Community Engagement Playbook \(DHHS entity\)](#)

[Partnerships for Environmental Public Health \(NIH\) Evaluation Metrics \(with instructor guide for evaluation planning\)](#)

[Outreach and Engagement Directory – University of British Columbia \(example programs\)](#)

COMMUNITY ENGAGEMENT PLAN SUPPORT AT MSU



The John C. Stennis Institute of Government & Community Development

Everything you need from the courthouse to the classroom

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STENNIS-MONTGOMERY ASSOCIATION RESOURCES

EXECUTIVE DEVELOPMENT INSTITUTE
SEDI 2022 Nominations now open!
The 2022 State Executive Development Institute (SEDI) will take place May 15-20, 2022 on the Mississippi State University campus.
NOMINATE NOW!

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Community Engagement & Outreach News

Community engagement is a key element of Mississippi State University's work, helping forge close bonds with individuals, companies and organizations outside our campus. You'll find the latest news updates related to our

SRDC Southern Rural Development Center
DISCOVERING NEW IDEAS. APPLYING NEW STRATEGIES.

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- About Us staff, board, information
- Around the South

Rachel Welborn Awarded Institute of Higher Learning (IHL) Diversity, Inclusion Award

Recently, the Mississippi Board of Trustees of the State Institutions of Higher Learning celebrated Black History Month by holding its annual Diversity and Inclusion Awards ceremony. The IHL Board of Trustees recognized 10 employees from the state's four-year public universities for their campus and community

SRDC ON TWITTER

Tweets by @so_dev_

Southern Rural

HOME ABOUT US FACULTY COURSES RESEARCH STUDENTS COMMUNITY PARTNERS



Engagement

Students participate in community-engaged learning courses that offer the unique opportunity to meet academic objectives through meaningful community engagement. Dr. Ashley Vancil-Leap's class, Gender, Food and Culture, partnered with Bully's Closet and Pantry, which provides food, professional clothing, and other necessities to students in need.



MANAGEMENT PLANS

- COLLABORATION PLANS
 - MULTIPLE PI LEADERSHIP PLANS
- 

PART I: COLLABORATION PLANS

WHAT IS A COLLABORATION?

Working with someone to produce or create something.

While not all collabs are equal (50/50), in a true collaboration, both partners benefit from the activity.

AN EXAMPLE OF A SUCCESSFUL COLLABORATION:



DIFFERENT TYPES OF COLLABORATIONS

- DISCIPLINARY, MULTIDISCIPLINARY (A TEAM FROM DIFFERENT AREAS THAT WORKS INDEPENDENTLY ON A COMMON PROBLEM), INTERDISCIPLINARY (A TEAM FROM DIFFERENT AREAS THAT WORK TOGETHER ON AN INTEGRATED PLAN)
- PROJECTS WITH NON-ACADEMIC PARTNERS, I.E., INDUSTRIES OR LABORATORIES
- INTERINSTITUTIONAL
- INTERNATIONAL

HOW ARE COLLABORATIONS FUNDED?

- COLLABORATIONS CAN BE FUNDED THROUGH SUBAWARDS OF GRANTS
NSF HAS MULTIPLE WAYS TO SUBMIT COLLABORATIVE PROPOSALS.
- COLLABORATIONS CAN BE SEPARATELY FUNDED PARTS OF A LARGER PROJECT.
MULTIPLE AGENCIES MAY FUND SEPARATE PARTS OF A LARGE RESEARCH PROJECT.
- SERVICE AGREEMENTS
AN AGREEMENT BETWEEN PARTIES THAT PAYS FOR A SPECIFIC SERVICE.
- CONSULTANTS
A FEE CHARGED BY ONE OF THE COLLABORATORS FOR PERFORMING A SPECIFIC TASK.

WHY THE SUDDEN POPULARITY?

- Collaborations allow for solutions or applications that can be applied to multiple areas. Funding agencies like this because it gives them more bang for their buck and increases the success of scientific endeavors.
- Our world is increasingly connected, and getting smaller, and citizens have an expectation that research/scholarship will have some benefit or impact for them.
- They encourage translation from basic research to applied functions.
- Teams typically produce higher-impact work than individuals.

HOW TO FIND COLLABORATORS?

- Networking. Take advantage of every opportunity to meet people in your field and in adjacent fields. Such connections could be **PIVOTAL**, both for learning what other people do and if it could further your research AND for finding opportunities to assist others in their projects!
- Work through your graduate students and postdocs to create strong relationships and future peers.
- Don't hoard your connections! Share and expand your network whenever possible.
- Look to your mentors. Chances are, they're also working on their research portfolios.
- Talk to other people whose work you respect.
- Look outside your community.
- Make opportunities to collaborate into two-way streets.

HOW TO FIND THE *RIGHT* COLLABORATOR?

- Pick people who have demonstrated the ability to work in a team environment.
- Pick people who can get things done; they tend to not ignore deadlines.
- Pick people who can work in a hierarchy.
- Pick a group of people with complementary skills.
You likely won't need three people with the same research expertise.
- Develop a shared vision that all team members can buy into.
You're not just "filling a spot" on the team, you're looking for a diamond.

COLLABORATION



MORE AND MORE, FUNDING AGENCIES ARE ASKING INVESTIGATORS TO SUBMIT COLLABORATION PLANS AS PART OF APPLICATIONS, JUST AS THEY SUBMIT RESEARCH PLANS.

WHILE SIMPLE COLLABORATION PLANS CAN BE BENEFICIAL TO ANY PROJECT THAT INCLUDES TWO OR MORE INVESTIGATORS WORKING TOGETHER, AS THE COLLABORATION GROWS IN SCOPE AND SIZE, THE PLANS MUST BECOME MORE COMPLEX.

WHY ARE THESE PLANS SO IMPORTANT?

More and more, funding agencies are asking investigators to submit collaboration plans as part of applications, just as they submit research plans.

While simple Collaboration Plans can be beneficial to any project that includes two or more investigators working together, as the collaboration grows in scope and size, the plans must become more complex.

Having a formal Collaboration Plan can help investigators plan future activities AND help reviewers assess the team's capacity to execute its scientific objectives.

Collaboration Plans should be a roadmap for:

- the foundation for collaboration
- **implementation and management of the collaboration**
- **evaluation and quality improvement activities specific to the collaborative interactions**
- identification of supports and challenges relevant to the collaboration
- a plan of action to support a smooth collaborative environment.



WHAT TO INCLUDE IN THE PLAN?

The National Science Foundation has requirements on what they wish to see included in Collaboration Plans. Limited to two single-spaced pages, there are five main sections that investigators need to thoroughly address.

While some agencies may call for different justifications, the following NSF plan is quite thorough and a great template to use for developing any collaboration plan. **Like for any research proposal, it's always best to do a thorough reading of the solicitation before determining how to present your case.**

-
1. **Rationale for Team Approach & Team Configuration.** ***Team Approach.** Justify why the proposed scientific questions and goals requires a team approach. **Team Configuration.** Identify how the proposed team composition is necessary to pursue the research goals, i.e., manpower, expertise, etc.).*
 2. **Collaboration Readiness.** ***Individual Collaboration Readiness.** Are the individuals willing to and interested in engaging in collaboration and what is their past experiences with team collaborations? **Team Collaboration Readiness.** How does the “mix” of the team’s collaboration history support or hinder the proposed project. Is there trust? Can you successfully work together? **Institutional Collaboration Readiness.** What resources, infrastructure, and policies does each participating institution have in place to support the collaboration. (Technologies, training opportunities, promotion and tenure policies, research development support).*
 3. **Technological Readiness.** *Document the availability and planned use of tech resources supporting the collaboration, i.e., data sharing agreements, databases, other online platforms, videoconferencing and teleconferencing, calendaring & task management platforms, etc. Will these technologies work between systems? Does the team have the knowledge to use them?*
 4. **Team Functioning.** *Describe plans to carry out the key processes underlying effective team functioning. Is there a plan for generating a shared mission and goals?*
 5. **Budget & Resource Allocation.** *Successful collaborations require investments in training, management, and quality improvement to ensure successful implementation. How does the budget support the activities included in the Collaboration Plan?*

PART 2: MULTIPLE PI LEADERSHIP PLANS

SOME PROPOSALS HAVE MULTIPLE PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS IN ORDER TO ACHIEVE THE PROPOSALS GOALS.

THIS TYPE OF PLAN IS MOST COMMON IN COLLABORATIVE, MULTIDISCIPLINARY RESEARCH PROJECTS.

EACH PI BRINGS A NECESSARY, UNIQUE SKILL TO A PROJECT THAT CANNOT BE ACCOMPLISHED OTHERWISE.




WHAT IS INCLUDED IN THIS TYPE OF PLAN?

- Rationale for using a multiple PI approach. Why is this necessary? How will you organize and execute the project? How will we handle problems?
- Describe the organizational structure. How will activities be divided? What supports does each PI have to rely on?
- Discuss things such as intellectual property and ownership, and conflict resolution.
- Describe how data sharing and communication will occur between the PIs, how publications can be collaborative, or contingency plans in case one PI changes institutions, and procedures for allocating resources.


WHAT ARE REVIEWERS LOOKING FOR?

- Solid, scientific answers to why multiple PIs are needed. Make them understand that the research requires distinct and complementary expertise.
- Describe why the specific aims/objectives cannot otherwise be completed.
- A clear and delineated description of each PIs respective roles and responsibilities. It is unrealistic to say simply that the PIs will share responsibilities equally.
- Reviewers will look at things like time commitment and resource allocation to determine whether they are appropriate. Consider these items and discuss with your partner.
- Be sure to name the PI who will serve as the main contact. That person must be affiliated with the submitting institution and will coordinate communications among all PIs and complete progress reports.




For inter-institutional collaboration and leadership plans, the same information applies, just on a slightly larger scale.

But instead of describing these items as related to an individual, you describe them from an institutional aspect.



HANDY DANDY RESOURCES

- [MSU CONVERGENCE & TEAM SCIENCE](#)
 - [HOW TO WRITE A COLLABORATION PLAN](#)
 - [NIH TIPS FOR WRITING A STRONG MULTIPLE PI LEADERSHIP PLAN](#)
 - [PIVOT \(FOR FINDING COLLABORATORS\)](#)
- 

TO WRAP UP...FOR THESE COMPONENTS, CONSIDER...

- What are you being asked to demonstrate?
- Are you specific and thorough?
- Have you maximized your resources?

- Call on ORD if we can help!
 - Blair@ord.msstate.edu
 - Carmen@ord.msstate.edu
 - Stephanie@ord.msstate.edu