



Proposal Budget Development

Presenter: Denise Y. Wynn, MBA, CRA
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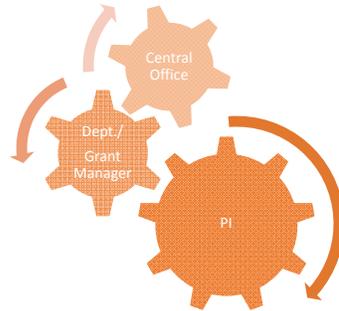
Objectives

- Walk participants through proposal budget development
- Address concepts of what makes a "good" budget
- Practical advice for identifying budget components and how to assemble them.
- Application and calculation of Facilities and Administration costs
- Cost sharing, Salary caps, Subcontracts, Participant support costs, Fabrication costs, and Consultants.

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Working Together



PI, Department/Grant Manager, and Central Office all work together for the success of the proposal submission.

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Role of PI during Proposal Development

- Determine which opportunity to apply for
- Develop and write the project description and other scientific-based sections
- Communicate budget and other project needs to grant manager
- Upload project description and other documents into Internal Grant Tracking System (examples: RAMSeS, SPS, Kauli)

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Role of Department during Proposal Development

- Facilitate and assist PI with proposal preparation, which may include:
 - Finding funding opportunities
 - Updating Biographical Sketch or Other Support
 - Completing Budget and/or Budget Justification
- Communicate and ensure correct formatting and other requirements
- Be sure that all proposal elements are completed according to announcement requirements
- Ensure the completed proposal is submitted 5 business days PRIOR to the deadline to the Central Office

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Role of Central Office

- Ensures that submissions meet requirements of announcement, as well as regulations and university policies
- Check all proposals for correct formatting, submission requirements, appropriate internal approvals (RAMSeS), etc.
- Communicate with grant manager/dept. regarding the successful submission of proposals, including answering dept. questions

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Proposal Preparation Tips

- Always print the full announcement
- Highlight details regarding deadlines, limitations, exceptions, inclusions, exclusions, submission type
- Use tabs to mark where you can find detailed information (i.e., budget, deadline, formatting)
- Maintain proactive communication with PI
- Ask clarifying questions to PI and Central Office when needed
- Plan timeline according to deadline

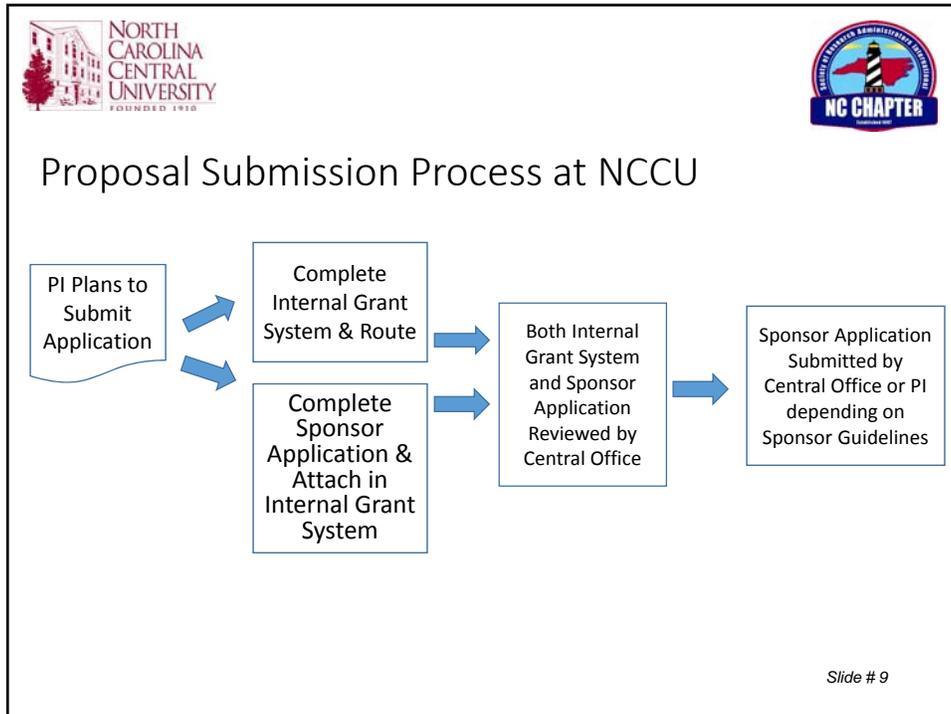
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Proposal Preparation Tips

- Refer to sponsor proposal guidelines
- Review sponsor FAQ's for common mistakes and warnings
- Maintain organization of both electronic and paper documents
- Attention to detail!
- Every announcement is unique; handle each and every one with care

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Pre-Award Basics

- **Types of Principal Investigators**
 - **Principal Investigator/Project Director**
 - Referred to as PI/PD
 - Directs the technical and administrative work of a sponsored project
 - **Co-Principal Investigators/Co-Investigator**
 - Referred to as Co-PI/Co-I
 - Collaborates with the Principal Investigator (PI) in the execution of the sponsored project
 - NIH does not recognize Co-PI title; Only the PD/PI role is recognized by NIH as the correct designation for all PIs on a multiple-PD/PI application.
 - *Co-PD/PI or Co-Investigator roles hold no special meaning within NIH and should never be used with a multiple-PD/PI application.*
 - NSF's limits for Co-PI varies by solicitation.

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Pre-Award Basics

- **Types of Principal Investigators**
 - **Subrecipient Principal Investigator**
 - Primary contact and collaborates with the Principal Investigator (PI) of the primary in the execution of the research project at the collaborating institution
 - **Multiple Principal Investigators/Project Directors**
 - NIH – needs Contact PI, Multiple PI Leadership Plan
 - Research plan must describe leadership plan
 - Rationale for choosing multiple PI approach
 - Describe governance, organizational structure of leadership team, the research, communication plan, etc
 - NSF – one lead PI, with “linked” proposals having an PI for each collaborating institution

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Pre-Award Basics

- **Types of Proposals**
 - **Full Proposals**
 - **New Submission**
 - Proposal is submitted to the sponsor for the first time
 - **Competitive Renewal**
 - Submit a proposal after first multi-year block of funding and must compete with other proposals to be awarded another multi-year block of funding
 - **Non-Competitive Renewal/Continuation**
 - Submit progress report and/or other documents to receive next year of funding, though it is expected that entire project will be supported
 - Requirements are agency specific

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Pre-Award Basics

- Types of Proposals
 - Supplement
 - Additional funding for an already awarded project; proposal must be submitted
 - Subrecipient/Subaward Proposal
 - Submission is same as a full proposal
 - Proposal submission in which NCCU is the subrecipient

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Pre-Award Basics

- Other Types of Proposal
 - Collaborative or linked proposals - Applications are submitted collaboratively the applications are associated and reviewed as a single project. If selected for funding, each application will receive a separate award to fund the collaborative project.
 - The awards may be linked together through special terms and conditions.
 - This may also apply when a single consolidated application is submitted involving multiple components that ultimately receive separate, but linked awards.
 - Resubmissions - An application that has been previously submitted, but was not funded, and is being submitted for new consideration.
 - Transfers/Relinquishment - Principal Investigator/Project Director transfers to new institution the original institution relinquishes the award to the agency and the funding agency issues a new award to the new institution

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Pre-Award Basics

- Abstract
 - A brief synopsis of the proposed project that should include the purpose, goals, research design, methods and significance.
- Authorized Institutional Official(s)
 - Individual(s) authorized by North Carolina Central University to sign proposals, contracts and/or subrecipient agreements on behalf of the University.
- Authorized Signature
 - The signature of an authorized institutional official, which certifies that commitments made on proposals, contracts and subrecipient agreements can be honored and ensures that all sponsored agreements conform to federal regulations, sponsor guidelines, and applicable institutional policies.
- Budget
 - The detailed summary of estimated project costs to support work under a grant, contract or cooperative agreement. In some cases a budget is the amount of spending authority awarded by a sponsor that the institution may collect.

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Pre-Award Basics

- Budget Period
 - The period established in the award document during which funding is allocated to begin and end.
- Consortium
 - A consortium is two or more institutions (subrecipients) working on the same research project, either of which are funded directly by the sponsor or one prime institution is funded and then contracts the funds to the other members of the consortium.
- Key Personnel
 - Individuals who contribute in a substantive way to the scientific development or execution of the project, whether or not salaries are requested. Typically, key personnel have a Ph.D. or M.D., but may also include the master's or baccalaureate level, and can be consultants and collaborators provided they contribute in a substantive way to the research.

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Pre-Award Basics

- Letter of Intent
 - A letter of intent advises a sponsor that a proposal will be submitted in response to their solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.
- Peer Review
 - A process utilized by some federal and private sponsors, whereby committees of research investigators in the same area of research or with the necessary expertise (from other institutions) review and recommend applications to the sponsor.
- Project Period
 - The period established in the award document during which sponsorship begins and ends.
- Proposal
 - A written document (usually prepared and submitted according to specific guidelines) that describes the work to be performed, the benefits of the work, and the expected outcome.

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Pre-Award Basics

- Proposal Budget
 - An estimate of costs presumed to be incurred in the performance of a given statement of work. (*also see Budget*)
- Statement of Work
 - A detailed description of the expectation(s) of the sponsor for the work performed by the awardee. The description may include the purpose or objective(s) of the work to be performed, an explanation of the work to be performed inclusive of special personnel, supplies, material, equipment or travel needed, a timetable or schedule of the work to be performed, a specification of how the work's progress or results are measured, and/or identification of any deliverables such as reports, products, or expected outcomes.
- Term
 - The time period of an agreement (i.e. the start and end dates). (*also see Project Period*)

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Components of a Proposal

- Requirements vary by agency, submission type and funding opportunity
- Always refer to the announcement for required proposal elements
- Non-federal sponsors, such as foundations, may *not* have specific forms

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Components of a Proposal

- Letter of Intent
- Face Page/Cover Sheet
- Project Summary/Abstract
- Table of Contents
- Project Description
- Biographical Sketch/Vitae
- Budget
- Budget Justification
- Current and Pending Support
- Subcontract/Consortium
- Appendices

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Letter of Intent

- Letter to sponsor communicating your intent to apply
- Not always required
- May be due prior to deadline of full proposal

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Face Page/Cover Sheet

- A cover page that contains all the basic information about the project, like PI name, institution, project title, start/end dates, EIN, submission type, etc.
- Many eRA systems generate cover pages from the uploaded data
 - Examples: Grants.gov and FastLane

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Project Summary/Abstract

- Generally no more than one page describing the proposed activity
- Should include long-term objectives and broader impacts
- Audience/reader will understand scientific and technical terminology

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Table of Contents

- Typically, this is not something you will actually create, unless specifically asked for or is a non-federal submission
- Automatically generated by Grants.gov when application package is submitted

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Project Description

- Also called Statement of Work
- Should include aims/objectives, background and significance of project, preliminary studies, contribution to the field, research design and methodology
- Usually a page limit (agency specific)

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Biographical Sketch

- Generally required for all key/senior personnel
- Includes details regarding the PIs education, professional experience, publications and general expertise
- Some agencies require use of a specific form
- May have page limitation

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Resources & Facilities

- Identify the facilities to be used (laboratory, clinical, animal, computer, office, other). Describe only those resources that are directly applicable to the proposed work
- Provide a description of how the scientific environment will contribute to the probability of success of the project

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Budget

- Amount requested that is necessary for completing the project
- Can be modular or detailed, depending on agency, opportunity and/or funding level
- Look out for budget limitations, such as F&A cap, travel requirements, participant support, etc.

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Budget Justification

- Narrative explanation of the need for items included in the budget
- Must provide adequate justification for why you need personnel and items in budget for successful completion of project

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Current and Pending Support

- Details regarding other externally funded awards the PI has received or is pending
- Assists the sponsor in determining if the PI has necessary time available to commit to the project being applied to

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Subrecipient/Consortium

- Included in the proposal if another organization will contribute to the scholarly design, conduct and reporting of the project
 - NCCU receives prime award and proposes to subcontract a portion of the work to another organization
 - Award terms and conditions flows through NCCU first and then down to the subrecipient organization

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Subrecipient/Consortium

- Subrecipients in the proposal are required to submit a mini-proposal to NCCU and must be reviewed and authorized by the subrecipient organization.
- A subrecipient package should include:
 1. Letter of Intent
 2. Statement of work
 3. Budget
 4. Budget Justification

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Appendices

- Other required documents that are required by the opportunity
- Read the announcement and the agency proposal guidelines regarding what is allowed to be included as an appendix

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Submission: Institutional Considerations

- Who needs access to RAMSeS?
 - Contact Central Office to obtain access
- Is it an “institutionally limited opportunity”?
 - Contact Central Office
- What are my internal deadlines for routing and approvals?
 - Due to Central Office 5 business days prior to sponsor deadline

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Questions???

Contact Information:

Denise Wynn, North Carolina Central University

Dwynn3@nccu.edu