

Life Cycle of the Award Series

Proposal Development



© National Council of University Research Administrators | www.ncura.edu

Session Leaders

Panel

Stephanie Gray

Assistant Vice President
University of Florida

David Smelser

Assistant Director of Sponsored
Programs University of Tennessee

Sandy Sward

Director, Pre-award Services
Montana State University

Moderator

Samantha Westcott

Manager, Sponsored Projects
Children's Hospital Los Angeles



© National Council of University Research Administrators | www.ncura.edu

Segment Two

BUDGET AND JUSTIFICATION PREPARATION



© National Council of University Research Administrators | www.ncura.edu

Topics

- WHO
- WHAT
- WHEN
- WHERE
- WHY
- HOW
- Cost Indicators in Proposal
- Formatting Notes
- Recommendations to the PI and Team



© National Council of University Research Administrators | www.ncura.edu

WHO: The Greatest Cost is Personnel

- Salaries – Who is paying matters
 - Federal
 - Non-Federal
 - Appointments
 - Promotions and Increases
 - Benefits
 - Tuition
- Collaborators



© National Council of University Research Administrators | www.ncura.edu

Cost Sharing

- Be aware of voluntary, uncommitted cost sharing
- Be mindful of how those costs are documented (not necessarily in the proposal)
- To quantify or not?
- Budget shortfalls – where do they fall?



© National Council of University Research Administrators | www.ncura.edu

WHAT: What's it going to take?

- Equipment
 - Capitalized
 - Installed
 - Maintained
- Travel
 - Foreign
 - Domestic
 - Per Diem
- Other Direct Costs
 - Supplies
 - Computers and Electronics
 - Service Centers or Cores
 - Outside Vendors
 - Shipping
 - Publications



© National Council of University Research Administrators | www.ncura.edu

WHEN: Across the Years

Ideally

- Budget is a reflection of the Scope of Work
- Spending progresses as planned
- Carryover or pre-award spending is minimal
- Project ends on time with no cost overruns

Reality

- Budget is a reflection of the funding limitations
- Spending fluctuates
- Large carryover balances or pre-award spending occurs
- Project runs out of funding or requires a no cost extension due to project challenges



© National Council of University Research Administrators | www.ncura.edu

WHERE: Location, Location, Location

Institution

- On Campus
 - Space: New or expanded?
 - Renovations?
- Off Campus
 - Rent
 - Portion or all research activity located off campus?
 - F&A allocation by research activity allocation



© National Council of University Research Administrators | www.ncura.edu

WHERE: Off-Campus Case Study

Scenario

- Dr. Jones will be researching the impact ocean temperature has on extreme weather events.
- Approximately 70% of the research team's time will be spent at sea collecting samples and conducting field experiments and all the supplies purchased on the grant will be used in the field.
- The remaining 30% of the team's time will be spent in the lab developing simulation models to predict future events (no supplies required).



© National Council of University Research Administrators | www.ncura.edu

WHERE: Location, Location, Location

Third Party Involvement: Subaward, Consultant or Vendor

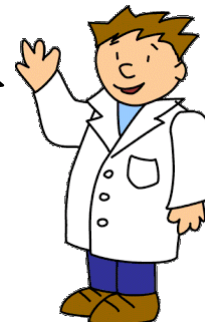
- Subawardee - work in collaboration to perform substantive portion of scope
- Vendor - perform defined services or provide goods
- Consultant - expertise on highly specialized or technical area not responsible for overall outcomes
- Each subawardee must submit a proposal to the institution:
 - Scope of Work
 - **Budget and Justification**
 - Compliance Requirements
 - Supporting Documents
 - Institutional Signoff



© National Council of University Research Administrators | www.ncura.edu

WHY: Tell the Story in the Justification

Dr. X, Principal Investigator, (3.0 Calendar Months). Dr. X is a world-recognized leader in the field of Dr. X will be responsible for the overall coordination and supervision of all aspects of this study. This includes hiring, training, supervising, coordinating assessment, reporting, and data management.



© National Council of University Research Administrators | www.ncura.edu

WHY: Tell the Story in the Justification

EQUIPMENT

Funds are requested to purchase three IR Pump Diode lasers (\$5,600 each). These lasers will be used to perform the experiments outlined in Specific Aims 1 and 3 as they provide the necessary strength and precision for the experiments.



© National Council of University Research Administrators | www.ncura.edu

WHY: Tell the Story in the Justification

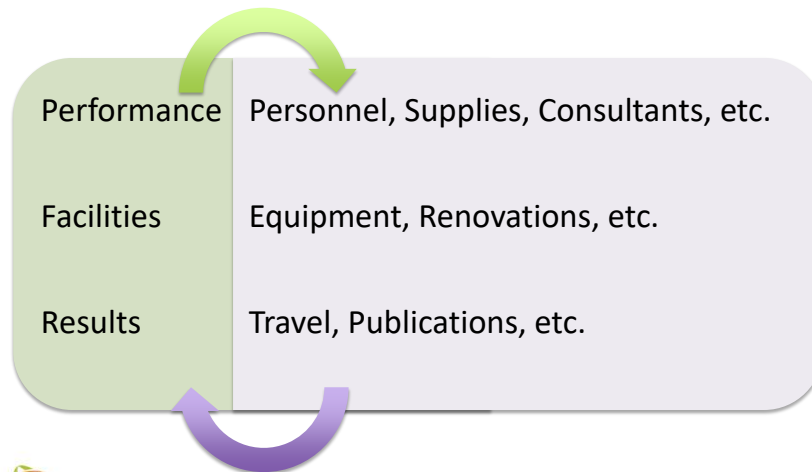
Travel

Funds are requested for travel to professional conferences (such as SRA or CDC) to present findings from this investigation.



© National Council of University Research Administrators | www.ncura.edu

HOW: The Budget is the Financial Projection of the Scope of Work



HOW: Preparing for Success

- Best predictor of future performance is past performance
- Do not assume that all costs are covered
- Address each cost or resource
- Take the opportunity of the new proposal to mend bad habits

Costs Indicators in the Proposal

- Abstract
- Specific Aims
- Preliminary Data
- Facilities
- Equipment
- Resources
- Biosketches
- Consortium/Collaborators



© National Council of University Research Administrators | www.ncura.edu

Formatting Notes

- Align the budget and the justification together (in the same order)
- Make it easier for reviewers to assess the proposal



© National Council of University Research Administrators | www.ncura.edu

Recommendations to the PI and Team

- Outline the entire scope of work early in the process
- Draft a budget off the SOW outline
- Assess the SOW and Budget against the Proposal Guidance
- Any change in the budget must be driven and tied to a change in the SOW
- Ensure proper calculation of all costs
- All proposals must be fully-costed, including identifying cost sharing – voluntary or mandatory



© National Council of University Research Administrators | www.ncura.edu