

FUNDamentals of the Proposal Submission Process

SUCCESS



Small Group Discussion

ICE BREAKER ACTIVITY

Groups:

- Group 1
 - Andi Schwingel
 - Heidi Krahling
 - Jason Jones
 - Pat Malik
 - Bill Stewart
 - Steve Notaro
 - Shveta Malhotra
- Group 2
 - Flavia Andrade
 - Tina Rolf
 - Kim Collins
 - Tracy Baynard
 - Wojtek Chodzko-Zajko
 - Jake Sosnoff
- Group 3
 - Angela Black
 - Dawn Trussell
 - Susann Sears
 - Pam Hadley
 - Pritesh Pandya
 - Bill Goodman

QUESTIONS:

- When should a proposal be submitted to the college for processing?
- How many copies of the transmittal form are required by the college?
- Who should sign the transmittal forms?
- When is the indirect cost rate not 58.5%?
- Indirect costs are not charged on what?

Budget Development

APPLIED HEATH SCIENCES Budget Requirements

- All grants are required to have a percentage of effort associated with the PI.
- All individuals working on the project should be reflected in the budget.
- The department heads have agreed to included tech support in all proposals.
- The college grant template should be utilized try to ensure budget accuracy. Please contact Julie for the most up to date template. Or forward information that you would like to have included in the budget.

Budget Development Questions:

- What is the funding limit?
- Are there items that are considered unallowable charges ie. supplies, tuition, travel, etc.?
- Is there a limit on indirect costs that can be applied?
- Does the RFP require matching funds (cost-share)?

Allowable Costs

- Salary: should include a percentage of academic year effort as well as summer if needed. Please remember when requesting three month of summer support it must be approved by the department head as well as the dean at the time of budget development.
- When requesting a percentage of your time to be cost-shared this too has to be approved by the department head as well as the dean.

Allowable costs continued

- Research Supplies
- Equipment
- Consultants/Subcontracts
- Travel
- Tuition Remission (Not allowable on State of Illinois grants)

Indirect Costs

- On Campus Organized Research 58.5%
- Off Campus Organized Research 24%
- Instruction on Campus 48.2%
- Instruction off Campus 24%
- Other Sponsored Activities on Campus 25.3%
- Other Sponsored Activities off Campus 18.7%
- State of Illinois 10%
- Exceptions (RWJ, USDA, ACSM, AAHPERD, etc)

Indirect Costs Cont.

- Proposals are to use the approved rates except when:
 - The sponsor is a governmental agency or not-for-profit entity that formally limits the amount it provides for indirect cost reimbursement. (Provide the sponsor policy when the proposal is submitted to OSPRA); or
 - The sponsor does not have an explicit policy limiting Indirect Cost, but the College has obtained the approval of the Vice Chancellor for Research for a reduction in the IDC rate.

Budget Justifications

Budget Justifications are Important Because.....

- Reviewers look for reasonable costs and will judge whether your request is justified by the specific aims and methods.
- Reviewers look at the percent effort listed for each individual and judge whether figures are in sync with the expectations of the proposed project.
- Make sure to detail out supply list and how the supplies will directly benefit the project. Please keep in mind that if computers are requested they must be used for the project only.
- Provide details of why travel is required.

Budget Headings

- Personnel
- Equipment (exceeding \$5,000)
- Travel
- Other Direct Costs
 - Material and Supplies
 - Publication Costs
 - Consultant Services
 - ADP/Computer Services
 - Subawards
 - Equipment or Facility Rental/User Fees
 - Alterations and Renovations
 - Human Subject Costs
 - Tuition Remission
- Indirect Costs

Sample Information for Personnel Justification

- PI: Dr. Elwood Blues 15% effort (1.35 calendar months)
- Expertise: 20 years developing the system for bacteria, fungi and viruses (No longer included in the budget justification for NIH grants. This information is included in the biosketch).
- Roles: Design the pharmacodynamic and Pharmacokinetic studies, perform all statistical analysis and involved in all aspects of discussions related to planning experiments, and writing reports and manuscripts.

4 Guidelines to Effective Personnel Justification Writing

- Bold the name and degree of those listed under personnel.
- State role on the project and in () amount of time committed.
- Include expertise in the field for which is necessary for this particular proposal.
- State what the individual will be responsible for on the project.

Which is the better justification?

- Dr. Blues, will work on the project at 15% of his time, will be responsible for the overall administration and direction of the project. He will supervise all experimental procedures, train and direct technical staff, complete statistical analysis and prepare peer-reviewed publications. The moderate teaching and administrative demands required by the departments allows for a substantial research effort.

-OR-

- **Blues, Elwood, Ph.D., Principal Investigator (1.35 Calendar Months)** Dr. Blues is the Co-Director of the Blues Institute. As PI on the project, Dr. Blues will direct all facets of the proposed research. In addition he will design the sunglasses and sunglass studies, perform all statistical analysis required for the various aspects of the study, and be involved in all for the discussions related to planning experiments, writing reports and manuscripts. He will be on of the two scientists who will participate in meetings with NIH program managers.

Standard Justification for Benefits

- Fringe benefits are applied in accordance with the UIUC FY 2011 benefit rates. Rates for the senior personnel, graduate and hourly students are 35.59%, 6.36% and 7.79% respectively.

Equipment over \$5,000

- Name item required and cost associated (sample below)
 - Ultra-Low Freezer and Rack System: Due to the volume of clinical specimens that must be processed in batch, funds are requested for dedicated freezers to the project (2@ \$14,000 = \$28,000).
 - Keep mind some agencies require a quote to be attached as well.

7 Key things to Include in Travel Justifications

- Number of Trips
- Where you are traveling
- Who is going (PI, COI, GA etc)
- Per diem for meals, incidentals and lodging
- Duration of trip
- Airfare “estimate”

Travel Justification

- From OSPRA Presentation
 - Domestic: Funds for two trips per year to Gettysburg, PA to conduct fieldwork are requested for the PI and Co-PI. Per diem for meals incidentals and lodging is **\$160** per day, in accordance with current UIUC policy. The estimated duration of the trip is five days. Airfare is estimated at \$400 each.
 - Foreign: Funds for one trip per year is requested for the PI to attend a collaborative meeting in Amsterdam, the Netherlands. Per diem for meals, incidentals and lodging is **\$250** per day in accordance with current UIUC policy. Transportation to and from the airport is estimated to be \$50/trip. Airfare is estimated at \$800.

Standard Justification Tuition Remission

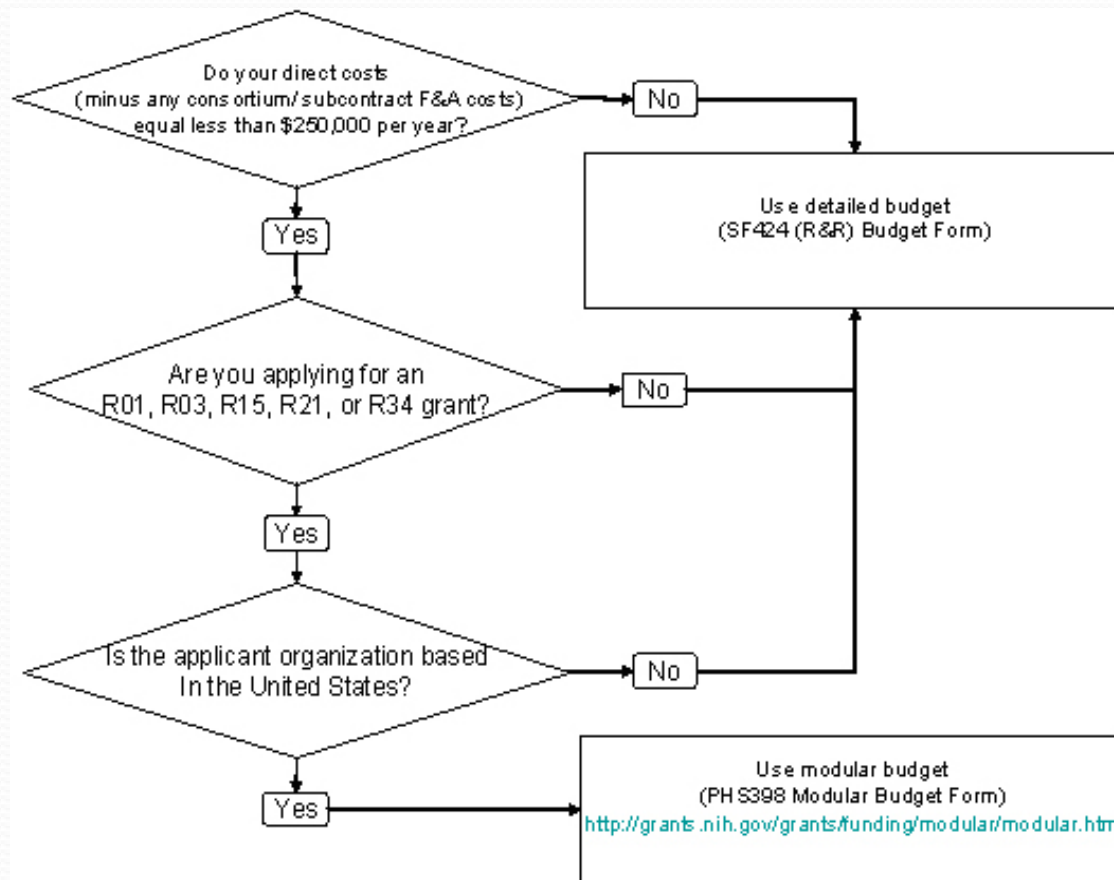
- Would go under heading of **other direct costs**
 - Tuition remission (56% of graduate student salary) is included. This rate has been negotiated with the Office of Naval Research.

Standard Justification for Indirect Costs

- Facilities and Administrative (F&A) Costs are negotiated with the Office of Naval Research and sponsored research is calculated at 58.5% of Modified Total Direct Costs (MTDC). MTDC includes Total Direct Costs less equipment >\$5,000, tuition, subaward costs over \$25,000 and lease expense.

NIH Justification Types

- Modular VS Detail



NIH Suggestions for Writing Budget Justifications

- <http://deainfo.nci.gov/extra/extdocs/gntapp.htm#12>
 - Be realistic: Both “padding” and deliberately under budgeting reflect naiveté, which will be recognized by reviewers.
 - Provide brief descriptions of duties for all positions listed in the budget, with the number of person months requested each year and any anticipated fluctuations. Special skills or accomplishments of a designated person may be included if not discussed elsewhere.

Continued....

- If possible, try to identify specific individuals for each position requested. “To be named” personnel are very often deleted by reviewers.
- For modular budgets, a detailed budget is not required for supplies, equipment and travel costs.
- For non-modular budgets, justify all equipment purchases. The proposed acquisition of major pieces of equipment is likely to be scrutinized very carefully. Details are important especially for non-project specific equipment. Keep in mind that computers etc under \$5,000 are under supplies. The computers, etc. must be used for project specific purposes and be well justified.

Continued....

- For non-modular budgets, break out supply costs into major categories (regents, disposables, etc.), consultants, services and travel. Provide specific justification for any unusual expenses requested.
- Explain any year-to-year fluctuation in the budget, included the level of effort of personnel, especially if they cannot be attributed to routine salary increases. Changes should parallel the research plan and project aims.
- Use campus indirect cost rates (UIUC has standard language that can be utilized)

Continued....

- Be complete, but concise. There generally are not page limits for this section.
- Provide adequate justification for the need to use outside consultants if applicable.
- Prorate service contracts to percentage of time equipment is used for the project.

Proposal Forms & Routing Procedures

Agency Forms

- Please send the Request for Proposal (RFP) to my attention as soon as interested in applying.
- Forms will be filled out and sent back as application allows.
- The budget sheet will also be filled out and sent back.
- If it is an electronic application I will fill out the forms and upload proposal attachments.
 - Please send all proposal attachments in one email once complete.

So your thinking about submitting a proposal what steps are needed?

- When is the proposal due?
 - If it is an electronic submission...
 - It is due at least 10 business days before the due date to the college.
 - If it is a paper submission..
 - It is due at least 7 business days before the due date to the college.

Transmittal Form

- 2 original copies of the transmittal form are required.
- The transmittal form should include signatures from the following:
 - PI
 - Co-I
 - Department Heads
 - Colleges if required (AHS requires)
 - International Affairs (When international involvement)
 - Graduate college signature (When has a fellowship component or student research)

Groups

Based on presentation formulate at least 3 questions
the group still has.

Whole Group Discussion