



PRE-AWARD NUTS & BOLTS

**What happens after you
Submit a Notice of intent ?**



Today's agenda:

- The Notice of Intent
- Developing a Budget
- Proposal Review and Endorsement – the PREF
- Electronic Submission Systems
- Subrecipients - Having one or being one
- Financial Conflict of Interest



What is a Notice of Intent or NOI?

- The proposal writer's first step in the process of submitting a proposal at UNC.
- A web-based form that when completed and submitted, automatically sends data to all members of the OSP staff.



Find it in QuickLinks on the OSP website:

www.unco.edu/osp

It provides information that helps us schedule time and prepare to work with you on your proposal submission.

- Identifies PI and Co-PIs - are they eligible?
- Submission date - is there time?
- Budget amount & project dates – multiple years?
- Prime / Subrecipient / Subcontracts - other institutions involved?
- Other personnel & students – complexity?



Developing Your Budget

The Budget Reflects the Costs of Items and Activities ***Described in the Project Narrative***

- If an item is not described and justified in the narrative, it should not appear in the budget.
- If an item is listed in the narrative, it should show up in the budget.



- The budget should include brief explanations of each item (cost basis for salary, etc.).
- The budget should include the cost per item and the number to be purchased.
- If allowed, the budget justification provides a full explanation of the items included in the budget.



- Budget Categories

- Direct Costs

- Personnel
 - Fringe benefits
 - Equipment
 - Supplies
 - Travel
 - Consultants/Subawards

- Indirect Costs

- Facilities & Administrative Costs
 - Not itemized: a percentage of Direct Costs



Personnel

- What expertise do you need to do the work?
- Who's going to do the work?
 - Within the institution
 - Outside of the institution
- How long will it take to do the work?



Travel

- Where is the work going to be done?
- How is the work going to be disseminated?



Participants (when applicable)

- Who are you studying?
- What program are you offering to whom?
- What compensation is needed to get people to participate in the study or program?



Other Costs

- Materials and Supplies
- Publication costs/dissemination
- Consultant Services
- Computer Services
- Subawards
- Other
 - Tuition
 - Data archiving



Indirect Costs (IDCs or F&A)

- UNC's federally negotiated on-campus rates
 - Current rate: on campus 36.5%
 - July 1, 2016 thru June 30, 2017: 37.0%
 - July 1, 2017 thru June 30, 2019: 38.0%
- Off-campus rate: 16.0%



- **On-Campus or Off-Campus IDC Rate?**
 - The on-campus IDC rate is to be used unless more than 50% of the project activities occur in facilities or at locations that are not owned by UNC, in which case the off-campus rate should be used for the entire project.



- **MTDC – Modified Total Direct Costs**

- IDC rates are applied to a project's *modified total direct costs*. MTDCs include the following:

- Salaries and wages
 - Fringe benefits
 - Materials & supplies
 - Services
 - Travel
 - The first \$25,000 of each subaward



- Costs that are *excluded* from the MTDC base (and thus not assessed IDC costs) are:
- Equipment
 - Capital Expenditures
 - Patient Care
 - Tuition Remission
 - Rental Costs
 - Scholarships and Fellowships
 - Subawards in Excess of \$25,000



- Example budget – one year project

- Personnel

- PI 2 months summer salary \$12,000

- 2 grad students 2 mos summer @\$15/hr \$9,600

- Fringe (28.6% for PI) \$3,432

- Equipment (deluxe widget analyzer) \$5,000

- Supplies (solvents, glassware, etc.) \$2,000

- Travel (conference to present, PI & students) \$1,000

- Total direct costs \$33,032

- *MTDC (total direct costs minus equipment)* \$28,032

- Indirect costs (36.5% of MTDC) \$10,232

- **Total Request** **\$43,264**



- Fixed budget proposals
 - Some funding programs have a maximum budget
 - At the full IDC rate, how much can I budget for a project with a maximum of \$50,000?
 - $B = T \div (1 + \text{IDC rate})$
 - $B = \$50,000 \div (1.365)$
 $= \$36,630$
 - Check:
 - $\$36,630 \times 36.5\% = \$13,370$
 - $\$36,630 + \$13,370 = \$50,000$



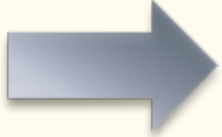
- Some funding agencies limit the IDC rate
 - e.g. Dept. of Ed. training grants IDC rate = 8.0%
- PIs may not use lower IDC rates without permission
 - Request for reduced or waived F&A on a sponsored project:

http://www.unco.edu/osp/doc/reduced_fa.pdf



The PREF (Proposal Review and Endorsement Form)

- The PREF is the internal review form used by a principal investigator or project director (PI/PD) to obtain the required approvals for submitting a proposal.
- Your Grant & Contract Administrator creates a PREF for your proposal, and works with you to complete the necessary information as your proposal is developed.



- Once the proposal is finalized and the PREF completed, the PI/PD is responsible for routing the PREF to obtain signatures from Co-PIs, directors/chairs, and deans/vice presidents.
- The final approval for submission is granted by university level signature – the AVP for Research, Associate Director of Sponsored Programs, Provost, or President.



Some Federal Electronic Submission Systems

National Science Foundation (NSF)	<u>FastLane</u>
National Institutes of Health (NIH)	<u>Grants.gov</u> <u>eRA Commons</u>
Department of Education Health Resources and Services Administration (HRSA)	<u>Grants.gov</u>
National Aeronautics and Space Administration	<u>INSPIRES</u>



Subrecipients

When UNC receives a grant, but a collaborator at another institution will be conducting part of the work, we use a subcontract as the mechanism to pass some of the grant funding to the other institution.

In this case, UNC is the **Prime recipient** (sometimes referred to as the pass through entity) and the other institution is our **Subrecipient**.



Including subrecipients requires additional time.

- A scope of work
- A line item budget
- Certification of Financial Conflict of Interest
- Completed Risk Analysis Form

All must be submitted to OSP by an “authorized representative” of the subrecipient institution.

All must be received before your proposal including the subrecipient is submitted to the funding agency.



Subrecipients – what if you are one?

The opposite can also be possible – another institution receives a grant and passes through some of the funding to UNC, because you are going to conduct a part of the work.

UNC is then the **Subrecipient**, and the other institution is the **Prime Recipient** (or pass through entity).



- During proposal development, this is treated just like any other proposal.
- The other institution is your **Sponsor**.
- Your scope of work, budget, and any other documents required by the other institution must go through UNC's review and approval process and must be submitted by OSP.



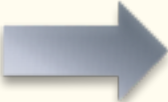
Financial Conflict of Interest Disclosures (FCOI)

Before we submit a proposal, we must receive a disclosure of significant financial interests from every investigator on the project.

- Investigator = any person, regardless of title, who plans, conducts, or reports the work of the project.

This includes *students* and *subrecipient investigators*.



- Significant financial interests are defined in UNC FCOI Policy. 
- By signing the FCOI Disclosure form, you are certifying that you have read that policy.
- The PI/PD is responsible for seeing that any personnel added to a project after proposal submission also submit FCOI Disclosures.



Those are some of
the Pre-Award Nuts & Bolts

Questions?
Comments?



Thank you for joining us today.

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