The ABCs of PRE-AWARD
Where to find Funding Opportunities:

- grants.gov
- NIH Funding Opportunities and Notices
- NSF Directorites
- COS/PIVOT (contact Hillary Corbett, University Library, for training schedule)
- Fed Biz Opps
- Agency/Sponsor websites
Formal Proposal

- Put together according to guidelines established by sponsor
- **Always** use forms and format required by sponsor
Formal Proposal

The Usual Sections:

- Title/Cover Page with appropriate signatures
- Abstract (less than one page)
- Statement of Work – The “Science”
- Key Personnel Bio Sketch/CVs
- Detailed Budget with Justification
- Facilities/Resources Statement
- Appendices (as needed; as allowable by sponsor)
Formal Proposals

Parts:

- Scientific/Program Description
- Representations and Certifications
- Budget
Formal Proposal

Administrative Sections – The Reps. & Certs.

- Certifications may be incorporated into the proposal, i.e., NIH and NSF
- Or can separate documents submitted with the proposal or prior to award, i.e., Defense Agencies, DED, EPA, etc.
- May also need “Certification Regarding Lobbying” and “Disclosure of Lobbying Activities”
Budget Development

- Include both direct and F&A costs
- Should be detailed
- Include only allowable costs
- If required, include matching or cost-sharing (if cost-sharing is proposed it should be proportional between direct and F&A – if allowed)
- Provide detailed Justification which ties proposed costs to the research or project
Budget Development

Direct Costs:
Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity; or that can be directly assigned to such activities relatively easily with a high degree of accuracy.

Examples of Direct Costs:
- Salary of Researcher (+ FB); Laboratory Supplies
Facilities and Administrative (F&A) Costs
Costs that are incurred for common or joint objectives, and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity.

Examples of F&A Costs:
- Salary of Department Administrator;
- Building utility and maintenance costs;
- Purchasing, Controllers’ offices.
Budget Development

- Elements of Direct Costs:
  - Salaries and Wages
  - Fringe Benefits (FB)
  - Equipment
  - Expendable Supplies and Materials
  - Travel
  - Subcontracts
  - Consultants
  - Other
Budget Development

- Salaries and Wages
  Institutional Policy on Academic Year Salary Recovery
  Summer Salary
  Postdocs
  Undergraduate & Graduate Students
  Technical/Professional Staff
  Use Percent of Effort, Not Hourly Wage
  Include Increases for annual and Merit-based raises
  Follow institutional policies on FB
Budget Development

- **Equipment**
  Note the differences between the sponsor’s equipment definitions/thresholds and NU’s
  General purpose equipment is not allowable as a direct cost unless programmatically necessary and used exclusively for research – **PI must certify to this**

- **Expendable Materials/Supplies**
  Must be programmatically necessary; general office supplies are an F&A cost – unless a major program.
Budget Development

Travel

Adhere to Institutional Policy and Agency Guidelines
Distinguish between Domestic and Foreign Travel
Foreign Travel may require prior approval from sponsor prior to trip (even if in original budget/proposal)
All Foreign Travel must receive internal prior approval (Export Control issues)
Provide as much detail as possible (to where, for what, how long, who’s is going, etc.)
Budget Development

- Subcontracts
  Proposed costs should be Reasonable and Allowable (however, keep in the mind the sub-contractor may be under different cost principals)
  Must be programmatically necessary
  Not all Third Party Agreements should be budgeted as Subawards/Subcontracts
Budget Development (cont.)

- **Consultants**
  - **External:** required expertise needed for the project which cannot be provided by faculty or staff at the institution; rate must be reasonable; in most instances, consultants’ level of effort and participation should not rise to the level of “key personnel” – that would imply substantive programmatic work.

  Interdepartmental: in some instances, a faculty or staff member may serve on a project as a consultant, but only if the expertise required is not part of this person appointment or job function.

- NSF no longer specifies a maximum daily rate for consultants; however, this policy change is not retroactive. Any earlier awards are still subject to the maximum daily rate.
Budget Development (cont.)

- Other Direct Costs
  - Communications
  - Publications
  - Animal Care Costs
  - Human Subject Costs
  - Shop Charges
  - Maintenance/Service Contracts
  - Computer Costs
  - Graphic Arts/Photographic Services
  - Rental/Lease of Facilities
  - Construction/Renovation/Remodeling Costs

All of the above must be programmatically necessary!
Proposal Review

- Typical Institutional Checklist for Proposal Review
  - Correct Forms
  - Internal Review Checklist/Approval Form
  - Compatibility with Internal Review Checklist
    - Intellectual Property
    - Space Needs
    - Renovation Requirements
    - Cost Sharing/Matching
    - Human Subject Use review and approval
    - Animal Use review and approval
Proposal Review (cont.)

Checklist for Proposal Review (cont.)
- Recombinant DNA review and approval
- Conflict of Interest Policy
- Publications/Proprietary Information Restrictions
- Hazardous Materials
- Undergraduate & Graduate Students
- Page Limitations
- Type Size Limitations
- All Elements of Proposal Included
Proposal Review (cont.)

- Checklist (cont.)
  - Correct Rates Used
  - Budget Correct
  - Signatures
  - Subcontractor Commitment Letter
  - All Certifications Included
  - If RFP, is Exception Letter Needed
  - If Foundation/Corporation, on “restricted” list
  - Requirement for State Review Ascertained
  - Correct Number of Copies, Deadline Date
  - Mailing/Delivery Address
Proposal Review (cont.)

- Checklist (cont.)
  Method of Transmittal, Packaging Instructions
  Limitation on Number of Proposals from Institution

And You’re Done!!!