

INSTAAR



INSTAAR
University of Colorado



PROPOSAL WRITER' S GUIDE



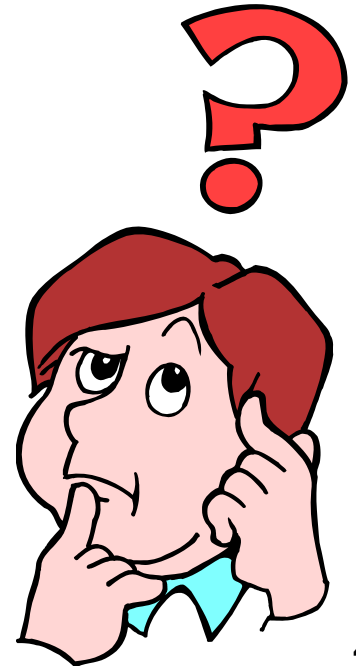
What is a proposal?

- A proposal is a request to a sponsor for financial assistance
 - Describes the scope of the work
 - Includes an estimate of the costs that will be incurred to accomplish the work



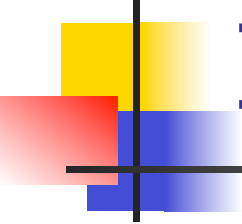
Why Write a Proposal?

- Enhance Reputations
- Provide Resources for Research
- Free Up University Funding
- Further the mission of the University in teaching, research and outreach



Who can be a Principal Investigator?

- Tenure or Tenure Track Faculty
 - Professor
 - Associate Professor
 - Assistant Professor
- Non-Tenure Track Faculty
 - Senior Instructor
 - Instructor
- Directors
- Research Faculty Positions
 - Research Associates - Post Docs
 - Sr. PRAs - Senior Professional Research Associates
 - PRAs – Professional Research Associates
 - Must have signature of a Supervisor (Directorate Member)



Who can be a Principal Investigator (cont.)

- GRAs
 - PI must be Directorate Member
- OR...according to sponsor guidelines.....or special approval of the Chair/Dean

Who can be a Principal Investigator? Cont.

- An INSTAAR Affiliate can route proposals through CU
 - If an award is made the affiliate must have an appointment in HRMS.
 - In the affiliate is not drawing salary from his/her award, they will be set up in HRMS on a 0%, 0 dollar appointment.



For further information on who can be a Principal Investigator:

- Check out the VCR research website:
 - http://www.colorado.edu/VCRresearch/research_policies/pi_eligibility.pdf



PRINCIPAL INVESTIGATOR – PI HIS/HER ROLE

- DEVELOPS IDEA
- IDENTIFYS POSSIBLE SPONSOR
- REVIEWS SPONSOR' S GUIDELINES
- COMPLETES INSTAAR PROPOSAL FORMS
- BEGINS TECHNICAL ASPECT - PROPOSAL DEVELOPMENT
- SENDS DRAFT BUDGET TO INSTAAR CFO



PRINCIPAL INVESTIGATOR – PI HIS/HER ROLE

- CFO WILL CREATE BUDGET AND RETURN TO PI FOR MODIFICATIONS
- WHEN PI/CFO AGREE UPON BUDGET, CFO WILL FORWARD TO OCG FOR REVIEW
- PI CREATES NON-TECHNICAL DOCUMENTS:
 - BIOGRAPHICAL SKETCH
 - CURRENT AND PENDING
 - FACILITIES



PRINCIPAL INVESTIGATOR – PI HIS/HER ROLE

- PI SECURES COST SHARING/
MATCHING, IF APPLICABLE
- PI ADDRESSES ANY COMPLIANCE
ISSUES
- NEGOTIATES DAICR SPLITS



PRINCIPAL INVESTIGATOR – PI HIS/HER ROLE

- PI FINALIZES ALL PROPOSAL DOCUMENTS
 - FASTLANE – ELECTRONIC COPY RELEASED TO OCG
 - GRANTS.GOV – PDF FILE EMAILED TO OCG



CHIEF FINANCIAL OFFICER - CFO

- REVIEWS PROPOSAL FORMS/GUIDELINES
- CREATES BUDGET
- ACTS AS A LIASION BETWEEN THE PI AND OCG
- ACTS AS A LIASION BETWEEN THE PI AND OTHER COLLABORATIVE DEPTS.
- ACTS AS A LIASION BETWEEN THE THE PI AND SUBCONTRACTORS

GENERALLY SUPPORTS THE PROPOSAL PREPARATION AND SUBMISSION PROCESS.



OCG

- OCG – Office of Contracts and Grant
 - Provides guidance to the PI/Dept
 - Assist in the interpretation of policies and guidelines
 - Reviews and approves the budget
 - Reviews budget and text for compliance
 - Insures University and Agency requirements are met.
 - Insures University commitments are appropriate, approved and documented.
 - Creates cover page for signatures
 - Enters budget information into fastlane for NSF proposals



OCG

- Provides any Assurance and Certification forms needed
- Coordinates Proposal Submission



Types of Proposals

Limited Submissions

- Sponsor may limit the number of proposals from and institution.
- The Graduate School – Office of the VC for Research coordinates the internal review
- Selected PIs are notified of their eligibility to submit

Preliminary Proposals

- requested in advance of the full proposal
- reduce unnecessary effort
- must route through the Office of Contracts and Grants

Letter of Intent

- submitted by the PI – does not route through OCG

Formal (Full) Proposals



Types of Proposals cont.

- NEW
- RENEWAL/COMPETING
- CONTINUATION/NON-COMPETING
- SUPPLEMENT
- REVISION
- SUBAWARD/SUBCONTRACT
- COLLABORATIVE



Preliminary Proposals

- 1st step
- Letter of Intent - Concept paper
- Pre-proposal
- Institutional endorsement may be required
- OCG endorsement required if cost sharing or other institutional commitments are required
- Invite to submit further
- Must be routed through OCG



Formal Proposals

- Competitive application for external funding
 - Can be solicited
 - or
 - Unsolicited



What are the ways the agency request applications?

- RFP

- Request for Proposal
- One time invitation to submit
- Fulfills a particular need
- Exceeds \$100k
- contract

- BAA

- Broad Agency Announcement -competitive solicitation procedure used to obtain proposals
- contract



What are the ways the agency request applications

- PA

- Program Announcement - communicates opportunity for research and education support
- One time announcement for proposals
- Well defined scientific area
- Generally...a specific amount of dollars are set aside to fund a certain number of proposals
- grant

- RFA

- Request for Application – formal opportunity to apply for a grant



Mechanisms for Funding

- Grant
- Cooperative Agreement
- Contract



Mechanisms for Funding

- Grant
 - Sponsor serves as the patron
 - Gives financial assistance



Mechanisms for funding

- Cooperative Agreement
 - Sponsor serves as a partner
 - Gives financial assistance
 - Has substantial program involvement

Mechanisms for funding

■ Contract

- **Sponsor serves as the purchaser**
 - Procures goods or services
 - Primarily benefits the sponsor
- **Corporate Sponsored Research**

Contracts can be:

Cost Reimbursable:

- budget based
- Univ. underwrites
- Univ. invoices
- Sponsor pays and has the risk

Fixed Price:

- price based
- Univ. underwrites
- as milestones are met, products delivered, sponsor pays
- Univ. has the risk





The Grant Process

- An idea develops
- Identify Funding Source
 - Check Sponsor's Website
 - Review the Funding Opportunities email from the INSTAAR front office
 - Visit the OCG website:

[http://www.colorado.edu/
VCRsearch/research/index.html](http://www.colorado.edu/VCRsearch/research/index.html)

Review Sponsor's Guidelines for specifics





Sponsor Specifics

- Does the sponsor's mission match the project idea?
- Does the sponsor typically give sufficient funds to support your project?
- Does the sponsor give the type of assistance you need (e.g. equipment?)



Sponsor Specifics

- Deadline? Mailing or Receipt?
- Pre-proposal or regular submission?
- Are collaborative proposals allowed?
- Subcontracts?
- Is there a specific budget period?
- Funding limit?
- Budget restrictions?
- Special overhead/indirect cost rate?
- Any cost-sharing required?
- Any match?
- Specific application package?
- Formatting of application?
- Submission process? Hard Copy? Electronic? # Copies?
- Limit to the number of submissions?



Use of Collaborators

- Provide clear justification for need
- Determine:
 - Collaborator vs consultant vs subcontractor
 - Collaborator:
 - Another Institution
 - Own award
 - Accountable to the sponsor
 - Consultant: Provides professional advice or service
 - Individual
 - Line item under “other” category within budget
 - Subcontractor (Sub-recipient) : Substantive Program Involvement
 - Subcontractor’s indirect costs are a part of your direct cost
 - Awardee initiates a purchase order for the subcontract
 - Subcontractor is accountable to CU



Internal Process

- PI completes INSTAAR Proposal forms located on the INSTAAR web site, <http://instaar.colorado.edu/> under “Resources”
- Turn in rough budget to CFO, at least Two weeks prior to the deadline
- CFO compiles budget, returns to PI for any necessary changes
- CFO forwards budget to OCG
- OCG requires the budget 5 working days prior to the due date



INSTAAR PROPOSAL FORMS

There are multiple forms on the INSTAAR Web site...

NSF

Grants. Gov



INSTAAR PROPOSAL FORMS

- Form 1 – Basic Info – required for all proposals
- Form 2 - Questions – required for all proposals
- Form 3 – Reviews and Signatures – required for all proposals
- Form 4 – Grants.gov Personnel – required for all Grants.gov proposals
- Form 5 – Collaborators and Subcontractors – required only for collaborative proposals or those involving subcontracts
- INSTAAR PI – Co PI Profile Form – Must be on file before submitting to Grants.gov

1. BASIC INFO

Required for all INSTAAR proposals

Give this form **and a draft budget** to the Chief Financial Officer at least **3 weeks before the proposal deadline for Grants.gov submissions and at least 2 weeks for other submissions.**

For details on the proposal process, see <http://instaar.colorado.edu/other/proposals.html>

1. Today's Date:		3. CU Co-PI's (Name & Department):	
2. Principal Investigator: 2b. PI Phone: 2c. PI Email:			
4. Proposal Full Title:			
5. Keywords: (Enter the most relevant words to describe the proposed project. Use commas to separate words.)			
6. Project Start Date:	7. Project Duration:	8. Receipt Deadline:	9. Postmark Deadline:
10. Grants.gov submission? <input type="checkbox"/> Yes <i>(If Yes, continue 10)</i> 10b. Search Grants.gov for two required codes: CFDA Number: _____ Opportunity Number: _____ 10c. If Grants.gov submission to NSF, two more required codes: NSF Division Code: _____ Program Code: _____ <i>Go to https://www.fastlane.nsf.gov/pgman/announce.jsp to find the Division and Program codes for this funding opportunity.</i> 10d. PI Credential, eg agency login: _____ (not required)		12. Sponsoring Agency, Division, & Program: 12b. Program Manager/Contact Person: 12c. Other Program info or Instructions: <div style="text-align: right;"><i>Submit to</i></div>	
11. NSF Fastlane submission? <input type="checkbox"/> Yes <i>(If Yes, continue 11)</i> 11b. Announcement #: 11c. Website URL for announcement/guidelines: 11d. Fastlane Password: <i>(If not registered, contact contact joyce.kroll@colorado.edu 735-3118)</i>		13. Name: 13b. Street Address/P.O. box: 13c. City, State, Zip:	
14. Type of Proposal: <input type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Continuation <input type="checkbox"/> Supplement to Project # _____ Award # _____ <input type="checkbox"/> Revision to Project # _____ Proposal # _____ <input type="checkbox"/> Research <input type="checkbox"/> Training <input type="checkbox"/> Public Service <input type="checkbox"/> Other <input type="checkbox"/> Grant <input type="checkbox"/> Contract – CR – Cost Reimbursable <input type="checkbox"/> Contract – FP – Fixed Price		15. Overhead Rate <input type="checkbox"/> On-Campus <input type="checkbox"/> Off-Campus <input type="checkbox"/> Other, describe here: 16. Split DA ICR with Other Departments? <input type="checkbox"/> Yes <i>(If Yes, continue 16)</i> 16b. List percentage for each Department. Total percentage must be 12.5% (INSTAAR 87.5%) _____ % Dept Name: _____ _____ % Dept Name: _____ _____ % Dept Name: _____	
17. Comments / Unusual Aspects / Instructions:			

2. QUESTIONS

Required for all INSTAAR proposals

Give this form and a draft budget to the Chief Financial Officer at least 3 weeks before the proposal deadline for Grants.gov submissions and at least 2 weeks for other submissions.

For details on the proposal process, see <http://instaar.colorado.edu/other/proposals.html>

1. Today's Date:	2. Principal Investigator:								
3. Proposal Full Title:									
4. Areas Affected by Project? (cities, counties, states, etc)									
5. Is work being done in another State or States ? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, continue 5)									
5b. List the State and Congressional Districts of Project: (For assistance, try www.house.gov Enter the zip code in the "find your representative area")									
State	Congressional District Number	State	Congressional District Number						
6. Are Human Subjects involved? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, continue 6) 6b. Is the IRB Review Pending?: <input type="checkbox"/> Yes <input type="checkbox"/> No 6c. IRB Approval Date: 6d. Exemption Number: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/> 6 6e. Human Subject Assurance Number:		7. Are Vertebrate Animals used? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, continue 7) 7a. Is the IACUC Review Pending?: <input type="checkbox"/> Yes <input type="checkbox"/> No 7b. IACUC Approval Date: 7c. Animal Welfare Assurance Number:							
8. Is proprietary/privileged information included in the application? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, contact joyce.kroll@colorado.edu 735-3118)									
9. Does this project have an actual or potential impact on the environment? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, continue 9) 9b. Please explain: 9c. Has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? <input type="checkbox"/> Y <input type="checkbox"/> N 9d. If Yes on 19c, Please explain:									
10. Does this project involve activities outside the U.S. or partnership with International Collaborators? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, continue 10) 10b. Identify countries: 10c. Explanation (optional):									
11. If NSF submission via Grants.Gov, check appropriate box(es) if this proposal includes any of the items listed below: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"><input type="checkbox"/> Beginning Investigator (GPG, Chapter 1.A)</td> <td style="width: 50%; border: none;"><input type="checkbox"/> Disclosure of Lobbying Activities (GPG, Chapter II.C.1.e)</td> </tr> <tr> <td style="border: none;"><input type="checkbox"/> Small Grants for Exploratory Research (GPG, Chapter II.D.1)</td> <td style="border: none;"><input type="checkbox"/> Historic Places (GPG, Chapter II.C.2.j)</td> </tr> <tr> <td style="border: none;"><input type="checkbox"/> Accomplishment-Based Renewal (GPG, Chapter V.B.2)</td> <td style="border: none;"><input type="checkbox"/> High Resolution Graphics/Other Graphics where Exact Color Representation is Required for Proper Interpretation (GPG, Chapter I.G.1)</td> </tr> </table>				<input type="checkbox"/> Beginning Investigator (GPG, Chapter 1.A)	<input type="checkbox"/> Disclosure of Lobbying Activities (GPG, Chapter II.C.1.e)	<input type="checkbox"/> Small Grants for Exploratory Research (GPG, Chapter II.D.1)	<input type="checkbox"/> Historic Places (GPG, Chapter II.C.2.j)	<input type="checkbox"/> Accomplishment-Based Renewal (GPG, Chapter V.B.2)	<input type="checkbox"/> High Resolution Graphics/Other Graphics where Exact Color Representation is Required for Proper Interpretation (GPG, Chapter I.G.1)
<input type="checkbox"/> Beginning Investigator (GPG, Chapter 1.A)	<input type="checkbox"/> Disclosure of Lobbying Activities (GPG, Chapter II.C.1.e)								
<input type="checkbox"/> Small Grants for Exploratory Research (GPG, Chapter II.D.1)	<input type="checkbox"/> Historic Places (GPG, Chapter II.C.2.j)								
<input type="checkbox"/> Accomplishment-Based Renewal (GPG, Chapter V.B.2)	<input type="checkbox"/> High Resolution Graphics/Other Graphics where Exact Color Representation is Required for Proper Interpretation (GPG, Chapter I.G.1)								
12. Comments / Unusual Aspects / Instructions:									

3. REVIEWS & SIGNATURES
 Required for all INSTAAR proposals

Submit the required materials listed below to the Director at least 2 weeks before submission. Routing multiple copies of this form is OK; send all signed copies to the INSTAAR Chief Financial Officer.

1. Today's Date:	2. Principal Investigator:
3. Proposal Full Title:	
4. & 5. Scientific Reviews <i>Required for non-Fellows.</i>	4. _____ signature
<i>At least 2-3 weeks before submission</i>	_____ date
<input type="checkbox"/> Reviews to be done by two senior-level scientists of the PI's choosing.	5. _____ signature
	_____ date
6. Mountain Research Station (MRS) Director Review <i>Required for proposals using MRS facilities.</i>	6. _____ signature
<i>At least 2-3 weeks before submission</i>	_____ date
<input type="checkbox"/> Contact the MRS Director to ask what documents should be sent along with this form.	
7. Director Review <i>Required.</i>	7. _____ signature
	_____ date
<i>At least 2 weeks before submission</i>	
Send <i>hard copies</i> of this form, a draft/final budget, and a summary sheet to the Director with all of the following:	
<input type="checkbox"/> New personnel: post docs, students, prof'l scientists	
<input type="checkbox"/> Space/facilities implications	
<input type="checkbox"/> Funding requested – attach draft/final budget	
<input type="checkbox"/> Cost-sharing approval for matching funds.	
<input type="checkbox"/> Abstract of scientific work	
8. Chief Financial Officer Review <i>Required.</i>	8. _____ signature
<i>At least 2 weeks before submission</i>	_____ date
<input type="checkbox"/> Submit budget to Chief Financial Officer.	

9. Comments:

4. GRANTS.GOV PERSONNEL Required only for Grants.Gov submissions

<p><i>This form is required for all Grants.Gov submissions. Give this form and a draft budget to the Chief Financial Officer at least 3 weeks before the proposal deadline.</i></p> <p><i>Before the proposal can move forward, an "INSTAAR PI/Co-PI Profile Form" for the PI and all INSTAAR co-PI's must be on file. For all other Senior/Key people - including non-INSTAAR co-PI's - fill out the form below. If appropriate, include a Biographical Sketch and a Current & Pending Support statement in the proposal for each person. Use multiple copies of this form for more than 3 people.</i></p> <p><i>* Required field ** Required only for NSF submissions</i></p>		<p>Project Role choices: PD/PI Co-PD/PI Faculty Post Doctoral Post Doctoral Associate Other Professional Graduate Student Undergraduate Student Technician Consultant Other (Specify)</p>
1. Today's Date:	2. Project Director/Principal Investigator:	
3. Proposal Full Title:		
<p>4. Senior/Key Person 1</p> Prefix: *First Name: Middle Name: *Last Name: Suffix: Position/Title: Department: Organization Name: Division: *Street1: Street2: *City: County: *State: Province: *Country: *Zip/Postal Code: *Phone: Fax: *Email: Credential, eg agency login: *Project Role: (see choices in upper right) Project Role - Other (Specify): **Degree Type: **Degree Year:		
<p>5. Senior/Key Person 2</p> Prefix: *First Name: Middle Name: *Last Name: Suffix: Position/Title: Department: Organization Name: Division: *Street1: Street2: *City: County: *State: Province: *Country: *Zip/Postal Code: *Phone: Fax: *Email: Credential, eg agency login: *Project Role: (see choices in upper right) Project Role - Other (Specify): **Degree Type: **Degree Year:		
<p>6. Senior/Key Person 3</p> Prefix: *First Name: Middle Name: *Last Name: Suffix: Position/Title: Department: Organization Name: Division: *Street1: Street2: *City: County: *State: Province: *Country: *Zip/Postal Code: *Phone: Fax: *Email: Credential, eg agency login: *Project Role: (see choices in upper right) Project Role - Other (Specify): **Degree Type: **Degree Year:		

Comments / Unusual Aspects / Instructions:

5. COLLABORATORS & SUBCONTRACTORS
 Required only for some INSTAAR proposals

Complete this form only if using subcontractors or submitting a collaborative proposal (where each university has its own budget and proposal submissions are coordinated).

Give this form and a draft budget to the Chief Financial Officer at least 3 weeks before the proposal deadline for Grants.gov submissions and at least 2 weeks for other submissions.

1. Today's Date:	4. Collaborative Proposal with another Univ.? <input type="checkbox"/> Yes <input type="checkbox"/> No 4b. If Yes on 4, which institution is prime?:				
2. Principal Investigator:	5. Subcontractors.? <input type="checkbox"/> Yes <input type="checkbox"/> No				
3. Proposal Full Title:					
6. Contact info for Collaborators (Collab) and Subcontractors (Sub) and their administrators: <i>DO NOT list collaborators here unless each university has its own budget and proposal submissions are coordinated.</i>					
<input type="checkbox"/> Collab <input type="checkbox"/> Sub	Person Name	Institution	<input type="checkbox"/> Science <input type="checkbox"/> Admin	Phone	Email
<input type="checkbox"/> Collab <input type="checkbox"/> Sub			<input type="checkbox"/> Science <input type="checkbox"/> Admin		
<input type="checkbox"/> Collab <input type="checkbox"/> Sub			<input type="checkbox"/> Science <input type="checkbox"/> Admin		
<input type="checkbox"/> Collab <input type="checkbox"/> Sub			<input type="checkbox"/> Science <input type="checkbox"/> Admin		
<input type="checkbox"/> Collab <input type="checkbox"/> Sub			<input type="checkbox"/> Science <input type="checkbox"/> Admin		
<input type="checkbox"/> Collab <input type="checkbox"/> Sub			<input type="checkbox"/> Science <input type="checkbox"/> Admin		
<input type="checkbox"/> Collab <input type="checkbox"/> Sub			<input type="checkbox"/> Science <input type="checkbox"/> Admin		

7. Comments / Unusual Aspects / Instructions:

Proposal Guidelines

NSF collaborative proposals when CU is the prime

Each collaborative Institution should send the following info to joyce.kroll@colorado.edu 303-735-3118:

1. **NSF temporary proposal #** . this is the # that is automatically assigned when the proposal is set up in FastLane.
2. **Proposal PIN**. This must be manually assigned.

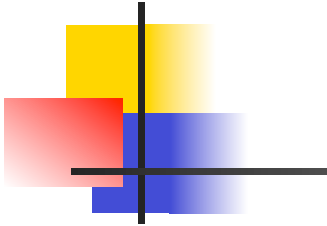
All collaborative institutions need to have the same:

3. **Title**: "Collaborative Research: followed by the real title"
4. **Start and end dates**.

Subcontracts

Each subcontractor should create the following documents:

1. **Statement of Work** which clearly states the deliverables [data, samples, reports, etc] and a time line for the deliverables.
2. **Letter of Commitment/Cooperation** from the sub's grants office stating intent to establish a subcontractural relationship/collaboration [whatever the grants office will provide]. Letter should be addressed BUT NOT SENT TO Randall W. Draper, Director Office of Contracts and Grants. This letter needs to be signed by the sub's grants office and the sub investigator.
3. **Detailed Budget** that resembles Julie's spreadsheet as best possible. For NSF submissions, also need a budget for each year and a composite budget for all years - completed on the NSF form 1030. The NSF budget forms need to be signed by the Grants officer and the sub Investigator.
4. **Budget Justification**. For Grants.gov submissions this will be the same as loaded into the Grants.Gov module.
5. **Documentation re the overhead rate** used in the sub's budget.
6. **Documentation re the fringe benefit rates** used in the sub's budget
7. **Bio**
8. **Current and Pending**



INSTAAR PI/Co-PI PROFILE FORM

Required to be on file before submitting any Grants.Gov proposals as PI or co-PI

Complete this form and give to the Chief Financial Officer.

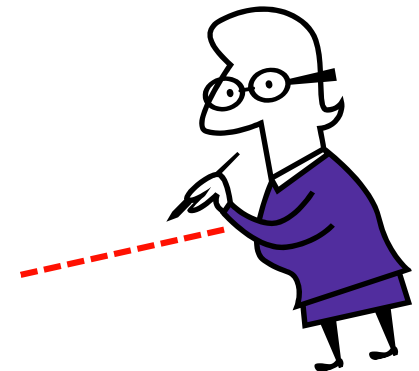
**Required fields are marked with an asterisk. Additional fields are optional and not a pre-condition of award. However, additional fields do allow the Federal Government to better "monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability ..."*

1*. Today's Date:				
2*. Personal Info:				
Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
Position/Title:			Department:	
Organization Name:			Division:	
Street1:			Street2:	
City:	County:	State:	Province:	
Country:	Zip/Postal Code:			
Phone:	Fax:	Email:		
3. Year of Birth:				
4. Last 4 digits of Social Security Number:				
5. Gender:				
6. Race (check all that apply):		8. Ethnicity:	9. Disability Status (check all that apply):	
<input type="checkbox"/> American Indian or Alaska Native			<input type="checkbox"/> Hearing	
<input type="checkbox"/> Asian			<input type="checkbox"/> Visual	
<input type="checkbox"/> Black or African American			<input type="checkbox"/> Mobility/Orthopedic Impairment	
<input type="checkbox"/> Native Hawaiian or Other Pacific Islander			<input type="checkbox"/> Other	
<input type="checkbox"/> White			<input type="checkbox"/> None	
<input type="checkbox"/> Do Not Wish to Provide			<input type="checkbox"/> Do Not Wish to Provide	
7. Citizenship:				
10*. Degree Type:				
11*. Degree Year:				

12. Comments / Unusual Aspects / Instructions:

The Proposal

- The formal request for funding prepared in accordance with the sponsor's instructions
- The official audit record for the University of Colorado
- Includes:
 - Cover Page
 - Abstract
 - Project Description
 - Bibliography
 - Biographical Sketch
 - Current and Pending Support
 - Budget
 - Budget Justification
 - Attachments
- See “A Guide for Proposal Writing” – National Science Foundation or Grants.gov Application Guide





A Guide for Proposal Writing

- <http://www.nsf.gov/pubs/2004/nsf04016/nsf04016.pdf>



Application Package

- Varies by sponsor
- Check the website for the sponsor submission instructions:
 - Number of copies
 - Mailing Addresses
 - Deadlines



The Cover Page

- First page of the proposal – provided by OCG
- Provides
 - CU Proposal Number
 - Funding Agency information
 - Title
 - Time Frame
 - Amount Requested
- Signatures:
 - PI
 - Chair/Director if required
 - Director OCG – commits University to contractual agreements



Table of contents

- Not needed for brief proposals
- Needed for long and detailed proposals
- List major parts/divisions – a reader’s “map”
- Should be numbered in lower-case Roman numerals.

The Abstract



- Short summary of the proposed research
- Describes the aims and procedures of the project – selling point of the proposal
- Summary should include a clearly identifiable statement that addresses the Broad Impacts and Intellectual Merit of the proposal. Label the statement clearly by using bold font.
- Should be limited to 200 words
- Frequently journalized



The Project Description – Research Plan

- “The text”, the research plan
- Background and significance – “the what & why”
- Experimental design and methods – “the how & why”
- Persuasive – convincing reviewers that this is a good investment.
- Usually page limited

The Bibliography

- Should be relevant and current
 - References for literature cited in the proposal
 - Include: Author, Title, Volume #, Page # and Year of Publication
 - Demonstrates the amount and kind of scholarship you have put into the proposal.
 - Provides a starting-place for reviewers to begin their homework.



The Biographical Sketch

- Vitae
- Should be included for all key personnel
- Highlights the qualifications of the project personnel
- Allows the reviewer to evaluate the adequacy of project staff.
- Include:
 - Name; date and place of birth; social security number (optional)
 - Educational History
 - Honors
 - Major presentations
 - Publications
- May be page limited



Biographical Sketch (cont.)



- Biographical Sketches
 - Publications may be limited
 - Include list of collaborators
 - Include synergistic section

Current and Pending Support

- List of current awards for key personnel
- List of pending proposals for key personnel
- Include:
 - Funding Agency
 - Award Number
 - Project Title
 - Period of Performance
 - Amount of award
 - PI' s time commitment





Facilities and Equipment

- Describes facilities and equipment available to the principal investigator through the University of Colorado and/or through collaborators

The Budget





The Budget

- An estimate of costs - needs to reflect as accurately as possible, the funding needed to carry out the proposed research.
- $\text{Direct Cost} + \text{Indirect Costs} = \text{Total Costs}$
- Reflects the scope of the project
- Must be allowable, allocable, consistent,
- Must be reasonable and verifiable



Budget Forms

- NSF – 1030
- Grants.gov – SF 424



SUMMARY PROPOSAL BUDGET

FOR NSF USE ONLY						
ORGANIZATION			PROPOSAL NO.		DURATION (MONTHS)	
			Award No.		Proposed	Granted
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR			AWARD NO.			
A. SENIOR PERSONNEL: PI/PD, Co-PIs, Faculty and Other Senior Associates List each separately with name and title. (A.7. Show number in brackets)			NSF-Funded Person-months		Funds Requested By Proposer	Funds Granted by NSF (If Different)
			CAL	ACAD	SUMR	\$
1.						
2.						
3.						
4.						
5.						
6. () OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)						
7. () TOTAL SENIOR PERSONNEL (1-6)						
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1. () POSTDOCTORAL ASSOCIATES						
2. () OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)						
3. () GRADUATE STUDENTS						
4. () UNDERGRADUATE STUDENTS						
5. () SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						
6. () OTHER						
TOTAL SALARIES AND WAGES (A + B)						
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)						
TOTAL EQUIPMENT						
E. TRAVEL						
1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)						
2. FOREIGN						
F. PARTICIPANT SUPPORT						
1. STIPENDS \$ _____						
2. TRAVEL _____						
3. SUBSISTENCE _____						
4. OTHER _____						
TOTAL NUMBER OF PARTICIPANTS ()			TOTAL PARTICIPANT COSTS			
G. OTHER DIRECT COSTS						
1. MATERIALS AND SUPPLIES						
2. PUBLICATION/DOCUMENTATION/DISSEMINATION						
3. CONSULTANT SERVICES						
4. COMPUTER SERVICES						
5. SUBAWARDS						
6. OTHER						
TOTAL OTHER DIRECT COSTS						
H. TOTAL DIRECT COSTS (A THROUGH G)						
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)						
TOTAL INDIRECT COSTS (F&A)						
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECT SEE GPG II.D.7.j.)						
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				\$		\$
M. COST SHARING: PROPOSED LEVEL \$ _____			AGREED LEVEL IF DIFFERENT: \$ _____			
PI/PD TYPED NAME AND SIGNATURE*			DATE		FOR NSF USE ONLY	
ORG. REP. TYPED NAME & SIGNATURE*			DATE		INDIRECT COST RATE VERIFICATION	
					Date Checked	Date of Rate Sheet



Application for Federal Assistance SF-424		Version 02
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision * If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify) <input type="text"/>	
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
Completed by Grants.gov upon submission: <input type="text"/>		
5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text"/>	* c. Organizational DUNS: <input type="text"/>	
d. Address:		
* Street1: <input type="text"/>	<input type="text"/>	
Street2: <input type="text"/>	<input type="text"/>	
* City: <input type="text"/>	<input type="text"/>	
County: <input type="text"/>	<input type="text"/>	
* State: <input type="text"/>	<input type="text"/>	
Province: <input type="text"/>	<input type="text"/>	
* Country: <input type="text"/>	USA: UNITED STATES	
* Zip / Postal Code: <input type="text"/>	<input type="text"/>	
e. Organizational Unit:		
Department Name: <input type="text"/>	Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <input type="text"/>	* First Name: <input type="text"/>	
Middle Name: <input type="text"/>		
* Last Name: <input type="text"/>		
Suffix: <input type="text"/>		
Title: <input type="text"/>		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text"/>	Fax Number: <input type="text"/>	
* Email: <input type="text"/>		



Direct Costs

- Those costs directly related to the Project, charged directly to the project
- Arranged in Cost Categories
 - Personnel
 - Salaries
 - Benefits
 - Equipment
 - Travel
 - Participant Support Costs
 - Other
- Organized by funding period

Personnel

- Personnel – includes only payments made to project workers who are paid on a salary or wage basis (salary and fringe benefits):
 - Who
 - What Capacity
 - How long
 - Type of Appointment
 - Percent of Effort
 - Salary \$\$ - if available



Personnel (cont.)



- Personnel (cont)
 - PI
 - Co-PIs
 - Post Docs
 - PRAs
 - GRAs
 - Students
 - Staff



Percent of Effort

- All responsibilities (teaching and research) may not exceed 100%FTE
- The portion of salary charged to the project is based on the percentage of FTE committed to the project



Personnel (cont.)

- PI

- If the proposal is going to NSF, is the PI registered?
- What is the salary?
- Salary increases are effective July 1 for Academic (9 month) appointments
- NSF: Summer salary for faculty members on AY appointments is limited to no more than two-ninths of their regular AY salary



Personnel (cont.)

- Co. PIs.
 - Are they eligible?
 - Are they registered in Fastlane?
 - What department are they affiliated with?
 - Other institution's PIs are not allowed on the CU cover page. They are allowed on the NSF cover page.



Personnel (cont.)

- Post Docs – Research Associates
 - Salary range for new Post Docs set by the Director
 - Salary increases are effective October 1
 - Twelve month
- PRAs
 - Professional Research Assistant
 - Salary increases are effective October 1

Personnel (cont.)



- GRAs
 - Graduate Research Assistants
 - Percentage
 - AY, summer or both
 - Specific school affiliation?
 - Stipend
 - Tuition
 - Resident
 - Rates are set July 1



Personnel (cont.)

- Hourly Wages
 - Undergraduate Assistants
 - Hourly rate varies with responsibility
 - Minimum of \$7.64/hour
 - Work Study Students
 - Government pays 70%
 - Department pays 30%
 - # hours X hourly rate

Personnel (cont.)



- Classified Staff
 - A-21 generally prohibits
 - Can be used if included in the budget
 - And approved by the sponsor
 - Increases are effective July 1



XP

- Xp
 - XP = “x” percent
 - Assessed on all budgets, unless specifically stated by the sponsor
 - 6% of the MTDC (modified total direct costs) for proposals with on-campus O.H.
 - 4% to the Project Accountant
 - 2% to the System Administrator
 - 9% of the MTDC for proposals with Off-campus O.H.
 - 7% to the Project Accountant
 - 2% to the System Administrator



Benefits

- Benefits:
 - % of the salary base (effective 7/1/12)
 - TIAA
 - FICA
 - Medicare
 - Worker's Compensation
 - Unemployment
 - Annuitant's Insurance
 - Health Insurance



Benefits Rates Effective 7-1-12

- Teaching Faculty 27.5%
- Research Faculty 30.9%/10.6%
- Student Faculty (GRAs, TAs) 7.9%
- Classified Staff 30.9%/10.6%
- Hourly 1.0%

Equipment

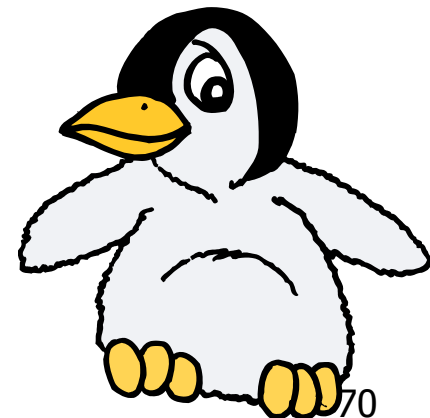
- Equipment
 - Capital or non-capital?
 - Acquisition Costs?
 - \$5000 or more = Capital
 - Includes needed accessories, installation and delivery costs.
 - System fabrication?
 - Lifeline
 - Useful life of 1 year or longer



Travel

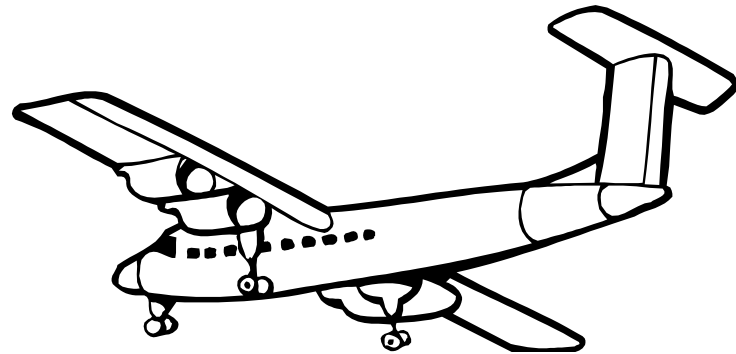
■ Travel

- To consult with colleagues, conduct research, or disseminate knowledge at professional meetings
- Domestic or Foreign
 - Domestic: travel within the U.S., its possessions, and usually Canada
 - Foreign: trip begins or ends in another country (check with agency to see if allowable)
- Describe and List Each Trip Separately
Provide:
 - Traveler, Destination, Purpose, Length of trip.
- Federal Funds require the use of U.S. air carrier



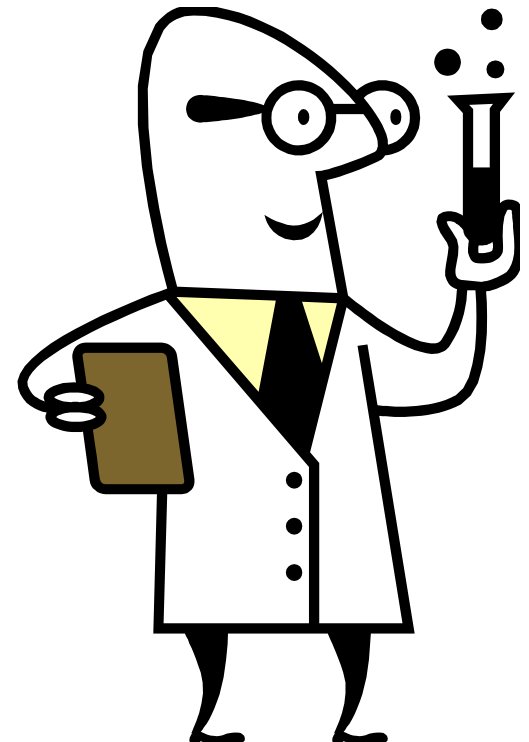
Travel (cont.)

- Itemize costs for:
 - Airfare
 - Per Diem
 - Ground Transportation
 - Registration
 - Other



Materials and Supplies

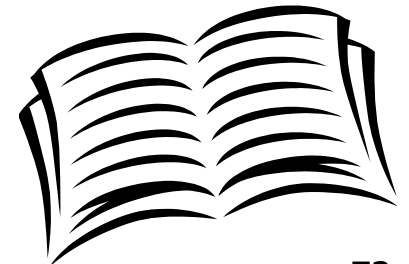
- Expendable, consumable
- Cost less than \$5000 per unit
- Breakdown by:
 - Office supplies – Generic office supplies are generally not allowed on grants. These are items the federal government feels the recipient would provide whether or not an individual was doing project specific research...
ie: tablets, pens, pencils, etc.
The grant will generally cover items more directly related to the research such as items needed to prepare graphs, statistics, etc.
 - Lab supplies
 - Field supplies
- List quantity, cost per item





Publication Costs

- Publication Costs – the cost of disseminating research results
 - Required reports
 - Publication in professional journals
 - Page charges
 - Reprint charges
 - Manuscript illustration





Participant Support Costs

- Cost in connection with NSF sponsored, conferences, meetings, symposia, training and workshops
- Generally, indirects are not allowed on Participant Support Costs (PSC)
 - Transportation
 - Per diem
 - Stipends



Other Direct Costs

- Other Direct Costs: Everything not covered in the specific categories already listed.
 - Consultants – provides professional advise or service for a fee
 - Payment to an individual – considered independent contractor
 - Name, title
 - Define Rate of Pay: Salary Rate X # days or hours
 - Other expenses (travel)
 - Provide Scope of Work – letter of agreement outlining the scope of involvement
 - Federal funds may not be used to pay federal employees for consulting



Other Costs (cont.)

- Other
 - Subcontract Costs – Subrecipient Agreements
 - Payment to a company, a University or an Institute where work is to be done to aid in the fulfilling the scope of the project
 - The subcontractor must submit their own budget to the prime, even though their budget will be entered in the prime's budget
 - PI must complete the Subcontract Review Form
 - Subcontractor must provide:
 - Cover Page/signed by the authorized institutional representative (own institution's page/not NSF)
 - Budget pages (1030/NSF, SF 424/Grants.gov)
 - Certification pages
 - Statement of Work
 - Copy of their Indirect Cost agreement, if available
 - Letter of commitment from the subcontractor
 - CVs
 - Current and Pending
 - Sub-recipient Commitment Form



Sub-contract Review Form

- Form is located at:
www.colorado.edu/VCRresearch/research/forms/index.html

Sub-Contract Review Form



Subcontracts / Subaward Review Form Office of Contracts and Grants

Organization's Legal Name: _____

UCB Project Number: _____

Project Title: _____

As the Principal Investigator, it is important to understand the responsibilities that go along with the award you have received. The Management of the award, including the subawards and subcontracts (collectively, Subaward), is the responsibility of the Principal Investigator. Please review the organization's proposal, including their statement of work, technical proposal, management plan and budget. Please answer the following questions about organization's proposal.

1. Do you consider the organization's budgeted costs reasonable for the level of work being proposed in response to the Subaward requirements?
 Yes No If no, please elaborate as to the weaknesses of the budget and how we can ask them to make corrections.
2. Does the organization have management and technical resources and infrastructure that are adequate to support and perform the research required by the Subaward?
 Yes No If no, please elaborate as to how they will manage and perform the Subaward or if we should ask the organization to address the weaknesses.
3. Has the organization performed like or similar research successfully in the past?
 Yes No If no, please elaborate as to why we are working with this organization for this project.
4. Is the cost proposed adequate to support the technical and management aspects of the work to be performed?
 Yes No If no, please elaborate on what needs to be done to make the proposal adequate.
5. Is this organization with a foreign company or institution? Yes No

Is the work to be performed under this Subaward (in whole or unanticipated) to be subject to export controls at anytime during performance (e.g. outside the scope of the fundamental research exemptions (FRE) allowed under federal law within the United States)? Yes No

Is the University or the organization utilizing foreign nationals on this Award? Yes No

If yes to any of the above, have you contacted Linda Morris (402-2389) in the University's Office of Research Integrity to determine if an export license may be necessary? Yes No

Principal Investigator Certification

It is the Principal Investigator's responsibility to review the organization's proposal for reasonableness and adequacy to ensure successful performance of the project requirements as stated in the Subaward. It is also the PI's responsibility to review all of the organization's invoices throughout the period of performance for reasonableness.

I have reviewed the attached documents received from the organization and have determined that the costs stated in the proposed budget are reasonable to successfully perform the requirements of the Subaward.

PI Signature: _____

Printed Name: _____

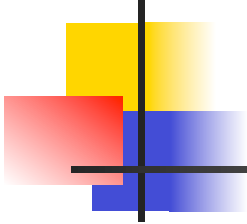
Date: _____


Sub-recipient Commitment Form



- Form is located at:
www.colorado.edu/VCRresearch/research/forms/index.html

Sub-recipient Commitment Form





**University of Colorado Boulder - Office of Contracts and Grants
Subrecipient and Subcontractor Commitment Form**

Each subrecipient or subcontractor (Organization) shall include this form when submitting a proposal to the University of Colorado Boulder (CU BOULDER). It provides a checklist of documents and certifications required by sponsors. This form shall be signed by the authorized official at the institution or organization.

Organization's Legal Name _____ Street Address _____ City _____ State _____ Zip Code + 4 _____ DUNS Number _____ TIN _____ Congressional District _____	Organization's PI Name _____ Email Address _____ Telephone Number _____ Organization's Admin. Name _____ Email Address _____ Telephone Number _____
--	--

Proposal Title _____
Prime Sponsor _____
CU-Boulder PI _____
Period of Performance Start Date _____ End Date _____

SECTION A - Proposal Documents

The following documents are included in our proposal submission and covered by the certifications below (check as applicable):

- TECHNICAL PROPOSAL or STATEMENT OF WORK, as appropriate (required)
- BUDGET OR COST PROPOSAL AND SUPPORTING JUSTIFICATION (required)
- Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format
- Identification of all Key Personnel, in agency-required format
- Management and Capability Assessment
- Other: _____

SECTION B - Certifications

1. **Overhead Rates** (e.g. FRA, O&A, IDC, etc) included in this proposal have been calculated based on:
 - Our federally-negotiated F&A rates for this type of work or a reduced F&A rate that we hereby agree to accept.
(If this box is checked, please attach a copy of your F&A rate agreement or provide a URL link to the agreement.)
 - Other rates (please specify the basis on which the rate has been calculated in Comments below)
 - Not applicable (no indirect costs)
2. **Prime Benefits Rates** included in this proposal have been calculated based on:
 - Rates consistent with or lower than our federally-negotiated rates
(If this box is checked, please attach a copy of your PBR rate agreement or provide a URL link to the agreement.)
 - Other rates (please specify the basis on which the rate has been calculated in Comments below).
3. **Small Business Concern** Yes No
 Organization represents that it is a small business concern as defined in 13 CFR 124.1002.
 If "Yes", Organization represents that it is a:
 - Small disadvantaged business as certified by the Small Business Administration
 - Women-owned small business concern
 - Veteran-owned small business concern
 - Service-disabled veteran-owned small business concern
 - HUBZone small business concern
4. **Cost Sharing** Yes No Amount: _____
 Cost sharing amounts and justification should be included in the Organization's proposal
5. **Human Subjects** Yes No Determination of Exemption or IRB Approval Date: _____ and IRB Number: _____ Pending
(Note: Inmate, prisoner, observation, or use of secondary data may be human subject research. Contact your local IRB office for guidance.)
 If "Yes", Copies of the IRB approval and approved "Informed Consent" form must be provided before any subaward will be issued. Please forward these documents to CU BOULDER's PI and CU BOULDER's Office of Contracts and Grants as soon as they become available.
 If "Yes", Have all key personnel involved completed Human Subjects Training? Yes No
 Does your organization/institution have a Federalwide Assurance (FWA) Number? Yes No If "yes," provide Number: _____

OCG 308 Form 802 - 09/2012, 1.1 Page 1 of 5



Other Direct Cost (cont.)

- Other – continued
 - Non-Capital Equipment
 - Under \$5000 acquisition cost
 - Equipment Maintenance
 - Computer Time
 - Analyses
 - Communications, Duplication and Postage



Other Direct Costs (cont.)

- Other
 - Tuition
 - Resident
 - Varies by the % appointment
 - Varies by Department affiliation
 - Must have minimum of 15% appointment
 - Tuition must be charged to the project paying the salary

Inflation Rates effective

7/1/12

- All costs are subject to inflation
 - Salaries – 3.0%
 - Includes:
 - Teaching Faculty
 - Research Faculty
 - GRAs
 - Classified Staff
 - Hourly Wages – 3.0%
 - Tuition – 5%
 - All other costs – 3.0%



Indirect Costs

- F&A
 - Facilities and Administration Costs
 - AKA: Indirect Costs
 - AKA: Overhead
 - Cost not directly attributed to the project
But are necessary to carry out the cost of the
Project (heating, lighting, cooling, OCG, etc.)
“Infrastructure Costs”



Indirect Costs (cont)

- F&A
 - Rate negotiated with HHS – averaged by the costs of all research done on campus.



Indirect Costs (cont.)

- MTDC
 - Modified Total Direct Costs
 - Indirects costs are charged against the Total Direct Costs for the project less:
 - Permanent Equipment Costs
 - Participant Support Costs
 - Tuition
 - Subcontracts over \$25,0000
 - Scholarship and Fellowship Stipends
 - Alterations and Renovations



Indirect Costs (cont.)

Current Rates

- On Campus:
 - Organized Research
 - 7/1/06 – 6/30/10 51.5%
 - 7/1/11 – 6/30/12 52.5%
 - 7/1/12 – 6/30/13 52.5%
- Off Campus:
 - Instruction and Research
 - 7/1/02 – 6/30/13 26%



INDIRECT COSTS

- **INDIRECT COST WAIVER:**
Federally negotiated overhead rates should be applied to all grants.
- Exceptions must be approved by the Associate VC for Research
 -



INDIRECT COST ADDENDUM FORM FOR REDUCED IDC

- REDUCED IDC
 - Agency limited
 - PI request IDC waiver
- PI must describe how the project is a benefit to the campus and how the loss of IDC will be countered by benefits in other areas.

Indirect Cost Waiver Form



Subcontracts / Subaward Review Form Office of Contracts and Grants

Organization's Legal Name: _____

UCB Project Number: _____

Project Title: _____

As the Principal Investigator, it is important to understand the responsibilities that go along with the award you have received. The Management of the award, including the subawards and subcontracts (collectively, Subaward), is the responsibility of the Principal Investigator. Please review the organization's proposal, including their statement of work, technical proposal, management plan and budget. Please answer the following questions about organization's proposal.

1. Do you consider the organization's budgeted costs reasonable for the level of work being proposed in response to the Subaward requirements?
 Yes No If no, please elaborate as to the weaknesses of the budget and how we can ask them to make corrections.
2. Does the organization have management and technical resources and infrastructure that are adequate to support and perform the research required by the Subaward?
 Yes No If no, please elaborate as to how they will manage and perform the Subaward or if we should ask the organization to address the weaknesses.
3. Has the organization performed like or similar research successfully in the past?
 Yes No If no, please elaborate as to why we are working with this organization for this project.
4. Is the cost proposed adequate to support the technical and management aspects of the work to be performed?
 Yes No If no, please elaborate on what needs to be done to make the proposal adequate.
5. Is this organization with a foreign company or institution? Yes No

Is the work to be performed under this Subaward known or anticipated to be subject to export controls at any time during performance (e.g. outside the scope of the fundamental research exemptions (FRE) allowed under federal law within the United States)? Yes No

Is the University or the organization utilizing foreign nationals on this Award? Yes No

If yes to any of the above, have you contacted Linda Morris (402-2850) in the University's Office of Research Integrity to determine if an export license may be necessary? Yes No

Principal Investigator Certification

It is the Principal Investigator's responsibility to review the organization's proposal for reasonableness and adequacy to ensure successful performance of the project requirements as stated in the Subaward. It is also the PI's responsibility to review all of the organization's invoices throughout the period of performance for reasonableness.

I have reviewed the attached documents received from the organization and have determined that the costs stated in the proposed budget are reasonable to successfully perform the requirements of the Subaward.

PI Signature: _____

Printed Name: _____

Date: _____



Indirect Cost Splits

- A portion of the Indirect Cost recovered by the University is returned to the department (DAICR)
- The split for any return is decided when the proposal is processed. The split is between INSTAAR and the faculty member's department
- Normal split: 87.5% INSTAAR, 12.5% to the department.
- “Non-normal” splits must be documented in writing.



Indirect Cost Split Calculation

- Unit administering the grant gets 25%
- Unit where the work is physically done gets 50
- Unit(s) invested in the faculty member (e.g. start up costs, student/post doc costs, etc) get 25%
- Ie: faculty member split between INSTAAR and Geography
 - INSTAAR 25% ADM.
 - INSTAAR 50% LAB
 - INSTAAR 12.5% INVEST
 - INSTAAR TOTAL 87.5%
 - Geography 12.5% INVEST



DAICR Program

- Began in 1983
- DA-ICR – Departmental Administration
- Support to the General Fund in proportion to indirect cost recovery generated by INSTAAR' S sponsored projects
- 29% of campus ICR returned to units less certain deductions are made



Collaborators

- CU = Prime
- Only one institute submits
- Others “link” to the main proposal
- Collaborator provides proposal #
and pin



The Budget Justification

- Justifies the requested funding
- Applicable to fund requested as well as funds donated
- INSTAAR Justification
 - AKA: “THE BLURB”



The Blurb

- INSTAAR Budget Justification:

The Institute of Arctic and Alpine Research (INSTAAR) is a unique unit of the University of Colorado, solely dedicated to research and completely separate, though complementary, to the traditional academic department. INSTAAR is an interdisciplinary institute, designed to house large and complex research programs. Each individual investigator has access to a depth and broad range of scientific expertise that compliments his/her research.

Support is requested for System Administration. The System Administrator's tasks include maintenance and upgrades for computer networking, printers, communication, network access, software installation, maintenance of INSTAAR's server and poster printing.



The Blurb (cont.)

- Support is also requested for technical assistance that is necessary for executing, administering and accounting for the proposed project. This position provides administrative support in the areas of grant administration, finance, budget, accounting (including payroll, travel, purchasing, accounts receivable/payable, inventory, etc.

Communications and duplication includes such items as toll calls, postage, fax charges, telephone equipment and photocopies that specifically support this project. The University of Colorado maintains telecommunication services that include the capability of tracking expenses to specific projects. In addition, INSTAAR maintains photocopy services that include capability of tracking expenses to specific projects.

UnixOps is a CU Internal Service Center that contracts its expertise to meet the computational needs of CU PIs and units. The ECI facility contracts its software and hardware support needs, licenses, and memory backup cycling to UnixOps.



The Budget Justification

- If the researcher chooses to do their own justification, they must incorporate the INSTAAR justification into it.
- Make a case for the items in your budget
- Need must be made explicit, implied is not sufficient

The Budget Justification (cont.)



- How were costs determined?
- Use price quotes for large dollar items



Resources and Environment

- May be required by Sponsor
- Opportunity to present the research environment:
 - Laboratories and/or other facilities
 - Equipment
 - Office Space

CU Proposal #			Title:	Rapid Carbon Exchan Between Ocean and A	
Institution:	The Regents of the University of Colorado Campus Box 572 Boulder, Co. 80309-0019				
Principal Investigator:	John Doe		Duration:	1/1/03 - 12	
			Year 1	Year 2	
A. Salaries and Wages					
	Post Doc: tbn, 100%		40000	41760	
	Research Asst.: tbn, 6 months		15000	15660	
	System Administrator:		2311	2413	
	Project Accounting Asst.:		2444	2591	
	Total Salaries and Wages		59755	62424	
B. Fringe benefits					
	Post Doc: 19.25% + \$358/mo.		11996	12335	
	RA: 19.25% + \$358/mo.		5036	5163	
	Sys. Adm.: 19.25% +\$358		746	765	
	Prjt. Acctg. Asst.: 13.15% + \$329/mo.		633	653	
	Total Fringe benefits		18411	18916	
C. Travel					
	Domestic:				
	Professional Meeting, year 2 only		0	1700	
	Collaboration/WHOI		1500	0	
	Total Travel Costs		1500	1700	
D. Other Direct Costs					
	Materials and Supplies:				
	Micropaleontology Supplies		3000	0	
	Other:				
	Radiocarbon Analyses, 100 @ \$275 each		27,500	0	
	Communications, Duplication and Postage		500	500	
	Total Other Direct Costs		31000	500	
E. Total Direct Costs			110666	83540	
F. Total Indirect Costs					
	On Campus:	48.0 % 7/1/02 - 6/30/04			
		48.5 % 7/1/04 - 6/30/05			
		49.0% 7/1/05 - 6/30/06	53120	40308	
G. Total Costs			163786	123848	
Total Costs to NSF:		287634			



Cost Sharing

- If at all possible, avoid.....
- Amount varies by agency and project
- May be mandatory requirement of the sponsor or voluntary commitment by the PI

Cost Sharing (cont.)



- Occurs when the University is spending University funds (General, Auxiliary, Gift, or Plant) on a project
- May not come from another federal source



Cost Sharing (cont.)

- May be satisfied with a portion of the salary, benefits, related indirect costs for the PI-documented via the PERS
(Personnel Effort Reporting System)



Cost Sharing (cont.)

- May be satisfied with the purchase of a piece of equipment for the project by the University-documented by the establishment of a separate fopps for tracking
 - Program will be named: “Costsharing for proj#153XXX”



Cost Sharing (cont.)

- May be satisfied by unrecovered F&A
- May be covered by Third-party contributions (e.g., volunteer services, use on non-university equipment or facilities, employee time from other organizations)



Audit – Cost Sharing

- **Purpose to “leverage”**
- **Become a focal point in A-133 audits**
- **Most common audit findings:**
 - **Failure to track the cost sharing in separate accounts**
 - **Commingling cost-sharing expenses with other unrelated costs**
 - **Absence of documentation for cost-sharing expenses in third-party, in-kind contributions**
 - **Overvaluation of third-party, in-kind contributions**
 - **Failure to monitor cost sharing claimed by subrecipients**
- **Consequence of insufficient documentation could be disallowance of the federal portion of the expense**



Match

- If at all possible, avoid.....
- Some sponsors require a match be made on equipment purchases
- Prior to 10/9/02 the Graduate School approved a 50% match for projects. The G.S. paid 67% of that amount, while the Institute picked up the remaining 33%.
- As of 10/9/02, the Graduate School changed its stance, stating it would only match when a match was required. When a match was required, the G.S. would only match up to 40%.
- Effective 9/30/05 the GS matches 50% with the remaining 50% split **between the department and the institute.**
- Allow ample time to process the Equipment Matching Funds Sheet

Addendum Sheet for Cost Sharing/Matching UCB Funds

Office of Contracts and Grants INDIRECT COST ADDENDUM FORM

Title of Project _____	Proposal No. _____															
<table border="1" style="margin: auto;"><thead><tr><th></th><th style="text-align: center;">1st Budget Period</th><th style="text-align: center;">Total Project Period</th></tr></thead><tbody><tr><td style="text-align: center;">Direct Cost</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr><tr><td style="text-align: center;">Indirect Cost</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr><tr><td style="text-align: center;">Total</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr><tr><td style="text-align: center;">Cost Sharing</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr></tbody></table>			1st Budget Period	Total Project Period	Direct Cost	_____	_____	Indirect Cost	_____	_____	Total	_____	_____	Cost Sharing	_____	_____
	1st Budget Period	Total Project Period														
Direct Cost	_____	_____														
Indirect Cost	_____	_____														
Total	_____	_____														
Cost Sharing	_____	_____														
Sponsor _____																
PI _____																
Primary Unit _____																
Begin _____ End _____ OR Duration _____																

In accordance with CU Indirect Cost Reimbursement Policy, the federally approved indirect cost rates are to be applied to all contracts and grants. Exceptions are rare and must be approved by the Vice Chancellor for Research (or designee). This Addendum Form must accompany the Proposal Processing Form for any such project. The following is applicable to this project:

1. By law or regulation a governmental agency is limited in the amount or rate of indirect cost

2. A foundation has a formal written policy, consistently applied to all such awards, limiting indirect cost

3. A corporation is a prime contractor under a federal award and the IDC rate is limited by the governmental agency

4. The project is of such significant benefit to the campus that subsidization of indirect cost is warranted (if box 4 is checked, approval by the Vice Chancellor for Research or AVCR is required)

Note: For either condition 3 or 4 above, a written justification and explanation of the benefit of the project to the campus must be submitted by the principal investigator/project director (if it can not be adequately described below it must accompany this Addendum Form as an attachment).

OCG calculates the imputed "loss" of indirect cost recovery to be \$ _____

The following cost items have been included as "direct costs" that may be considered to help offset the "loss" of indirect costs in that the campus, dean, or institute or department also receive benefit:

	Dollar Amount	Details
<input type="checkbox"/> 1. AY Salary for the principal investigator/project director	_____	_____
<input type="checkbox"/> 2. Salary and/or tuition for graduate research assistants	_____	_____
<input type="checkbox"/> 3. Salary for technical support staff	_____	_____
<input type="checkbox"/> 4. Departmental administrative support	_____	_____
<input type="checkbox"/> 5. Equipment, supplies, telephone equipment	_____	_____
<input type="checkbox"/> 6. Travel or other costs	_____	_____

NOTE: It is absolutely essential that any cost items charged to a project be relevant, allocable, and beneficial to that project.

Additional Justification: the following aspects of the project describe the benefit to the campus of such a project and the ways that the "loss" of indirect cost is offset by these benefits (e.g., AY salary recovery, GRA salary and tuition support, seed money for possible future funding, departmental infrastructure costs):

Endorsement of Department Chair / Institute Director / Dean

Attachments

- Optional
- Kept to a minimum
- Act as subsidiary to the main proposal
- i.e.
 - Supporting documents
 - Tables
 - Photographs
 - Illustrations
 - Graphs
 - Charts





Federal Assurance and Certifications

- Drug-Free Workplace
- Certification regarding Lobbying
- Delinquency on Federal Debt
- Civil Rights

Must be signed by the Institution's Authorized individual.



Special Approvals

- Animals
- Human Subjects
- Recombinant DNA
- Radiation



Letters of Support

- Required of collaborators mentioned in the Project Description
- Requires authorizing signature of Of appropriate collaborator official



Submission:

- Two ways to submit to NSF:
 - Fastlane
 - Internet/web technology to facilitate the way NSF does business with the research, education and related communities
 - Grants.gov
 - Single Government-wide portal for finding and applying for Federal grants online



Fastlane

- Effective 10/00 all NSF proposals had to be entered online via “Fastlane”
Now – may be also entered via Grants.gov
- Investigator must be registered in Fastlane
- Contact Joyce Kroll in Office of Contracts and Grants to register



The logo consists of a vertical black line on the left, a horizontal black line below it, and three overlapping squares: a yellow one at the top left, a red one at the middle left, and a blue one at the bottom left. The word "Fastlane" is written in a blue, sans-serif font to the right of the vertical line.

Fastlane

- You will need to provide the following information for registration:
 - First name
 - Middle initial
 - Last name
 - Suffix to last name
 - Social Security Number
 - CU department and UCB number



Fastlane

- CU phone number
- CU email or email account checked most frequently
- CU Fax number
- Highest degree earned
- Year that degree was awarded



Fastlane

- Have you ever served as a PI/Co-PI on a federally funded project?
- Ethnicity: Hispanic/Latino or Not Hispanic Latino
You may decline to answer this question.
- Impairments: mobility, vision, hearing, other?
You may decline to answer this question.
- Citizenship status: US citizen, Permanent Resident or other?
- Race



Fastlane

- Fastlane Homepage
 - <http://www.fastlane.nsf.gov/fastlane.jsp>
- To check on a proposal:
 - Go to Proposal Preparation:
 - Enter Last Name, Soc. Sec. #, Password
 - Click on proposal preparation button
 - Click on prepare proposal
 - Highlight the appropriate proposal
 - Click on edit
 - Click on budgets
 - Print from Navigation box only



Subcontracts

- So....You are the recipient of an subcontract from another institution...
 - Remember...these are considered Federal Flow Thru Funds
or
 - Pass Thru Funds
 - As such, they are subject to the rules of the original sponsor
 - The other agency will want a budget and statement of work from us
 - They will enter our budget in Fastlane or if they want OCG to enter, OCG will need their pin and temporary proposal #.



Ready to Submit?

- Log into fastlane as usual
- Edit Screen, click on the “Allow SRO Access” button
- Select the 3rd. Level – allow SRO to view, edit and submit
- Email will be generated to OCG personnel (don’ t rely on the email – follow-up with a phone call to OCG)

The logo graphic consists of a vertical black line on the left, a horizontal black line below the text, and three overlapping squares: a yellow one at the top left, a red one below it, and a blue one to the right of the red one.

Grants.gov

- Portal for submission
- University rather than the PI is registered
- PI sends files to OCG
- OCG prepares and uploads the files into Grants.gov



Supplemental Funding Request

- Summary
- Justification for the supplement: why the proposed work can't be covered by the main proposal
- Budget justification – “blurb” or more?

The Processing Form – Page 1

Office of Contracts and Grants PROPOSAL PROCESSING FORM [07/03]

Title of Project: Glacier Mass Balance and Volume Change: Global Reanalysis
 Proposal No.: 1107.05.1771B
 Received in OCG on: 11/2/2007
 Deadline: 11/10/2007
 Total Amount Requested: \$494,372

Sponsor: NSF
 Begin: 9/1/2008 End: 8/31/2011 OR Duration:
 PI: Dyrangerov, Mark CoPIs: Meier, Mark
 Title: Research Associate
 Phone: 303-492-5800
 Email: dyrang@strin.colorado.edu
 Box: 450 ICR Split: College: GS

Primary Unit: INSTAAR 10099
 Other Units:
 1st Budget Period: Direct Cost 93,040 Indirect Cost 47,916 Total 140,956
 Total Project Period: Direct Cost 326,318 Indirect Cost 168,054 Total 494,372

Cost Sharing:
 Announcements: AREA

Indirect Cost Rate: 51.5% On Off Campus IMDC Other
 (An Indirect Cost Addendum Form is required for all proposals involving less-than-full indirect cost.)

UNIVERSITY COMMITMENTS OR OTHER ASPECTS REQUIRING DOCUMENTATION:

Additional Space/Facilities: _____
 General Funds/Matching: _____
 Subcontracts/Consultants: _____
 AY Support: _____
 AY Cost Sharing: _____
 Other Cost Sharing: _____
 Overload/Counselor Reduction: _____
 Biohazards: _____ Radioactive Materials: _____
 "Select Agents" for information about (and a list of) "select agents" go to CDC website: _____
 Human Subjects: _____
 Animals: _____
 Other Unusual Aspects: _____

PSR _____ OCG Proposal Analyst: Tom H. Eaten

PROJECT TITLE

OCG PROPOSAL NUMBER

DEADLINE DATE

PI AND Co PI NAMES

TYPE OF PROPOSAL

ICR SPLITS

FUNDS REQUESTED

IDC RATE

UNIVERSITY COMMITMENTS

The Processing Form must be signed by the PI and all Co. PIs

The Processing Form – Page 1 cont.



- Outlines Commitments:
 - Space/Facilities – renovations, space rental
 - General Fund/Matching – equipment match (form required)
 - Subcontracts/Consultants
 - AY Support
 - AY Cost Sharing -
 - Other Cost Sharing – 3rd party in-kind, GRA support
 - Overload/Course Reduction
 - Biohazards
 - Radioactive Materials.
 - Human Subjects
 - Animals



The Processing Form – Page 2

- Must be signed by the PI/Co. PIs
- Agreeing that you are in compliance with government regulations and University policies
- Conflict of Interest
- DEPA must be completed before proposal is submitted.



The Processing Form – Page 2 cont.

- Conflict of Interest
 - Exists when an employee's financial or personal considerations may compromise, or have the appearance of compromising, an employee's personal, professional and academic activities
 - Exists when professional service or research contracted outside the University interferes with the employee's paramount obligations to students, colleagues, and the primary missions of the university



The Processing Form – Page 2 cont.

- DEPA
- DEPA = DISCLOSURE OF EXTERNAL PROFESSIONAL ACTIVITIES
- All faculty required to submit an annually
 - Tenure track faculty
 - Instructors
 - Lecturers
 - Adjunct faculty
 - Research professors
 - Research associates
- <http://www.colorado.edu/VCRsearch/ORI/coic.html>

The Processing Form – Page 2

Title: MCM LTER Program - USGS Ongoing Support 2008-09 Season

PI: McKnight, Diane

Proposal No: 1108.40.1754B

OFFICE OF CONTRACTS AND GRANTS PROPOSAL PROCESSING FORM

PRINCIPAL INVESTIGATOR(S) STATEMENT REGARDING COMPLIANCE WITH GOVERNMENT REGULATIONS AND UNIVERSITY POLICIES: MISCONDUCT IN RESEARCH AND AUTHORSHIP, CONFLICTS OF INTEREST AND COMMITMENT

I acknowledge that I am aware of, understand, and will conform to all applicable sponsoring agency and University policies regarding misconduct in research and authorship. (<http://www.colorado.edu/VCResearch/ORI/scrm.html>)

I acknowledge that I am aware of, understand, and will conform to all campus and University policies and procedures governing conflicts of interest and commitment. (<http://www.colorado.edu/VCResearch/ORI/coic.html>)

I acknowledge that, as Principal Investigator, I am responsible for ensuring that anyone "responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding" (NSF, July 1995) has disclosed any financial or other potential conflicts of interest or commitment with the activities encompassed by this proposal.

Specifically, with respect to any inventions made or discovered or copyrightable material produced in the course of the proposed activities, I agree that my rights and those of any Investigators working on the project shall be controlled by the terms of any resulting award document. I further agree that I am subject to and will comply with the University Patent Policy, and will make such assignment of rights as is required in the award document or University policy. (<https://www.cusys.edu/policies/Academic/IP-Discoveries.pdf>) (<https://www.cusys.edu/policies/Academic/IP-Educational-Materials.pdf>)

Each investigator must indicate whether or not he/she has a current Disclosure of External Professional Activities (DEPA) on file, and whether such financial disclosure(s) or other personal or professional commitments may constitute a potential conflict of interest with this proposal. Please note: if this is a proposal to NSF or NIH, then it cannot be submitted until all investigators have a current DEPA on file; if this is a proposal to any other prospective sponsor, then no account can be established until all Investigators have a current DEPA on file. In all cases, OCG will require confirmation that any identified conflict has been managed prior to disbursement of any funds awarded.

Please have the PI and any Co-PI's sign below:

Principal Investigator: _____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

Co-Principal Investigator: _____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

Co-Principal Investigator: _____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

Please list any other project personnel responsible for the design, conduct, or reporting of research or educational activities:

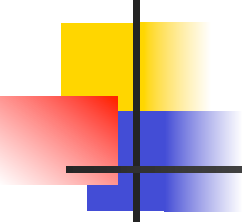
_____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

_____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

_____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

_____ DEPA Y___ No___ Date _____ Conflict? Y___ No___

Cost Sharing/Matching Form

- 
-
- Required for any cost sharing/matching
 - Commitments can be:
 - Cash
 - Equipment Match
 - GRA Support
 - F&A
 - AY Effort
 - Third party – In-kind
 - Must be signed by the PI, Chair/Director, Dean, Vice Chancellor



INSTAAR CONTACTS

- Julie Hughes, Chief Financial Officer,
303-492-5106
julie.hughes @ colorado.edu
- James White, Director,
303-492-7909



OCG Contacts:

- Randy Draper, Director of OCG,
303-492-6221
- Mindy Vallejos, Contract Administrator,
303-492-6223
- Joyce Kroll, Pre-award, NSF - FASTLANE
303-735-3118
- Joan Eaton, Pre-award, INSTAAR,
303-492-2691
- OCG receptionist (Chandra)
303-492-6221



Compliance Contacts

- Conflict of Interest - Pamela Rosse
 - Pamela.rosse@colorado.edu
 - 303-492-3024
- Human Subjects – Claire Dunne
 - Claire.dunne@colorado.edu
 - 303-735-3702
- Equipment – Vacant
 - 303-492-6440
- Radiation Safety – Michelle Law
 - barrym@colorado.edu
 - 303-492-6523
- Biosafety – Denise Donnelly
 - denise.donnelly@colorado.edu
 - 303-492-7072



Remember....

The Project Director has ultimate
Responsibility for the contents of
The proposal





The End
