Research Administration 101

Session 2
Proposal Preparation
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Proposal Preparation
- Resources – funding opportunities and instructions
- Reading an RFP
- Budgeting
- Proposal Docs
- Routing and Submission
General Rules

- Applications must be submitted through the university.
- Awards are made to the UW, not the PI.
- Sponsor guidelines must be followed.
- Direct costs must be directly related to the project.
- The proposal becomes part of the terms and conditions of an award:
  - Effort commitments, statement of work, and project aims become contractual obligations at award.

Finding Funding – Databases and Resources

https://www.rsp.wisc.edu/funding/

- All federal funding opportunities listed
- Multiple options for search criteria: Keyword, Funding opp #, Agency...
- Download application instructions
- Enter your email to receive funding opportunity updates (e.g., notification of revisions)
Funding Resources - NIH

- Funding opportunities: grants.nih.gov/grants/guide/index.html
- Forms and Applications: grants.nih.gov/grants/forms.htm
- Application Guide SF424(R&R)
  - Guidelines, policies, and procedures for NIH proposal preparation and submission
- RFA's, PA's

<table>
<thead>
<tr>
<th>RFA (Request for Applications)</th>
<th>PA (Program Announcement)</th>
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</thead>
<tbody>
<tr>
<td>• Specific research area defined</td>
<td>• Broadly defined research priorities</td>
</tr>
<tr>
<td>• May allow multiple funding mechanisms</td>
<td>• Specifies funding mechanism (e.g. R01, R21, etc)</td>
</tr>
<tr>
<td>• Due date is a single (received-by) deadline</td>
<td>• Due dates are standard (postmark) deadlines, usually 3 times a year</td>
</tr>
<tr>
<td>• May be limited to only one (or a handful of) ICs within NIH</td>
<td>• Multiple ICs participate</td>
</tr>
<tr>
<td>• Proposal requirements and restrictions, e.g. program area, eligibility, funding limits, allowable costs</td>
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Funding Resources - NSF

- Funding opportunities: http://www.nsf.gov/funding/
  - Solicitations = NSF requests for proposals
    - Proposal requirements and restrictions, e.g. scientific focus, eligibility, funding limits, allowable costs
  - Guidelines, policies, and procedures for NSF proposal preparation and submission

Reading the RFP – Key Information

- Application deadline
- How to apply (email? online? hard copy by mail? other?)
- Funding priorities and scientific or programmatic focus
- Applicant Criteria (eligible institutions, PI eligibility, limit on # of applications per institution)
- Budget (Limits? Restrictions? F&A?)
- Allowable project period
- Proposal formatting (page limits, font, margins)
Planning Ahead

- Check that PI, key personnel, and anyone assisting with proposal preparation have accounts/access in necessary system(s)
  - Cayuse – Email RSP to set up accounts for new users
  - eRA Commons (for PHS proposals) – Email your Dean's office for account setup
  - NSF Fastlane – Email your Dean's office for account setup
- Check that PI is up to date on Outside Activity Reporting and Effort Reporting.

Planning Ahead

- Contact your Dean's office to discuss lead time requirements and coordination of proposal routing and approval.
  - Allow at least 1-2 weeks for routing and approval of proposal and budget – or longer if the proposal includes subcontracts and/or matching requirements.
- It’s never too early to:
  - Begin collecting biosketches, conflict of interest, and current & pending support documents
  - Start a WISPER record and have the PI sign it
  - Contact subcontract organizations with timelines and forms

Budget Development

- Budget building tools
- Direct costs vs. Indirect costs
- Budget narrative
- Subcontracts
- Cost share/Matching commitments
Budget Building Tools

- **Spreadsheets**
  - RSP
  - Standard Spreadsheet
  - SF424 spreadsheet
  - Standard Spreadsheet with NIH Modular component
  - Your own
  - Check with your Dean's Office
- **Cayuse**

Direct Costs

- **Salaries** –
  - research.cals.wisc.edu/salary-rate-information/
- **Fringe benefits** –
  - www.rsp.wisc.edu/rates/index.html
- **Supplies/Materials**
- **Publications**
- **Equipment**
- **Travel** –
  - www.bussvc.wisc.edu/acct/travel/tabtripplanning.html
- **Consortium/Contractual/Subcontract/Subaward**
- **Other allowable and allocable expenses directly related to the project**

Collaborations: UW Cross-College

- When submitting new or revised budgets that include committed effort for key personnel from other colleges, approval from the other unit is required.
- Request via WISPER approval (“Other Dept or Div Resource” approval type)
- See www.rsp.wisc.edu/policies/reqapprovals.html for information and instructions
Collaborations: Proposals with Other Institutions (Subcontracts)
- If UW is Lead we must have signed paperwork from the institution/organization we are subcontracting to
  - Budget, Budget Narrative, and Scope of Work
  - Letter of intent signed by an Authorized Representative
  - Institutional info and agency-required forms (e.g. face page, checklist), if applicable
  - For NIH proposals: Financial Conflict of Interest (FCOI) compliance
- If we are the Subcontract on someone else's proposal
  - All of the above information must be routed in WISPER, approved by RSP, and submitted to the Lead institution

Subcontract vs. Vendor
Subcontract
- Performance measured against whether the objectives of the federal program are met
- Has responsibility for programmatic decision making
- Has responsibility for adherence to applicable federal program compliance requirements
- Would publish with the PI

Vendor
- Provides the goods and services within normal business operations
- Provides similar goods or services to many different purchasers
- Operates in a competitive environment
- Provides goods or services that are ancillary to the project

Indirect (F&A) Costs
www.rsp.wisc.edu/rates/index.html

<table>
<thead>
<tr>
<th>Item of Indirect Cost</th>
<th>Federal Rate</th>
<th>F&amp;A Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subcontractor's Personnel</td>
<td>0%</td>
<td>100%</td>
</tr>
<tr>
<td>Subcontractor's Services</td>
<td>0%</td>
<td>100%</td>
</tr>
<tr>
<td>Subcontractor's Facilities</td>
<td>0%</td>
<td>100%</td>
</tr>
<tr>
<td>Subcontractor's Supplies</td>
<td>0%</td>
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<tr>
<td>Non-Federal Subcontract</td>
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*For administrative and clerical personnel, the indirect cost rate is 1.5 times the direct labor rate.*
Indirect (F&A) Costs

- Must be requested at the maximum rate allowed by the sponsor, up to the university’s negotiated rate
- Consult your dean’s office before using any rate other than the negotiated rate for research
- The UW may accept a lower F&A rate IF:
  - Sponsor is a not-for-profit or government organization
  - Sponsor’s policy is clearly written and consistently applies to all applicants/awardees
- The UW’s indirect cost rate is set by DHHS, and applying it consistently is required by federal regulations.

Indirect (F&A) Cost – Know your Base

- Modified Total Direct Costs (MTDC) = Sum of direct costs, less tuition remission, equipment over $5,000, and the amount of any subcontract above $25,000
- Use when applying the negotiated indirect cost rate
- Total Direct Costs (TDC) = Sum of direct costs, NO exclusions
- Use when rate is less than our negotiated rate
- Total Awarded Funds (or total federal funds or total requested funds) = Sum of direct and indirect costs
  - Have to work backwards - x% of total awarded funds = \((x)/(100-x))\% of total direct costs
  - Ex. 30\% of total awarded funds = \((30/70)\% of TDC or 42.857\% of TDC

Budget Narrative

- Justification of the **budgeted** expenses
- Expenses must be allowable
- Show as much detail as possible
  - % of effort for each person (what you list here is a commitment!)
  - % fringe for each person
  - Travel information including rates, where, how long and how many people
- Specific supplies
Cost Sharing

Contact your Dean’s Office

Cost sharing occurs when the institution redirects its resources to support a specific sponsored project beyond the funding level provided by the sponsor.

UW Policy: [https://www.rsp.wisc.edu/costsharing/](https://www.rsp.wisc.edu/costsharing/)

Generally, the University’s policy is to minimize institutional and third party cost sharing on sponsored projects.

Effects of Cost Sharing:
- Reduced flexibility by obligating effort and other unrestricted resources to specific projects.
- Increased requirements for capturing, monitoring, and documenting commitments.
- Decreased recovery of indirect costs (cost share can negatively impact the university’s indirect cost rate).

Cost sharing may be mandated by the sponsoring agency or necessary to reflect accurately the resources required to accomplish project objectives.

- Requirement must be documented in writing.
- To meet the requirement, we may consider using:
  - UW Personnel (salary and fringe)
  - UW unrestricted funds (gifts, startup etc.)
  - Indirect costs on proposed match
  - Un-recovered indirect costs.
Other documents

- Data Management Plan:
  http://researchdata.wisc.edu/
- Responsible Conduct of Research:
  http://www.grad.wisc.edu/research/policyrp/rcr/index.html
- Current and Pending support
  - Pay close attention to effort commitments and totals
- Facilities and Equipment
- Conflict of Interest
- Biosketches/CV
- And of course... the Science

Putting the Pieces Together:
Proposal Submission Systems

**Cayuse**
- Web-based system UW uses for all federal and Grants.gov submissions
  - System-to-System software
  - Use for proposal preparation and editing
  - Cayuse validates, formats, and transmits proposals to Grants.gov

https://www.rsp.wisc.edu/cayuse/index.html

**NSF Fastlane**
- Web-based system NSF uses for proposals and awards
  - Use for proposal preparation and editing
  - Enable SRO view/edit
    - Enable SRO view/edit/submit only when ready
  - Campus completes submission to NSF

https://www.fastlane.nsf.gov/
Putting the Pieces Together: Proposal Submission Systems

**eRA Commons**

- Web-based system NIH uses to collect and error-check proposals
- At UW, NIH proposals go from Cayuse → Grants.gov → eRA Commons

https://commons.era.nih.gov/

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Putting the Pieces Together: Proposal Routing

**WISPER**

- At least one week prior to the deadline, route WISPER record to your dean's office. Be sure to include/complete:
  - Proposal Due Date, Proposal title and project dates, Sponsor information, PI signature, Chair approval
  - Attachments: Call for proposals, Budget, Budget justification, Scope of Work
- Utilize the submission instructions (General tab) and Comments (Comments and Attachment tabs)

https://www.rsp.wisc.edu/WISPER/

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Proposal Submission

- **Who submits?**
  - Federal submissions – Completed by campus official
  - Other sponsors – Depends on submission method and sponsor instructions. Contact your dean's office for instructions.
- **Allow plenty of time (as in days) for submission, sponsor error checks**
  - Technical issues are the worst – we all have horror stories
  - Stand by until successful submission is confirmed

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After Submission

- Contact your Dean's office with any notifications or requests from the sponsor
  - JIT (Just-In-Time), Budget revisions/clarification, opportunity to submit additional information
- Prepare for the award:
  - Protocols in place or amended, FCOI and Effort Certifications up-to-date
- Attach award documents to the WISPER record and notify your Dean's office
  - only RSP and OIP are authorized to sign and accept awards.

Thanks for Joining Us!!

- Questions?
  - College and School Research Contacts:
    https://www.rsp.wisc.edu/cnsrescont.html
  - RSP Staff Contacts:
    https://www.rsp.wisc.edu/directory.cfm
  - Christy Schulz, crschulz@wisc.edu
  - Sharon Vetter, sharon.vetter@wisc.edu
  - Brenda Egan, baegan@rsp.wisc.edu
  - Becky Bound, rbound@cals.wisc.edu