

**Proposal and Budget Preparation  
Procedure 1.b.12**

1. First time users of the electronic submission process should contact SPA thirty (30) days prior to the sponsor deadline for CAYUSE training.
2. If a proposal is in response to an RFP, please send the RPF (or URL of applicable web site) to your Pre Award Grant Specialist one (1) week before proposal submission to KUMCRI Sponsored Programs Administration to allow for adequate time for review of the RFP's terms and conditions. Special approvals or strategizing may be required. For complex RFPs or proposals (i.e., those with contract documents incorporated, multiple consortium or subcontract arrangements, cost sharing from third parties, and/ or complicated budgets), or other unique issues, it is recommended that SPA be contacted at least thirty (30) days prior to the sponsor deadline, if not sooner.
3. Review the funding agency instructions and contact SPA Pre-Award with questions.
4. Budget Preparation
  - a. Federally funded projects are subject to the specifications outlined in OMB Circular A-21 section J, or application instructions.
  - b. Privately funded projects are subject to the specifications of the respective sponsors. Sponsors typically have a specific format in which the budgets should be presented, and it is important that these specifications are followed explicitly.
  - c. In general, a budget will consist of an itemization of Direct Costs (salaries, fringe benefits, equipment, travel, supplies, and other direct costs), Facilities and Administration (F&A) Costs, and Cost Sharing when required.
    - i. Institutional Base Salary rates for NIH proposals [http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm)
    - ii. The fringe benefit rate is 32% of salary requested for faculty and staff. The student fringe benefit rate is 2% of salary requested. If the funding agency's policy has other restrictions, then you would follow those guidelines. The employee fringe benefit rate includes retirement, FICA (Social Security), health Insurance, disability insurance, Worker's Compensation, and Unemployment Compensation. The fringe rate for students include FICA, and a contribution to health insurance.
    - iii. F&A rates:  
[http://www2.kumc.edu/researchinstitute/spa/documents/IndirectRateAgreement7.21.11\\_001.pdf](http://www2.kumc.edu/researchinstitute/spa/documents/IndirectRateAgreement7.21.11_001.pdf)
  - d. Budget Justification: a brief explanation for the items budgeted that corresponds to the project outline. Major cost categories require particular explanation.
5. Complete funding agency forms.
6. Complete the KUMC Research Institute Internal Routing Checklist ensuring Department, Center, School, and Administrative review.
7. Submission: take the internal forms and one draft copy of the application to SPA Pre-Award (6th Floor Wescoe Hall, 913-588-1251):
  - a. **Ten (10)** working days prior to the sponsor deadline; research plan may be in draft form.
  - b. **Five (5)** working days prior to the sponsor deadline; "ready to submit".
  - c. Refer to Policy 1.1.12: Proposal Submission Deadline

8. SPA Pre Award will review your application and contact you regarding any corrections needed. Once SPA Pre-Award has the Institutional approval and sign-off, the PI or department will

- a. Be contacted to pick up the original for mailing to the funding agency if paper submission.
- b. Be notified when your proposal will be submitted via CAYUSE if electronic submission.

**Please provide to SPA a copy of Pre-Proposals or Letters of Intent that do not require a budget or institutional approval.**

For assistance with Clinical Trials Research Agreements, go to <http://www2.kumc.edu/researchinstitute/cra/index.html>

**History:**

Originally Issued as Policy 1.1.2: 2/29/2008

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