

PROPOSAL AND BUDGET PREPARATION
February 2008
Policy 1.1.03

Policy:

The University of Kansas Medical Center Research Institute (KUMCRI) is the vehicle for applications submitted to federal, state, local and private for-profit and non-profit funding agencies. The Division of Sponsored Programs Administration (SPA) processes all applications except for clinical trials. Clinical trials agreements and budgets are processed through KUMC Research Institute Division of Clinical Research Administration. All applications, including funded Clinical Trials, are recorded in the Sponsored Programs Administration databases.

Purpose:

The Sponsored Programs Administration Pre Award office is authorized to assist faculty in the submission and negotiation of all proposals, including budgets, for new or continued federal and private support of University projects. The proposal budget is a carefully prepared and detailed explanation of the funds needed to accomplish the project. Budgets prepared for federally-funded projects are subject to the cost allowability guidelines as detailed in Office of Management and Budget Circular A-21. The Vice Chancellor for Research is authorized to review and approve such proposals for KUMC.

The KUMC Research Institute Division of Clinical Research Administration will assist faculty and staff in all aspects of clinical research administration.

Procedures:

1. Identify the funding agency and submission deadline.
2. Review the funding agency instructions and contact SPA Pre-Award with questions.
3. 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
 - ii. F&A rates http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/rate_agreement_06_05_08a.pdf
 - d. Budget Justification: a brief explanation for the items budgeted that corresponds to the project outline. Major cost categories require particular explanation.
4. To complete funding agency forms.
5. To complete the KUMC Research Institute checklist ensuring Department, Center, School, and Administrative review.
6. Submission: take the internal forms and one draft copy of the application to SPA Pre-Award (6th Floor Wescoe Hall, 913-588-1251):
 - a. Hard Copies: **ten (10)** working days prior to the mailing deadline.
 - b. GRANTS.GOV applications: **twelve (12)** working days prior to the submission deadline.
7. 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, you will be contacted to pick up the original for mailing to the funding agency.

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

Definitions:

Cost Sharing or Matching: The value of third party in-kind contributions and the portion of the costs of a federally assisted project of program not borne by the Federal Government.

Direct Costs: Costs that can be specifically identified with a particular project(s) or activity. Examples of research project-specific expenses include expenses for equipment, personnel, travel, and other expenses necessary to carry out a research project.

Facilities and Administrative (Indirect) Cost: A broad category of costs that are common to all research projects. "Facilities" is defined in OMB A-21 as depreciation and use allowances, interest on debt associated with certain buildings, equipment and capital improvements, operation and maintenance expenses, and library expenses. "Administration" is defined in OMB A-21 as general administration and general expenses, departmental administration, sponsored projects administration, and student administration and services.

Institutional Base Salary: The annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of the duties to the applicant organization.

Office of Management and Budget (OMB) A-21: Federal circular establishing principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

Responsible Parties:

Principal Investigators

Exemptions:

None

Related Policies and Links:

KUMC Office of Compliance Institutional Research Safety Report Form <http://www2.kumc.edu/researchcompliance/forms/researchsafety.pdf>

KUMC Research Institute Division of Clinical Research Administration <http://www2.kumc.edu/researchinstitute/cra/index.html>

KUMC Research Institute Sponsored Programs Accounting Internal Checklist
http://www2.kumc.edu/researchinstitute/spa/documents/KUMC_Proposal_Routing.docx

KUMC Research Institute Sponsored Programs Accounting, Proposal Process
<http://www2.kumc.edu/researchinstitute/spa/spapropprocess.html>

KUMC Research Institute Policy 1.1.01: Principal Investigator Eligibility
http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/PI%20Eligibility.pdf

OMB Circular A-21 http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html

Contacts:

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