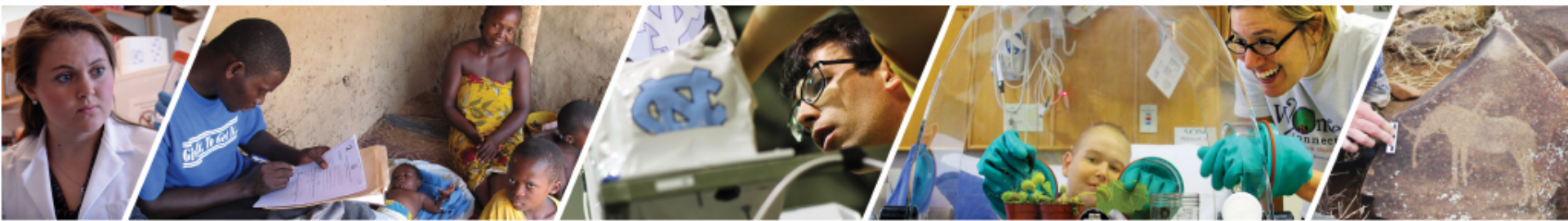


OH NO, NOT ANOTHER BUDGETING SESSION: BUT SERIOUSLY, WHAT DID I FORGET?

Betty Morgan, CRA, Office of Sponsored Research

Lorrie Robbins, CRA, Office of Sponsored Research



UNC SYMPOSIUM
for
RESEARCH ADMINISTRATORS

Thursday, August 15, 2019
UNC Friday Conference Center

LEARNING OBJECTIVES

1. How to get to know your PI's science so you can pull a budget together.
2. Identify the needs of the PI, the institution, pre and post award offices.
3. Match the budget to the science.
4. Can you manage what was proposed at pre-award from the post-award perspective?
5. If the PI has this in the budget, then include this. Learn the "if this, then" scenarios.

IS THERE ENOUGH INFORMATION TO MOVE FORWARD?

Program Director/Principal Investigator (Last, First, Middle) **Place, Happy**

DETAILED BUDGET FOR INITIAL BUDGET PERIOD DIRECT COSTS ONLY						FROM 07/01/2019	THROUGH 06/30/2020	
List PERSONNEL (<i>Applicant organization only</i>) Use Cal, Acad, or Summer to Enter Months Devoted to Project Enter Dollar Amounts Requested (<i>omit cents</i>) for Salary Requested and Fringe Benefits								
NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	INST. BASE SALARY	SALARY REQUESTED	FRINGE BENEFITS	TOTAL
Place, Happy	PD/PI	4			192,300	64,100	16,476	78,809
Sunset, Beach	Co-I	5			165,000	68,750	18,459	87,209
Coffee, Big	Lab Technician	12			38,000	38,000	14,720	52,720
SUBTOTALS						169,083	49,655	218,738
CONSULTANT COSTS								
Bayer Corporation								5,000
EQUIPMENT (<i>Itemize</i>)								
SUPPLIES (<i>Itemize by category</i>)								
Lab Supplies \$5,000								
Computer \$1,800								6,800
TRAVEL								
Scientific Conference								2,000
INPATIENT CARE COSTS								
OUTPATIENT CARE COSTS								
ALTERATIONS AND RENOVATIONS (<i>Itemize by category</i>)								
OTHER EXPENSES (<i>Itemize by category</i>)								
Genome Sample Services \$,8000								
Service Maintenance Contract \$1,600								9,600
CONSORTIUM/CONTRACTUAL COSTS						DIRECT COSTS		
SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD (<i>Item 7a, Face Page</i>)						\$ 242,138		
CONSORTIUM/CONTRACTUAL COSTS						FACILITIES AND ADMINISTRATIVE COSTS		
TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD						\$ 376,525		

PHS 398 (Rev. 03/16 Approved Through 10/31/2018)

Page ____

OMB No. 0925-0001
Form Page 4

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for
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MUST CONSIDER BEFORE MOVING FORWARD

1. Who, What, Where, When, How?
 - A. Who is the Sponsor?: *NIH, DoD, Federal, Industry, Foundation, etc.*
 - B. What are the guidelines? *Funding Opportunity Announcement (FOA)*
 - C. Where is the science happening? *UNC, Subawards, Off Campus, Field Work?*
 - D. When is the project happening? *Start Date, Performance Period*
 - E. How? *What science is being proposed? Scope of Work, Animals, Humans, etc.*

MUST CONSIDER BEFORE MOVING FORWARD, cont.

2. Allowable, Allocable, Reasonable, Necessary?
 - A. Allowable: *Is it permissible for a sponsored project according to terms and conditions of the sponsored agreement FOA, UNC and Uniform Guidance or Federal Acquisition Regulations?*
 - B. Allocable: *Does it benefit that project or belong there?*
 - C. Reasonable: *Consistent in like circumstances? Does it make sense?*
 - D. Necessary: *How does the project benefit? Can the project go on without it? Does it promote the science?*

MUST CONSIDER BEFORE MOVING FORWARD, cont.

3. Can we, Should we?

- A. Can we manage this from a post-award departmental and Central Sponsored Projects Accounting perspective? *Can we meet billing terms, reporting, closeout, and departmental monthly reconciliation?*
- B. Should we as an institution enter into these terms and conditions based on the FOA? *Any red flags in FOA?*

4. Think in terms of Football:

- A. Pre-award: *the offense working to the end zone for the goal (proposal phase to award phase).*
- B. Post-award: *moves in to defend (award management phase)*

Offense cannot do it without defense and defense cannot do it without offense!

WHERE DO I GO FROM HERE?

1. Read the Funding Opportunity Announcement before you even touch that budget. *Click on any policy links in the FOA. Is it a grant, is it a contract? Uniform Guidance or FAR?*
2. Read the Scope of Work or Abstract. *What key elements need to be included in the budget?*
3. Does the Scope of Work align with University policies and procedures? *Can we deliver what we propose?*
4. Now look at the budget! *Does the budget match the science? Can my PI do the science for what is proposed?*
5. Budget Justification: *Must be an exact text portrayal of the line item budget. If you have fringe and F&A in the budget put it in the justification.*

FUNDING ANNOUNCEMENT

Sponsor: Howard Hughes Medical Institute, HHMI Professor Award:

A link in their FOA: ***"Final Invoice of actual cumulative costs is due 45 days prior to the end of each budget period"***

Potential Problems:

1. Official general ledger will not be accurate because all costs have not been incurred 45 days prior to the end date.
2. If the budget is awarded for 12 months this will shorten the eligible budget by ~1.5 months. PI will lose money for the science.
3. Central office should negotiate to include "estimated obligations" for that 45 day period.

Offense handing off to Defense!

FUNDING ANNOUNCEMENT, cont.

PI tells you he/she wants to submit an R21. This is great!

I submitted many R21s! Easy Peasey Lemon Squeesy!!!!

Link to FOA:

<https://grants.nih.gov/grants/guide/pa-files/PAR-18-433.html>

Potential Problems:

1. What makes this different from the R21s you submitted?
PAR-18-433: this is different from the typical parent (PA) R21 announcement.
2. The purpose, components and deadlines may all be different from the PA R21. ***READ, READ, READ and READ AGAIN!***

SCOPE OF WORK

NASA Proposal with Academic Component:

“Graduate students enrolled in program at [blank] University will rotate to [blank] University and [blank] University in their program for credit which will apply to their overall credit at enrolled University. When our graduate student rotates to [blank] University and [blank] University, those University graduate students will rotate to [blank] University”

Potential Problems:

1. Does this program even exist?
2. If funded, can we deliver what was proposed?
3. How will this impact the graduate students' degree requirements?

SCOPE OF WORK, cont.

Title of Project: *In vivo murine models of metastasis for therapeutic testing*

“Metastasis is the most lethal feature of human cancers, but the molecular processes that govern metastatic spread are not well understood. One of the major obstacles in this crucial area of cancer research is the lack of faithful genetic de novo cancer model that results in regional and distant metastases. Xenograft models based on cancer cell lines cannot fully recapitulate the intricate interplay in the complex microenvironment of stromal and cancer cells. In addition, the necessity of using immunocompromised mice for xenograft transplants precludes elucidation of the likely critical interaction...”

Necessary Budget Components:

1. Mice
2. Animal Care
3. Possibly equipment-surgery: “xenograft transplants”

B



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**RESEARCH
GRANTS**



"My project is simply this. I want to find out once and for all whether there's any truth in the belief that money can't buy happiness."

PRINCIPAL INVESTIGATOR'S LABORATORY

1. PI is a Distinguished Chair.
2. PI is a full professor at the University.
3. PI has been doing research for 20 plus years.
4. PI has a fully established lab with a program manager, many post-docs, graduate students, research technicians and administrative personnel.

Situation: *His/her funded sponsored projects have been running into deficit for multiple years. PI insists on submitting a modular budgets to NIH.*

Solution: *PI should submit detailed budgets. His/her lab is too large and science is too large to fit into modular.*

Sponsor Reviewer Concerns: Budget does not match the science.

PRINCIPAL INVESTIGATOR'S SCIENCE

Research:

Animal Models of Vascular Development and Endothelial Cell Biology

Situation:

PI indicated he/she would like to apply for an NSF grant entitled “STEM Education Data and Trends” and provides the link. Do I have enough information to know if it fits with my PI’s science?

Next Steps:

Read the announcement. This announcement is for engineering with no biology component. Notify the PI.

NOW I AM READY FOR THE BUDGET

IF THIS...THEN THIS...

Personnel:

- Do I have enough effort for the PI to meet sponsor and University guidelines?
- Is this a multi-PI mechanism?
- Did I include any sponsor salary caps?
- How about mandatory cost-sharing?
- Did I include Fringe?
- If I have graduate students, did I include tuition?

NOW I AM READY FOR THE BUDGET

IF THIS...THEN THIS...cont.

Consultants:

- Does it meet the definition of consult according to the sponsor and University guidelines?
- Is there measurable effort?

Equipment (over \$5,000):

- Does the sponsor require quotes?
- Did you remember to exclude from F&A calculations?
- How about cost of maintenance contracts?
- How about the cost of freight to deliver?

NOW I AM READY FOR THE BUDGET

IF THIS...THEN THIS...cont.

Supplies:

- Do you have animals to purchase?
- How about computers? Should be considered at time of proposal.

Travel:

- Does sponsor require certain meetings each year?
- Will there be foreign travel? What purpose and where? Should be considered at time of proposal.
- Sponsor usually want to see foreign and domestic travel broken out in proposal.

B



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NOW I AM READY FOR THE BUDGET

IF THIS...THEN THIS...cont.

Other Expenses

- Do you have animals? Animal care
- Human subjects? Do you have participants and incentives?
- Consortium activity: subawards
 - Did you remember F&A guidelines when factoring F&A?
 - Is there any foreign subawards or components to the research?
- Is the research requiring work at a recharge center internal or external?

NOW I AM READY FOR THE BUDGET

IF THIS...THEN THIS...cont.

Facilities and Administrative Costs:

- Can I use our negotiated rate?
- If not, is it the sponsor's published rate or do I need an F&A waiver?
- Is this research, clinical trial, industry, federal, foundation, on-campus, off-campus? Different rates for different situations.
- Consortium activity: subawards
- Total Direct Costs vs. Modified Direct Costs?

Is there anything else for your PI's science?

THOUGHTS TO LEAVE YOU WITH

- We are all in the same game!
- It is not just about $1+1=2$ when being a research professional and managing sponsored projects!
- All sides must work together for the win! PI, Research Professional, proposal preparation, award management, department, central offices.

