

Procedures for Submission of Grant Proposal

School of Human Environmental Sciences

The purpose of this procedure is to improve communication between the Principal Investigator, their Department, and the Administration of the School of Human Environmental Sciences with submission of grant proposals.

Budget Preparation

For assistance with budget preparation, the departments should contact the School of Human Environmental Sciences Budget Manager:

Donna Hancock, 103 Erikson Hall, 257-0120, donna.hancock@uky.edu

The following information should be provided:

- Sponsor Guidelines
- Budget created in Excel spreadsheet, including formulas
- Budget justification

Please copy the Budget Manager with all grant related correspondence to College Grants Officer (CGO), Sponsored Projects Administration (OSPA), Sponsored Projects Accounting (SPA) or any other related correspondence.

Internal Approval and Financial Disclosure Forms

Faculty effort for the proposal will be reviewed with the Department Chair/Program Leader/Assistant Director prior to proposal submission. This will allow for discussion of budget and faculty effort needs. All grants need budget approval regardless of submission method.

The electronic internal approval form (eIAF) process should be used. The eIAF will need to complete the approval process at all levels before the proposal will be submitted to the sponsor by OSPA. Any discussions/negotiations with other departments regarding split of enrichment fund distribution will need to be finalized before the deadline of your grant submission.

The faculty/staff should meet with their department chair to discuss any effort on a grant whether in the School or through another department.

Grant deadlines will be the same as the College of Agriculture and OSPA. Please be aware of this in order to obtain required signatures on the IAF form prior to proposal submission. Per OSPA website, internal deadlines are as follows:

- **The completed proposal must be received by the OSPA Research Administrator three (3) business days in advance of the sponsor's deadline.** Remember to take into account that the usual department and college approvals are required prior to submission. This is in effect for all proposals, paper or electronic. All proposals should be submitted to sponsor by OSPA. (http://www.research.uky.edu/ospa/info/internal_deadline.html)
- In addition, the budget must be reviewed and approved by the College of Agriculture Grants Officer prior to submission (Betty Newsom, S103 Ag Science North, 257-7291; bnewsom@email.uky.edu)
- A copy (either electronic or hard copy) of the complete proposal packet should be submitted to the HES Budget Manager.

Budget and Budget Justification

Please be sure that justifications are written for CAS (Cost Accounting Standards) items that are to be budgeted. Per the University's Costing Guidelines for Sponsored Projects, CAS items are "Items of costs such as salaries of administrative and clerical staff, office supplies, postage and local telephone (including monthly service charges) that are normally treated as indirect costs. However, for special purposes and circumstances, costs that are normally indirect may be directly charged." The entire Costing Guidelines for Sponsored Projects can be found at the following link:

<http://www.uky.edu/EVPFA/Controller/files/BPM/Append3.html#2.0>

Budget justifications for CAS items need to be specific as to how the functions will support the specific aim of the project. The justification should include the following statement:

These costs are normally treated as indirect by the University of Kentucky, but are being requested due to a special purpose or circumstance as provided for under the institution's costing guidelines and DS-2 disclosure statement.

Examples of most common CAS justifications are included in Attachment A. The examples can also be found at the following link:

http://www.research.uky.edu/ospa/info/cas_sample.html

Even if CAS items are written into the justification and approved by the sponsor, they must be specific in need and above general day to day function (i.e. clerical support). Otherwise, OSPA may not set up the budget accordingly.

PIs are required to budget their time to the proposal unless sponsor guidelines prohibit PI salary. Exceptions must be approved by the Department Chairman and Director of HES. If the exception for charging PI salary is approved, a written justification must be included with internal paperwork submitted to OSPA.

If the sponsor does not allow the University full indirect rate, a copy of their written policy regarding their indirect rate must be attached to the IAF. This cannot be a letter from someone in the agency. It must be a formal approved policy that applies to all proposals submitted to the agency.

Procedures for Post-Award of Grants

Please forward a copy of award notification to Budget Manager. If an e-account needs to be established, the Budget Manager can assist you in establishing the account.

Budget Revisions

If a budget revision is required, contact the Budget Manager to help facilitate form submission. Please consider budget revision needs carefully. We want to incorporate as many needs into one revision if possible.

Contracts

All contracts are to be negotiated and signed by OSPA. Please be aware that not all contract terms may be negotiable which would prohibit obtaining the grant/contract.

Attachment A

Justification for Indirect Costs Charged as Direct Costs (CAS Items)

Indirect Costs Charged as Direct Costs in federal proposals need to have an asterisk next to the items and need to be supported by a CAS allowable justification statement. The asterisk should then be referenced at the end of the budget justification with the following statement "These costs are normally treated as indirect by the University of Kentucky, but are being requested due to a special purpose or circumstance as provided for under the institution's costing guidelines and DS-2 disclosure statement". The CAS justification need only be included in proposals that are to be funded with federal funds.

Following are points to consider and examples of adequate justifications for several items of cost.

Clerical/Support Staff

Questions to consider:

- What will this individual be doing that is different or in addition to his/her normal duties?
- What is unique about the responsibilities on the project? And, how does this tie in to scientific/programmatic objectives of the project?
- Is the position specific to the project and will not exist if the project is not funded?
- More isn't necessarily different. However, it can be different if there is a large order of magnitude, such as supporting a national conference or a "large, complex project."

Example 1:

Residency Training Grant:

Jane Doe, Administrative Assistant. This cost is normally treated as an indirect cost at the University of Kentucky. However, due to the requirements of this project, university policy allows this cost to be requested and justified as a direct cost. The proposed project involves development, implementation and evaluation of eight workshops attended by on-site and off-site trainees with approximately 40 standardized patients. Ms. Doe will assist in the preparation of Student Guides and Instructor Reference for use by the trainees during their residency. Ms. Doe will be solely responsible for coordinating and scheduling the training workshops for on-site and off-site attendees. She will coordinate and schedule the standardized patients for the workshop. At the end of the workshops, it will be Ms. Doe's responsibility to compile the student evaluations into a usable format for reporting results and for use in future workshops. 50% of her time will be devoted to this project.

Example 2:

Training Grant/Rural Outreach Proposal

Ms. G is the departmental Accounts Manager. The position is typically treated as an indirect cost at the University. However, due to the large and complex outreach component of the proposed project, University policy allows the 20% effort being requested for Ms. G to be requested and justified as a direct cost. Ms. G will assist the Principal Investigator in monitoring the invoices and processing payment documents for the 30 off-campus sites. She will arrange and coordinate the quarterly meetings held at the University for the off-campus site subcontractors.

Example 3

Large Complex Project (Program Project):

Larry Jones, Administrative Assistant: This cost is normally treated as an indirect cost at the University of Kentucky. However, due to the nature of this project, university policy allows this cost to be requested and justified as a direct cost. This Program Project is large and complex, containing ten (10) separate components and additional supplemental funding. Further, the Program Project also entails multiple subcontractual agreements, which require extensive monitoring and liaison with the recipient institutions. Mr. Jones will be responsible for processing all payment documents involving all of the Program Project accounts. He will monitor and reconcile all fiscal accounts and will communicate regularly with Core and individual Project Leaders regarding the fiscal activity of the grant. He will be responsible for preparing a monthly financial report for each Core, Project and Pilot Program Leader. Further, he will develop overview reports of the financial activity on all projects within the Program for the Director, Dr. Smith. Mr. Jones will devote 80% of his effort to this Program Project

Computers

Computing hardware is normally an indirect cost because computers are used in support of a variety of activities. However, in accordance with university costing policy computers may be charged to a sponsored agreement when all of the following criteria are met. The item must:

- Be specifically identified with the project;
- Be required to fulfill the scientific objects;
- Have a preponderance of use (75% or greater) on the project;
- Be specifically listed in the proposal budget and be awarded

Laboratory Based Research Project

A desktop computer (Dell, Optiplex 5200 GXMT) is requested to support the extensive cloning experiments and plasmid constructions described in this proposal. This cost is normally treated as indirect at the University of Kentucky. However, due to the requirements of this project, University policy allows this cost to be requested and justified as a direct cost. This computer is essential to fulfill the Specific Objectives of the proposal, including the construction of the human/rabbit chimeras, the construction of the multicistronic plasmids, and the design of oligonucleotide primers for polymerase chain amplification. The computer will be in heavy use for these purposes, and be used almost exclusively (80%) for the scientific aims of this proposal, with the remainder of the use for other scientific purposes. The software needed to design the plasmids, chimeric proteins, and oligonucleotide Primers (Lasergene, DNASTar, Inc.) will also be purchased on this grant.

Laptop Computer for Research Project with Off-site Data Collection

\$3,000 is requested for a laptop computer. This cost is normally treated as indirect at the University of Kentucky; however, due to the requirements of this project, university policy allows this cost to be requested and justified as a direct cost item. The computer will be almost exclusively dedicated to the accomplishment of the specific aims of this project as described in the research plan (>80%); Specific aims 1 and 2 involve collection of clinical data from primates at three off-campus test sites. The laptop will enable the researchers to enter data from primates at three off-campus sites. The laptop will enable the researchers to enter the data as it is received and review the entered data while still at the site. The data can then be transferred from the test sites directly to the university for analysis. On-site computer entry facilitates quality control and removes the possibility of human error which could occur while transferring data from a hand written record to a computerized data base.

Office Supplies

This cost is normally treated as F&A at the University of Kentucky, however, due to the requirements of this project, University policy allows this cost to be requested and justified as a direct cost. This is an ongoing program funded by USDA through the Kentucky Cabinet for Health and Family Services.

The amount allocated to office supplies for this program will be used to administer the Supplemental Nutrition Assistance Program (SNAP-Ed) state-wide containing the following projects: Families Project, Seniors & Disabled Project, Limited English Project, Preschool Project, School Age Project, Farmer's Market Project, Jefferson County Master Food Volunteer Project, Pike County Schools Project, Laurel County Schools Project, Muhlenberg County Schools Project, Ohio County Schools Project, Henderson County Schools Project, Clay County Schools Project, Western Kentucky Master Food Volunteer Project, and the Owsley & Lee County Schools Project. The projects will be carried out throughout all 120 counties and supplies are used to support and carry out approximately 1000 educational programs.

The supplies are required to create the curriculum for the various workshop programs within each project, administer lessons, collect, record, compile, and analyze the data gathered from the information documented during the workshops. The University is required by the sponsor to report the findings in monthly, quarterly and year end compilation reports requiring far more than normal usage of supplies.

Also, the supplies will be used to support two state-wide training sessions of 25 paraprofessionals and facilitate seven teacher in-service training workshops. Food demonstration and photo copy refunds are done on a quarterly basis, again requiring more than normal office supplies that would be used.

The supplies required for this project are 40 boxes of paper, 69 binders, 30 packs of folders, 40 packs of dividers, and 20 food recall kits made from supplies to accomplish the goals and requirements of the grant.

Reviewed and approved by HES Leadership Team, August 17, 2010
Revised, reviewed and approved by HES Leadership Team, August 2, 2011