



**THE OHIO STATE UNIVERSITY**

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COLLEGE OF FOOD, AGRICULTURAL,  
AND ENVIRONMENTAL SCIENCES

# **Finding Funding & Sponsored Research Budgeting**

Lori Kaser & Pam Schlegel

CFAES Office for Research and Graduate Education

Grant Development Support Unit (GDSU)

# Discussion Items

- Sponsored Programs Overview
- Types of Sponsors
- Finding Funding
- Funding Agreements
- Budgeting for Sponsored Research





# Office of Sponsored Programs

- Every University (any size) has an office that submits proposals and accepts awards.
- May have different names
- What is a Sponsored Program Officer (SPO)



# OFFICE OF SPONSORED PROGRAMS

<http://osp.osu.edu/>

Services provided:

- Proposal and budget development assistance for grant submissions
- Negotiation of awards
- Management of post-award grants and contracts
- Research purchasing
  - Research project faculty, staff, and student payrolls
- Network of sponsored program officers (SPOs) serving each college



# OFFICE OF RESPONSIBLE RESEARCH PRACTICES

<http://orrrp.osu.edu/irb>

- Administers Institutional Review Boards (IRBs)
- Works with investigators to help them navigate the IRBs and gain committee approvals
- Reviews and assures compliance on more than 6,000 human subjects protocols for faculty, staff, and student projects



# OFFICE OF RESPONSIBLE RESEARCH PRACTICES

<http://orrp.osu.edu/iacuc/>

- Administers the Institutional Animal Care and Use Committee (IACUC)
- IACUC provides oversight of animals in research and instructional activities
- Works with investigators to help them navigate the IACUC to gain committee approvals
- Administers and assures compliance on over 900 animal protocols annually



# OFFICE OF RESPONSIBLE RESEARCH PRACTICES

<http://orrp.osu.edu/iacuc/>

- Provides veterinary and husbandry services for the university's 125,000 plus animals involved in biomedical research and teaching
- Ensures the humane care and use of animals
- Ensures compliance with federal laws and guidelines



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grants.cfaes.ohio-state.edu

## Grant Development Support Unit

College of Food, Agricultural, and Environmental Sciences



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CFAES

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OSUE

### Grant Development Support Unit

The GDSU has been successful in obtaining more than \$97 million in new extramural funding since its inception in 2010. Contact us for your proposal development needs!

[Read more >](#)



The GDSU is a free service provided to all CFAES faculty and staff. We are available to assist you with proposal development and submission and/or answer grant related questions. We have offices on both the Wooster and Columbus campuses. Please stop by or contact us to see how we can help you submit a successful proposal!

Search

CAYUSE424

EPA-005

PI PORTAL

OSP

ONBOARDING

## NEWS

### Research News (August 2018)

JUL 30, 2018

Templates and Forms

Monthly Newsletter

Upcoming Training and  
Events

Funding Opportunities

SEEDS

ePA-005 guidance

Workshop Handouts



# What we do: the big picture

- Support faculty (principal investigators) and colleges with pre-award, post award, compliance and overall management of grants and contracts
- Assist in the day to day activities that accomplish project objectives
- Work with campus partners to ensure smooth project implementation
- Problem solve
- Oversight and administration of projects

# Basic functions of research administration

- Provides services to enhance researchers' success
- Provides management support for the institution's research mission
- Helps sponsors (funders) to achieve their goals and ensures their regulations are enforced
- Research administrators are the bridge between:
  - ❖ The researcher and institution
  - ❖ The researcher and sponsor(s) (funders)
  - ❖ The institution and sponsors (funders)



# Basic functions of research administration

- Support faculty (principal investigators) and colleges with pre-award, post award, compliance and overall management of grants and contracts
- Assist in the day to day activities that accomplish project objectives
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- Problem solve
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# Pre-Award vs. Post Award

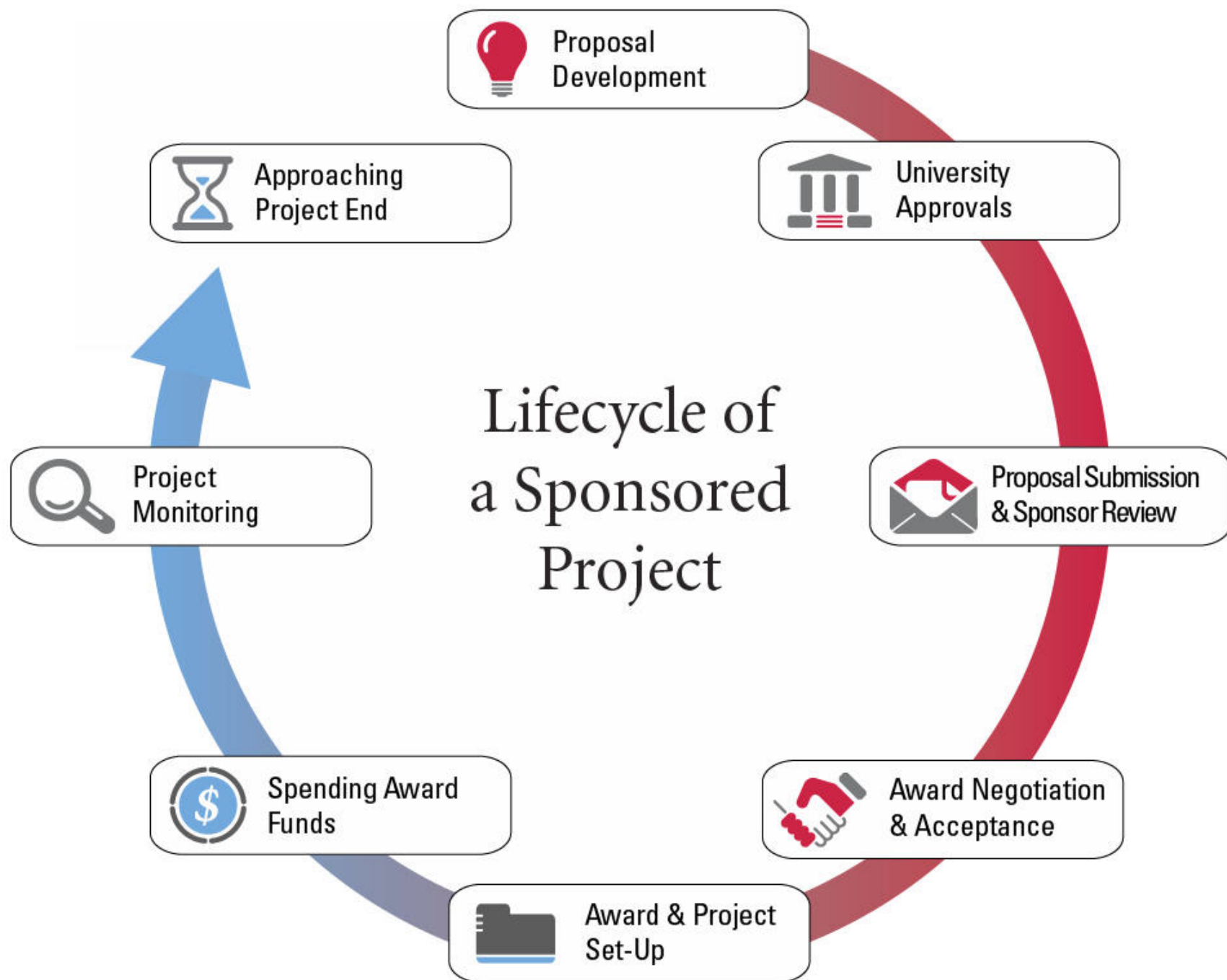
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## **Pre-Award**

The pre-award phase represents the beginning of the grant lifecycle, which includes identifying opportunities, submitting and reviewing applications.

## **Post-Award**

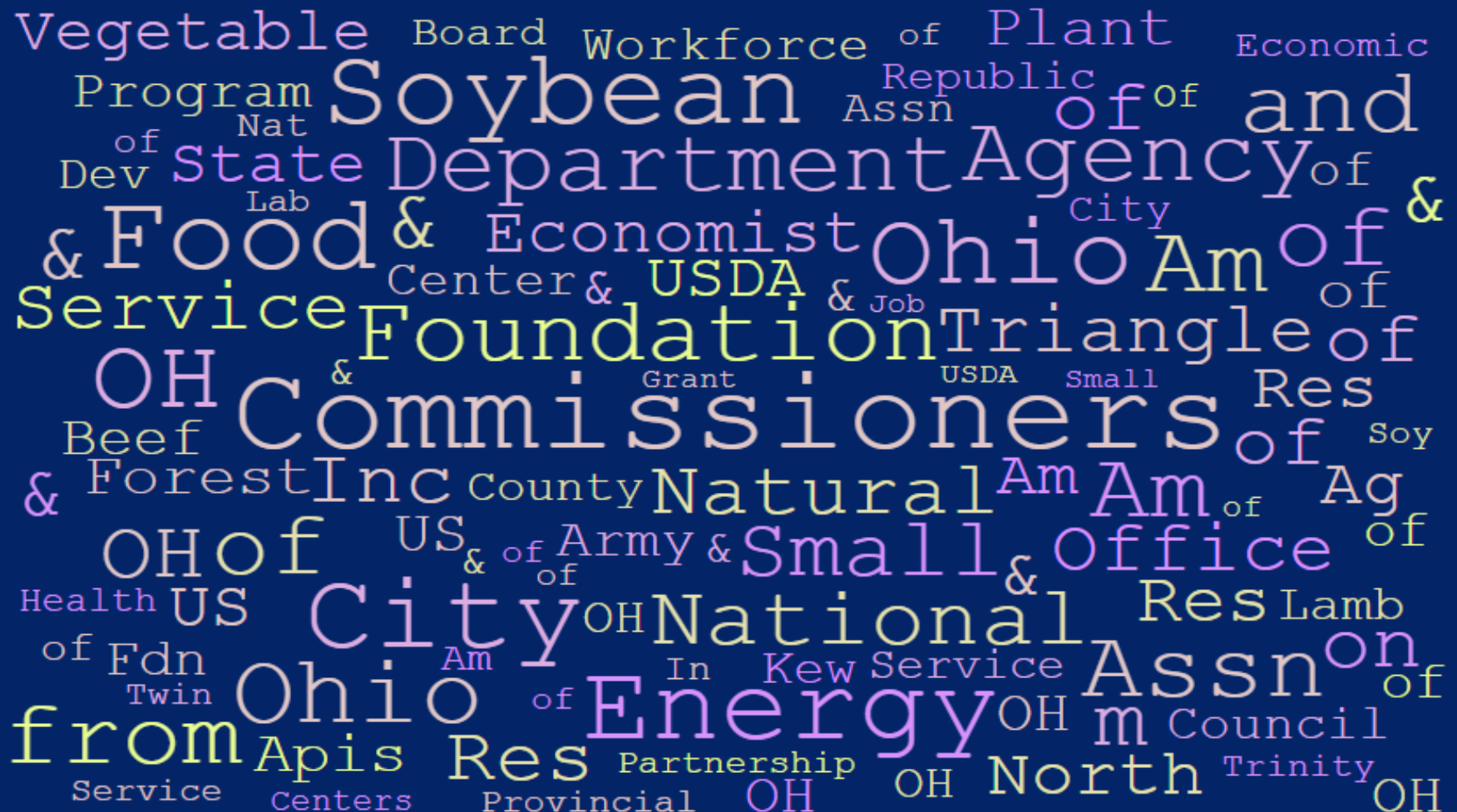
The post award phase comprises a significant amount of work over the duration of the award dates, which includes implementing the grant, monitoring and reporting progress, and completing the closeout requirements.





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# Who are our sponsors?





# Who are our Sponsors?

## Federal Government

- Cabinet level departments (e.g. Agriculture, Energy, Defense, Health and Human Services)
- Through divisions and programs

## State Government

- Programs funded with Federal “flow-through” dollars
- Programs funded with state appropriations



# Federal Programs

Grants.gov - Grants.gov lists all current discretionary funding opportunities from **26 federal agencies** of the United States government -- in other words, all the most important public funders of research in the United States.





# Who are our Sponsors?

## Foundations

- Major charitable organizations with broad geographic and disciplinary scope (e.g. Ford Foundation, MacArthur Foundation)
- State, local and community foundations – geographically targeted
- Specialized foundations – activity targeted (e.g. Robert Woods Johnson Foundation)
- Corporate foundations (e.g. AT & T Foundation)



# Who are our Sponsors?

## Other Non-Profit Funding Sources

- Advocacy organizations (e.g. American Cancer Society)
- Professional Organizations (e.g. American Chemical Society)



# Who are our Sponsors?

## Business & Industry

- Major Corporations (e.g. Monsanto, Dow AgroSciences, Bayer CropScience, Abbott Nutrition, Dupont)
- Small Businesses (e.g. Ohio Crafted Malt Hours, LLC)



# Finding Funding





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# SEEDS: The CFAES Research Enhancement Competitive Grants Program for Graduate Students

Fiscal Year 2020



## SEEDS awards are intended to accomplish the following objectives:

- To provide students with an opportunity to gain research experience
- To introduce students to the grant-writing and peer-review process
- To stimulate faculty-graduate student collaborations and mentoring of students by CFAES faculty
- To stimulate collaborations between graduate students across disciplines to prepare students for future interdisciplinary work
- To identify students who have potential for successful research careers



## **Awards**

### **Graduate**

**\$5,000 (individual)**

**\$10,000 (team)**

## **Deadline**

### **Graduate**

**December 18, 2019**

- Be enrolled throughout the duration of the project as a grad student in one of these colleges:
  - Food, Agricultural, and Environmental Sciences
  - Biological Sciences
  - Education & Human Ecology
  - Veterinary Medicine
- Have a primary faculty advisor with a CFAES appointment
- Be in good academic standing, have at least nine months left in the program, and not plan to graduate prior to December 2020.



## SEEDS awards are intended to accomplish the following objectives:

- To provide students with an opportunity to gain research experience
- To introduce students to the grant-writing and peer-review process
- To stimulate faculty-graduate student collaborations and mentoring of students by OARDC & CFAES faculty
- To stimulate collaborations between graduate students across disciplines to prepare students for future interdisciplinary work
- To identify students who have potential in research careers





## Submission Process

**Graduate Deadline Date:**

**December 18, 2019 at 5:00 p.m.**  
**(no exceptions!)**

**Review all instructions before submitting your application online. Make sure you have all of your materials together when you are ready to submit. You cannot save and return to your application.**

**[oardc.osu.edu/seeds](http://oardc.osu.edu/seeds)**

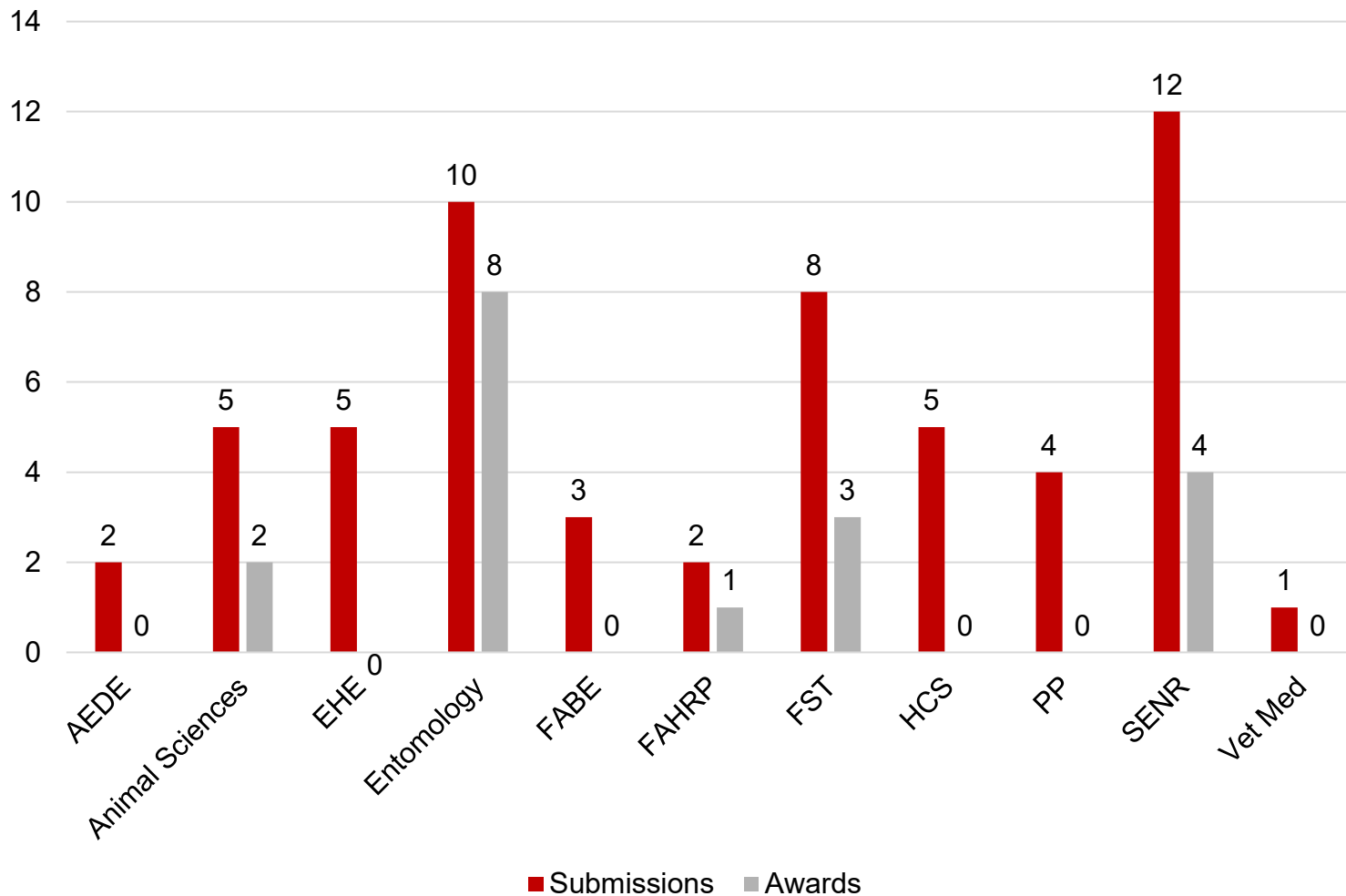


## Graduate Review:

- The SEEDS Graduate Panel is made up of past Graduate SEEDS recipients and other graduate representatives as needed. There are two rounds of proposal review.
- Round One: Proposals are rated 1-5 on the following:
  - Title and Abstract
  - Project Description
  - Research Methods
  - Schedule of Activities
  - Budget and Justification
- Round Two: The top scored proposals will go on to the second round of proposal review. The SEEDS Graduate Panel will hold a meeting at the end of February to determine funding.



## Graduate Proposals by Department FY 2019





**[oardc.osu.edu/seeds](http://oardc.osu.edu/seeds)**

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**(614) 292-5748**




# Funding and Research Development ([go.osu.edu/funding](http://go.osu.edu/funding))

- **SPIN Funding Opportunities Database**
  - [www.infoedglobal.com](http://www.infoedglobal.com) > SPIN
- **Research Development and Grant Writing Newsletter**
  - <http://go.osu.edu/grantwritingnews> (OSU login required)
- **Federal Grants and Contracts**
  - <http://grants.gov>
- **Research Databases**
  - <http://library.ohio-state.edu/screens/databases.html>



Visit [go.osu.edu/funding](https://go.osu.edu/funding) to access this page.

 Funding Consults @ the Research Commons  
[Click Here to Schedule a Funding Consultation](#)

## Funding Opportunities and Research Databases

### SPIN: Funding Opportunities Database - Step by Step Instructions to Create an Account

The Office of the Vice President for Research provides a campus-wide subscription to SPIN which aggregates over 40,000 funding opportunities from more than 10,000 global sponsors. SPIN provides intuitive and easy access to funding opportunities geared towards both individual and administrative users.

Learn how to use the SPIN funding opportunities database to create personalized email funding alerts by following these instructions.

Step 1: Create your [SPIN profile](#) while on campus (OSU Wireless or campus network), [step-by-step instructions are available](#).

Step 2: Watch for an email with login instructions from [spinsupport@infoedglobal.com](mailto:spinsupport@infoedglobal.com). (Access may take up to one business day; the user-validation process requires an overnight administrative process.)

Step 3: Login to SPIN and create and save searches that generate customized funding alerts.

[Need help with your login/password?](#)

To access publicly saved searches, visit our [web services page](#). To request a new search or for questions, please email Ethan Barnhardt ([barnhardt.12s@osu.edu](mailto:barnhardt.12s@osu.edu)).

Additional information for [Finding Funding](#) is available.



# Funding and Research Development ([go.osu.edu/funding](http://go.osu.edu/funding))

- **Finding Collaborators**
  - <http://osu.academicanalytics.com/> faculty expertise)
- **Internal Funding Opportunities**
  - College, institute/center, and department web sites
- **Sponsored Program Officers**
  - <http://osp.osu.edu/spos>
- **Google Alerts and Google Scholar searches**
  - <http://google.com>
- **CFAES Resources**
  - [grants.cfaes.ohio-state.edu](http://grants.cfaes.ohio-state.edu)



# Types of Funding Agreements







**A Gift**



What is the difference?

**A Contract**



**A Grant**



Gift, Grant, or Contract?		
GIFT	GRANT	CONTRACT
Not tied to specific performance dates	Specific period of performance	Specific period of performance
Irrevocable	Revocable	Revocable
No obligations beyond routine stewardship reporting	Technical, financial and invention reports to sponsor	Technical, financial and invention reporting, as well as work product deliverables
Unrestricted	Terms & conditions with some flexibility for grantee	Terms & conditions-typically restrictive
Donation of cash or other tangible asset	Financial assistance	Purchase transaction
No scope of work	PI's scope of work	Sponsor's or PI's scope of work
Selection made at donor's sole discretion	Awarded based on peer review recommendations	Awarded based on low bid/project design. Selection process



# **To choose the best funding for you, ask yourself:**

- What do I want to do?
- How much will it cost? How long will it take?
- Where am I in my career?
- Who might provide a gift, contract or grant?



# **Search Tips**

## **Once you have found something of interest:**

- Read the abstract/synopsis of the grant opportunity
- Determine your eligibility to apply
- What is the award ceiling/floor? How many awards will be made?
- What are the due dates for letter of intent/proposal submission?
- Is your work relevant to the RFP/RFA?



# Grant Budgeting Basics





# Read the RFP

The Sponsor's solicitation will provide specific details

- The number of years available
- Maximum – minimum funding request
- Type of funding available (i.e. equipment, conf.)
- Ineligible costs
- Indirect cost rate and restrictions
- Budget categories and forms will vary by sponsor
- Type of costs that must be included in the budget



# Purpose of the Budget

- Demonstrates how much the project will cost
- Shows funders where the money will go
- Serves as a plan on how you will operate the project
- Serves as the financial expression of your project



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1	<b>Sponsor Legal Name:</b>	Start Date:		
2	<b>Principal Investigator:</b>	End Date:		
3	<b>Project Title:</b>			
4	<b>Budget for full Project Period</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Total</b>
5	<b>Salaries *</b>			
6	Principal Investigator (academic release)			
7	Principal Investigator (summer months)			
8	co-Principal Investigator (calendar months)			
9	Post-Doc researcher			
0	Graduate Student			
1	Temporary Employees			
2	<b>Total Salaries</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
3	<b>Fringe Benefits *</b> (estimated using percentage of salary)			
4	Faculty-Staff			
5	Post-Doc			
6	Graduate Student			
7	Temporary Employee			
8	<b>Total Fringe Benefits</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
9	<b>Domestic Travel *</b>			
0	<b>Foreign Travel *</b>			
1	<b>Total Travel</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
2	<b>Participant Support Costs</b>			
3	Stipends			
4	Travel			
5	Subsistence			
6	Other			
7	<b>Total Participant Support Costs</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
8	<b>Conference or Workshop*</b>			
9	<b>Equipment *</b>			
0	XYZ Machine			
1	<b>Total Equipment</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
2	<b>Other Direct Costs</b>			
3	Materials & Supplies *			
4	Consulting or Contracted Services			
5	Subawards			
6	Graduate Student Tuition			
7	Publication Cost/Documentation			
8	Internal Reimbursable Service Centers			
9	Miscellaneous ***			
0	<b>Total Other Direct Costs</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
1	<b>Total Direct Costs</b>			
2	<b>Base****</b>			
3	<b>Facilities and Administrative Costs (Indirect) Rate: % of</b>			
4	<b>Total Project Costs</b>			



# TYPES OF EXPENSES

## Direct Costs

Personnel Costs

Wages

Fringe Benefits

Non-Personnel Costs

Travel

Equipment

Contractual Services

Materials - Supplies

Tuition/Fees

Publications

Sub awards

Other



# Allowable and Allocable Costs

All costs associated with sponsored research must fall into both of these categories:

## Allowable

Those project costs that are **eligible, reasonable, necessary, and allocable** to the project.

## Costs

## Allocable

Costs that are **assignable or chargeable** to one or more of the cost objectives related to the scope of the project within parameters agreed upon by the PI, University and sponsor.



# **SALARY/STIPEND**

## **Two primary categories**

### **Senior Key Personnel**

- Principal Investigator
- Co-Investigator(s)

### **Other Personnel**

- Post Doc's
- Technicians
- Graduate Students
- Undergraduate Students

### **Considerations**

**Amount of time**

**Salary level**

**3% annual increase**



# FACULTY

## 9 month or 12 month appointment

- 9 month appointment – Off-duty pay eligible (3 months, 11% per month)
- 12 month appointment – Release time eligible

## Percent of Effort Assigned to Grant

With the approval of appropriate administrators, 12-month faculty members and/or exempt staff members can have a portion of their effort reassigned to grant activities. The budget should include the portion of effort that will be assigned to the grant.

*EXAMPLE: Assistant Director V is an exempt staff member at 100% effort with a base salary of \$35,000. S/He will be re-assigned to the grant for*



## FRINGE RATES

- Fringe rates vary by positions; current rates can be found at:

<http://osp.osu.edu/development/budgets/fringe-benefit-rates-and-tuition/>

Faculty – off duty pay	15.7%
Faculty – 9 & 12 month appointments	26.8%
Students	8%
Staff	31.6%
Specials (temporary staff, non-enrolled students)	15.7%



## Fringe Benefit Rates

Students	8%
Staff	31.6%

## EXAMPLE

A **Graduate Student** is paid \$28,000 per year. The student will work 50% on the project.

$$\begin{aligned} \$28,000 \times 50\% &= \$14,000 \quad \text{salary} \\ + \$14,000 \times 8\% &= \$1,120 \quad \text{benefits} \end{aligned}$$

**\$15,120 = total request for salary and fringe benefits**

A **Postdoc** is paid \$62,000 per year. The post doc will work 50% on the project.

$$\begin{aligned} \$62,000 \times 50\% &= \$31,000 \quad \text{salary} \\ + \$31,000 \times 31.6\% &= \$9,796 \quad \text{benefits} \end{aligned}$$

**\$40,796 = total request for salary and fringe benefits**



# TRAVEL

## Two types of travel

- Domestic
- Foreign

Includes **airfare** (domestic and foreign), **per diem**, **lodging**, **conference registration**, and **ground transportation** (taxi, car rental, personal mileage & tolls)

- Cannot charge business class or first class air travel
- Must utilize U.S. flag carriers at the lowest available rates



# MATERIALS AND SUPPLIES

General purpose consumable items which commonly have a shorter life span in use than equipment and machines, and which are stocked for recurring use.

- **Allowable:** Chemicals, reagents, glassware, nets, software, seeds, pipets, potting soil, fertilizer, greenhouse and field supplies, etc.
- **Unallowable:** General office supplies – they are included in the F&A calculation (pens, paper, office supplies, etc.)





## Equipment

Supplies or tools needed for a special purpose. Remember to obtain a quote of the item to submit with your budget.

For an item to be considered equipment, it must meet all three of the following criteria:

- **Cost \$5,000 or more**
- **Have a useful life of at least one year**
- **Be stand-alone and function independently**

*When using our full federal F&A rate, F&A (indirect costs) are not charged to equipment.*



## **PUBLICATION COSTS**

Publishing of an article in a scientific or technical journal.

- Costs of preparing and publishing the results of a project conducted under the award, including costs of reports, reprints, page charges or other journal costs, and necessary illustrations, may be included.
- Other type of field/program related publication or for commercial printing of brochures and program materials.



# **EQUIPMENT/FACILITY RENTAL/USER FEES**

## **Equipment Rental**

When there is a need to rent equipment for use on the project, provide information on the type of equipment to be rented, the purpose or use on the project, the length of time needed, and the rental rate.

## **Facility Rental**

When it is necessary to rent office or other facility space for project implementation, and the space is located off-site from the organization's main facility and the space is not owned by the OSU. The cost of the rent may be charged against the award, if the space is used specifically for the project.

## **User fees/ Greenhouse charges**

When there is a charge for using greenhouse space on campus. 51



# SUBAWARDS

An award of financial assistance in the form of money.

- For your purposes, subawards are normally other academic institutions, non-profit entities, or other federal sources
- Must abide by terms and conditions of subcontract with OSU
- Work within their budget
- Subject to audit
- Contributing to the Intellectual property of the proposal



## CONSULTANT SERVICES

An individual retained to provide professional services and expertise for a fee. Typically operates in a competitive environment and provides goods and services within normal business operations.

- Meets the independent contractor status established by the IRS
- **Not an OSU employee**

When the consultant is affiliated with another academic institution, the services provided must be:

- Outside of the consultant's institutional time and commitments
- Without the use of their institutional resources



## Should a PI be a Consultant or a Sub Award?

Sub award	Consultant
<ul style="list-style-type: none"><li>• Does the entity's statement of work represent an intellectually significant portion of the programmatic effort of the overall project?</li><li>• Does the entity have responsibility for programmatic decision making?</li><li>• Could the entity's work result in development of intellectual property or publishable results (including co-authorship)?</li><li>• Will the entity be using institutional facilities, students or staff?</li></ul>	<ul style="list-style-type: none"><li>• An individual retained to provide professional advice or services for a fee.</li><li>• Meets the independent contractor status established by the IRS.</li><li>• Provides similar goods and services to many different purchasers.</li><li>• Provides goods and services within normal working hours.</li><li>• Operates in a competitive environment.</li></ul>



## OTHER COSTS

An item that is needed but has no specific category

- Lab Testing (MCIC, Star Lab)
- Outreach Materials
- Conference/Meetings
- Service or Maintenance Contracts
- Tuition/Fees
- Advisory Panel Costs
- App Development
- Purchased Services
- Participant Support Services



## Unallowable Costs

- Alcoholic beverages
- Proposal preparation costs
- Lobbying Costs
- Goods and Services for personal use
- Membership in civic clubs, community organizations, social or dining clubs
- Fundraising costs
- Entertainment (meals, amusement, tickets, shows)
- You may not use grant funds awarded under this authority to renovate or refurbish research, education, or extension space; purchase or install fixed equipment in such place; or the plan, repair, rehabilitate, acquire, or construction of buildings or facilities (NIFA)





# What questions do you have about type of costs?





## **Indirect Costs**

**Facilities &  
Administrative  
Costs (F&A)**

**Overhead Costs**



# UNIVERSITY CALCULATION OF F&A

## Indirect Costs

- Overhead costs incurred in SUPPORT of research activities
- Depreciation of Bldg. & Equip.
- Operations & Maintenance of labs, e.g. utilities, etc.
- Cost of research space
- Administrative services

**\$56M**

## Direct Costs

- Costs incurred in performing research activity
- Salaries and fringes of laboratory personnel
- Research lab supplies and materials

**\$100M**

Indirect  
Costs  
÷  
Direct Costs

## Indirect Cost Rate

$$\text{\$56M} / \text{\$100M} = 56.0\%$$

*Indirect Costs are costs that cannot be allocated to one specific project*



## INDIRECT COST RATES FOR OSU

Check the RFP for any rate limitations. If none are mentioned use the full rate:



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On Campus Research	56%
Instruction Only	52%
Off-Campus Research	26%
Other Sponsored Activities	30.50%

*The off-campus rate applies to those projects in which 50% or more of the salary and wages are incurred in facilities not owned and controlled by the University and for which rent is allocated as a direct cost to the project.*

**MTDC** – Modified Total Direct Costs (- equipment, tuition fees, participant costs, first \$25K of any subawards)

**TDC** – Total Direct Costs



# Budget Justifications

- Important non-technical section of the proposal
- Provides additional details for expenses within each budget category and explains the need for the items/expenses
- Highlight, explain, and provide rationale for budget categories and how you arrived at certain cost estimates
- Follow the same line item format as the budget

# 10 TIPS for Writing a Winning Proposal



## ✓ **Do some detective work**

Learn all you can about the sponsor: their priorities, their goals, their funding patterns and use this to your advantage. In your proposal narrative, describe how your proposed project contributes to the sponsor's goals and why funding your project is important.

## ✓ **Partner**

Collaboration isn't just a buzzword; it is critical to landing a major grant. Build partnerships with organizations that complement your own skills and research. Choose wisely. It could mean having wider access to a larger audience or group you need to reach.

# 10 TIPS for Writing a Winning Proposal

## ✓ **Start with a hook**

Proposal writing differs greatly from journal writing. Convince the reviewer to consider funding your proposal by engaging them in your storytelling. Persuasive writing is key.

*Hook, line, and sinker! Go for the BIG fish!*

## ✓ **Create a powerful abstract/summary**

Not all reviewers will sift through your entire proposal (SHOCKER!), but most will read your project summary. Write this section with that in mind and write it as though the reader knows little or nothing about the technical areas or proposed project.

Big Fish!



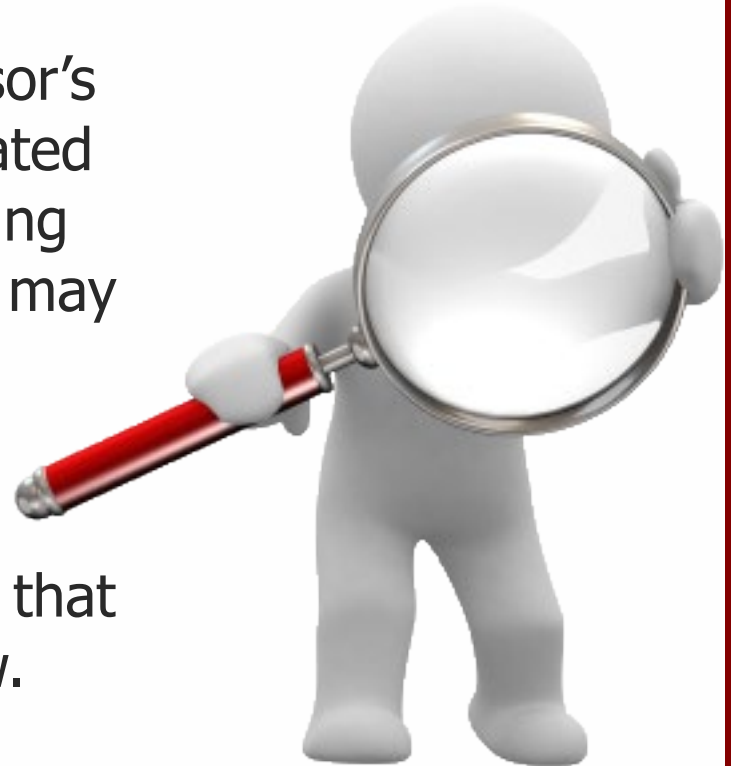
# 10 TIPS for Writing a Winning Proposal

## ✓ **Follow the rules!**

It is critical that all aspects of the sponsor's guidelines are met, especially those related to formatting and page limits. Overlooking these details could mean your proposal may never make it to the review panel.

## ✓ **Sweat every detail**

Watch for typos and grammatical errors that could make your proposal hard to follow.





# 10 TIPS for Writing a Winning Proposal

## ✓ **Finish early**

Let your proposal sit for a day after you have completed the final draft and reread it without the pressure of a deadline. Better yet, send it to the GDSU, or to a colleague, for feedback and editorial assistance.

## ✓ **Meet the deadline**

One sure way to have your proposal returned without review is to miss the deadline. Keep in mind that electronic proposal submissions can be tricky, so plan for the unexpected.



# 10 TIPS for Writing a Winning Proposal

## ✓ **Evaluation is a process of elimination**

When deciding what proposals to fund, it is not a process of selection, but elimination! Don't focus on writing a proposal that will be selected. Focus on writing a proposal that can't be eliminated!

## ✓ **Golden Rule: Contact the program manager/officer**

Program managers are encouraged to interact with researchers, and to give feedback on research ideas. Use this to your advantage!





# GDSU Contact Information

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