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://orrp.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
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!

NEWS

Research News (August 2018)

JUL 30, 2018
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
- Work with campus partners to ensure smooth project implementation
- Problem solve
- Oversight and administration of projects
Pre-Award vs. Post Award

**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.
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
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
ELIGIBILITY

• 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.

Awards

Graduate
$5,000 (individual)
$10,000 (team)

Deadline

Graduate
December 18, 2019
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
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

<table>
<thead>
<tr>
<th>Department</th>
<th>Submissions</th>
<th>Awards</th>
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<tbody>
<tr>
<td>AEDE</td>
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<td>Animal Sciences</td>
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<td>4</td>
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<tr>
<td>Vet Med</td>
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<td>0</td>
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</tbody>
</table>
oardc.osu.edu/seeds

Melissa Burant
burant.2@osu.edu or seeds@osu.edu
(614) 292-5748
Funding and Research Development (go.osu.edu/funding)

- SPIN Funding Opportunities Database
  - 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 to access this page.

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. (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).

Additional information for [Finding Funding](#) is available.
Funding and Research Development (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
Types of Funding Agreements
A Gift

A Contract

A Grant

What is the difference?
## Gift, Grant, or Contract?

<table>
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<th>Gift</th>
<th>Grant</th>
<th>Contract</th>
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<td>period of</td>
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<td>Revocable</td>
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<tr>
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<tr>
<td>beyond</td>
<td>financial and</td>
<td>invention reports to sponsor</td>
<td>invention reporting, as well as</td>
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<td>routine</td>
<td>invention</td>
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<td>work product</td>
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<td>Unrestricted</td>
<td>Terms &amp;</td>
<td>Terms &amp; conditions for</td>
<td>Terms &amp; conditions -</td>
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<td></td>
<td>conditions</td>
<td>conditions for grantees</td>
<td>typically restrictive</td>
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<td></td>
<td>with some</td>
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<td></td>
<td>flexibility</td>
<td></td>
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<tr>
<td>Donation of cash</td>
<td>Financial</td>
<td>Financial assistance</td>
<td>Purchase transaction</td>
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<tr>
<td>or other</td>
<td>assistance</td>
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<td>tangible asset</td>
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<tr>
<td>No scope of work</td>
<td>PI’s scope</td>
<td>PI’s scope of work</td>
<td>Sponsor’s or PI’s scope of</td>
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<tr>
<td></td>
<td>of work</td>
<td></td>
<td>work</td>
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<td>Selection made</td>
<td>Awarded based</td>
<td>Awarded based on peer</td>
<td>Awarded based on low bid/</td>
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<td>at donor’s</td>
<td>on peer</td>
<td>review recommendations</td>
<td>project design. Selection</td>
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<td>sole discretion</td>
<td>review</td>
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<td></td>
<td>recommendations</td>
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</table>
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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<th>Year 1</th>
<th>Year 2</th>
<th>Total</th>
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<tr>
<td><strong>Project Title:</strong></td>
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<tr>
<td><strong>Budget for full Project Period</strong></td>
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<td><strong>Year 1</strong></td>
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<td><strong>Year 2</strong></td>
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<tr>
<td><strong>Total</strong></td>
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<tr>
<td><strong>Salaries</strong> *</td>
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<tr>
<td><strong>Principal Investigator (academic release)</strong></td>
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<tr>
<td><strong>Principal Investigator (summer months)</strong></td>
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<tr>
<td><strong>co-Principal Investigator (calendar months)</strong></td>
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<tr>
<td><strong>Post-Doc researcher</strong></td>
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<td><strong>Temporary Employee</strong></td>
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<td><strong>Total Salaries</strong></td>
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<td>$ -</td>
<td>$ -</td>
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<tr>
<td><strong>Fringe Benefits</strong> * (estimated using percentage of salary)</td>
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<tr>
<td><strong>Faculty-Staff</strong></td>
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<td><strong>Subsistence</strong></td>
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<tr>
<td><strong>Equipment</strong> *</td>
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<tr>
<td><strong>XYT Machine</strong></td>
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<td><strong>Other Direct Costs</strong></td>
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<tr>
<td><strong>Materials &amp; Supplies</strong> *</td>
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<td><strong>Consulting or Contracted Services</strong></td>
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<td><strong>Publication Costs/Documentation</strong></td>
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<td><strong>Internal Reimbursable Service Centers</strong></td>
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<td>**Miscellaneous *****</td>
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<tr>
<td><strong>Base</strong>****</td>
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<td><strong>Facilities and Administrative Costs (Indirect Rate: % of</strong></td>
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<td><strong>Total Project Costs</strong></td>
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TYPES OF EXPENSES

Direct Costs

- Wages
- Fringe Benefits
- Equipment
- Contractual Services
- Materials - Supplies
- Travel
- Tuition/Fees
- Publications
- Sub awards
- Other

Personnel Costs
Non-Personnel Costs
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.

**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 EffortAssigned 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 50% of total effort. $35,000 / 50% = $17,500
FRINGE RATES

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

<table>
<thead>
<tr>
<th></th>
<th>Rate</th>
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</thead>
<tbody>
<tr>
<td>Faculty – off duty pay</td>
<td>15.7%</td>
</tr>
<tr>
<td>Faculty – 9 &amp; 12 month appointments</td>
<td>26.8%</td>
</tr>
<tr>
<td>Students</td>
<td>8%</td>
</tr>
<tr>
<td>Staff</td>
<td>31.6%</td>
</tr>
<tr>
<td>Specials (temporary staff, non-enrolled students)</td>
<td>15.7%</td>
</tr>
</tbody>
</table>
A Graduate Student is paid $28,000 per year. The student will work 50% on the project.

\[ \$28,000 \times 50\% = \$14,000 \text{ salary} \]
\[ + \$14,000 \times 8\% = \$1,120 \text{ benefits} \]
\[ \$15,120 = \text{total request for salary and fringe benefits} \]

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

\[ \$62,000 \times 50\% = \$31,000 \text{ salary} \]
\[ + \$31,000 \times 31.6\% = \$9,796 \text{ benefits} \]
\[ \$40,796 = \text{total request for salary and fringe benefits} \]
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.
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?

<table>
<thead>
<tr>
<th>Sub award</th>
<th>Consultant</th>
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</thead>
<tbody>
<tr>
<td>• Does the entity’s statement of work represent an intellectually significant portion of the programmatic effort of the overall project?</td>
<td>• An individual retained to provide professional advice or services for a fee.</td>
</tr>
<tr>
<td>• Does the entity have responsibility for programmatic decision making?</td>
<td>• Meets the independent contractor status established by the IRS.</td>
</tr>
<tr>
<td>• Could the entity’s work result in development of intellectual property or publishable results (including co-authorship)?</td>
<td>• Provides similar goods and services to many different purchasers.</td>
</tr>
<tr>
<td>• Will the entity be using institutional facilities, students or staff?</td>
<td>• Provides goods and services within normal working hours.</td>
</tr>
<tr>
<td></td>
<td>• Operates in a competitive environment.</td>
</tr>
</tbody>
</table>
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?

“With this much grant money, only experiment we can do is ‘flip a coin’.
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

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

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

\[
\text{Indirect Cost Rate} = \frac{\text{Indirect Costs}}{\text{Direct Costs}} = \frac{\$56M}{\$100M} = 56.0\%
\]
INDIRECT COST RATES FOR OSU

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

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 through the reader knows little or nothing about the technical areas or proposed project.
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.

WARNING
DUE DATES ARE CLOSER THAN THEY APPEAR
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!
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