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Introduction to Grant Proposal Budgets

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Introduction to Grant Proposal Budgets

Presented by the Division of Research and Innovation
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Grant Budget Vocabulary

- total project costs
- direct costs
- indirect costs
- F&A
- cost share
- participants
- subawards
- subrecipients
- equipment
- modular budget
- detailed budget
Grant Budget Vocabulary

COSTS!
Grant Budget Vocabulary

**Total Project Costs:** the sum of the project’s direct and indirect costs.
Grant Budget Vocabulary

Direct Costs: all expenses that can be identified specifically with a specific project. These are also called Total Direct Costs.

Examples of direct costs:
- Salaries and fringe
- Travel
- Materials and supplies
- Publication fees
- Contracted services
- Graduate student tuition
- Equipment
- Participant expenses
- Subawards
Grant Budget Vocabulary

**Indirect Costs:** the expenses related to keeping the University running that are not readily identified with a particular grant contract, project function or activity, but are necessary for the general operation of the University and the conduct of activities it performs; also known as Facilities and Administration (F&A) costs.

**Examples of indirect costs:**

- **Facilities:**
  - Maintenance and repairs to general purpose equipment, buildings, and grounds
  - Utilities
  - Hazardous waste management and disposal
  - Secure data storage
  - Internet and local telecommunications
  - Libraries and classrooms

- **Administration:**
  - Federal, state, and local regulatory compliance
  - Support personnel
  - Office supplies
  - Memberships
  - General printing and copying
Grant Budget Vocabulary

**Cost share:** any costs of a grant-funded program or project that are not paid for by the funding agency; can also be called match.
Grant Budget Vocabulary

**Subrecipient:** an entity that receives a subaward from a pass-through entity to carry out part of a federal award.

**Subaward:** an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity.
Grant Budget Vocabulary

**Participant:** a recipient of a service or training opportunity as part of a workshop, conference, seminar, symposium, or other short-term instructional or information sharing activity funded by a sponsored award.
Grant Budget Vocabulary

**Equipment**: tangible personal property (including information technology systems) having a useful life of more than one year and a unit cost of $5,000 or more.

Most grant solicitations will only allow equipment in the budget if it is considered “special purpose equipment,” which is equipment used only for research, medical, scientific, or other technical activities.”
Grant Budget Vocabulary

**Detailed budget:** type of budget that lists detailed, line-item budgetary information.

**Modular budget:** type of budget specific to NIH proposals; this format allows requests of up to a total of $250,000 in direct costs per year in modules of $25,000.

https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm#modular
Funder Budget Requirements

- Tracks
- Floor and ceiling limits
- Cost share
- Indirects (F&A)
- Other budgetary limitations
- Required inclusions/exclusions
Funder Budget Requirements

Tracks: two or more groups within a funding opportunity that have different eligibility and submission requirements.

Examples:

This solicitation will support the following two award tracks:

Future Manufacturing Research Grants (FMRG) - up to $3,000,000 for up to four years; and
Future Manufacturing Seed Grants (FMSG) - up to $500,000 for up to two years.

EPSCoR Research Infrastructure Improvement Track 4: EPSCoR Research Fellows offers the following tracks: RII Track-4: NSF and RII Track-4: Fellows Advancing Science and Technology (RII Track-4: FAST). While they are similar in achieving the same goals, RII Track-4: NSF is open to a broad community and RII Track-4: FAST focuses on faculty from specific institutions of higher education to collaborate with researchers at the National Aeronautics and Space Administration (NASA) participating research centers. PIs who are eligible for both tracks may apply for only one track per competition cycle.

An MRI proposal may request up to $4 million for either acquisition or development of a research instrument. Beginning with the FY 2018 competition, each performing organization may submit in revised “Tracks” as defined below, with no more than two submissions in Track 1 and no more than one submission in Track 2.

- Track 1: Track 1 MRI proposals are those that request funds from NSF greater than or equal to $100,000 but less than $1,000,000.
- Track 2: Track 2 MRI proposals are those that request funds from NSF greater than or equal to $1,000,000 but and including $4,000,000.
Funder Budget Requirements

\textbf{Floor and ceiling limits:} minimum (floor) and maximum (ceiling) budget amounts that a single proposal can request, usually per year.

**Example:**

\textbf{C. MAXIMUM AND MINIMUM AWARD SIZE}

(See \textit{B. Estimated Funding} above.)

The award size will depend on the number of meritorious applications and the availability of appropriated funds.

- \textbf{Ceiling}: $250,000 per year
- \textbf{Floor}: $150,000 per year

Applicants may adjust the annual budgets requested if the total project support requested is at or under $750,000 for a three-year project period and $500,000 for a two-year project period. Requests for smaller awards below the floor will be considered when appropriate to the research effort.
Funder Budget Requirements

Cost share: is cost share required in this proposal? Talk to your departmental/college grants representative and/or OSP as soon as possible if so!
Funder Budget Requirements

Indirect cost limitations: does the sponsor limit the amount of F&A that the University can charge on this proposal budget? Again, if they do, talk to your departmental/college grants person and/or OSP as soon as possible if it does!

Example:

* Project Budget
  * The project expense items, requested from the Blue & You Foundation and other sources. (Please note that grants will not be made to proposals that are principally for construction of facilities or purchase of large equipment. In making grants, please note that the Foundation disfavors funding of “indirect costs.” Therefore, when applying, please omit “indirect costs” from your requests and budget.)
  * Budget narrative explaining the project expense items requested (250 word max.)
Funder Budget Requirements

Example:

- Miscellaneous required inclusions/exclusions: make sure you read the whole solicitation to catch all the specific budgeting requirements.

Introduction to Grant Proposal Budgets
Identifying Project Expenses

Start with visualizing your project.
Identifying Project Expenses

Questions to ask yourself about your project:

- What is the project?
- How long will the project last?
- How long will the sponsor fund it?
- Who will be involved?
  - Core team
  - Administrative or research support
  - Human subjects
  - Participants
  - Partners
    - Other universities
    - Private industries
    - Contractors
- Where will the project primarily be performed?
- What consumables will the project need?
- Will the project team be traveling anywhere for the project?
- Are you planning to publish the results of your project research?
- Does the project need professional services?
- Will the project need to purchase large equipment (> $5,000)?
Identifying Project Expenses

Questions to ask yourself about your project:

- What is the project?
Identifying Project Expenses

Questions to ask yourself about your project:

• How long will the project last?
• How long will the sponsor fund it?
Identifying Project Expenses

Questions to ask yourself about your project:

• Who will be involved?
  • Core team
  • Administrative or research support
  • Human subjects
  • Participants
  • Partners
    • Other universities
    • Private industries
    • Contractors
Identifying Project Expenses

Questions to ask yourself about your project:

• Where will the project primarily be performed?
Identifying Project Expenses

Questions to ask yourself about your project:

• What consumables will the project need?
Identifying Project Expenses

Questions to ask yourself about your project:

• Will the project team be traveling anywhere for the project?
Identifying Project Expenses

Questions to ask yourself about your project:

• Are you planning to publish the results of your project research?
Identifying Project Expenses

Questions to ask yourself about your project:

• Does the project need professional/contracted services?
Identifying Project Expenses

Questions to ask yourself about your project:

• Will the project need to purchase large equipment (> $5,000)?
Identifying Project Expenses

Questions to ask yourself about your project:

• What is the project?
• How long will the project last?
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• Does the project need professional services?
• Will the project need to purchase large equipment (> $5,000)?
## Identifying Project Expenses

**OSP Budget Workbook Time!**

### Table: Grant Proposal Budget Breakdown

<table>
<thead>
<tr>
<th>Category</th>
<th>Budget Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel Costs</td>
<td></td>
</tr>
<tr>
<td>Salary of Principal Investigator</td>
<td></td>
</tr>
<tr>
<td>Salary of Co-Investigators</td>
<td></td>
</tr>
<tr>
<td>Travel Costs</td>
<td></td>
</tr>
<tr>
<td>Conference Costs</td>
<td></td>
</tr>
<tr>
<td>Publications</td>
<td></td>
</tr>
<tr>
<td>Equipment Costs</td>
<td></td>
</tr>
<tr>
<td>Subtotal</td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
</tr>
<tr>
<td>Facilities</td>
<td></td>
</tr>
<tr>
<td>Overhead Costs</td>
<td></td>
</tr>
<tr>
<td>Subtotal</td>
<td></td>
</tr>
<tr>
<td>Total Budget</td>
<td></td>
</tr>
</tbody>
</table>

### Diagram: Grant Proposal Budget Visualization

- [Diagram showing detailed budget breakdown]

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*Introduction to Grant Proposal Budgets*
Budget Justification

Budget justification: the narrative/written version of your budget
Budget Justification

Tips for writing your budget justification:

1. Include all info from the budget.

Example:

<table>
<thead>
<tr>
<th></th>
<th>quantity requested</th>
<th>per item</th>
<th>total cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>pipettes</td>
<td>50</td>
<td>$6</td>
<td>$300</td>
</tr>
<tr>
<td>reagent</td>
<td>100</td>
<td>$6</td>
<td>$600</td>
</tr>
<tr>
<td>notebooks</td>
<td>20</td>
<td>$5</td>
<td>$100</td>
</tr>
</tbody>
</table>

Justification:
“We are budgeting $1,000 in consumable supplies to purchase the following: 50 pipettes at $6 per pipette, 100 units of reagent at $6 per unit, and 20 lab notebooks at $5 per notebook.”
Budget Justification

Tips for writing your budget justification:

1. Include all info from the budget.

Example:

<table>
<thead>
<tr>
<th>Year</th>
<th>Domestic Travel</th>
<th>International Travel</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$1,000</td>
<td>$0</td>
</tr>
<tr>
<td>2</td>
<td>$1,000</td>
<td>$3,000</td>
</tr>
<tr>
<td>3</td>
<td>$1,000</td>
<td>$0</td>
</tr>
</tbody>
</table>

Justification:

“Domestic Travel: The PI will travel to Washington, DC to attend the XYZ Conference each year. $1,000 is budgeted each year for transportation, conference registration, lodging, and per diem expenses.

International Travel: In year 2, the PI and one grad student will travel to Salta, Argentina to conduct field research on the XYZ dinosaur. $3,000 is budgeted for transportation, lodging, and per diem expenses.”
Budget Justification

Tips for writing your budget justification:

2. Follow the order of the sponsor’s budget template.
Budget Justification

Tips for writing your budget justification:

2. Follow the order of the sponsor’s budget template.

- Personnel
- Equipment
- Travel
- Participants
- Other direct costs (materials and supplies, publications, consultant services, and subawards)
Budget Justification

Tips for writing your budget justification:

3. Include details specifically mentioned in the solicitation.

Example:

Solicitation:

| Ga. Trainee Support: Include all trainee support (e.g., stipend, costs of education, travel) as Participant Support Costs in the budget. NRT stipend and education costs are intended for those trainees (i.e., research-based master’s and/or doctoral students) whose research is aligned with the project’s research theme. Trainees receiving stipend and cost-of-education support (i.e., NRT-funded trainees) must be full-time students and hold United States citizenship or national or permanent resident status. The NSF minimum contribution to NRT stipends is $34,000 per year per NRT-funded trainee for a 12-month appointment. Funded trainees are expected to minimally receive the equivalent of one year of $34K stipend support that may be distributed over their traineeship tenure. NRT-funded trainees cannot be charged tuition or any other required costs of education while they are receiving a NRT stipend. Thus, the budget should include customary costs of education (i.e., tuition and required fees) for NRT-funded trainees. Additional costs for all trainees (NRT-funded and non-NRT-funded) to participate in programmatic and training elements should be designated as Travel, Subsistence, or Other Participant Support Costs in the budget. |

Budget:

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participant Stipends</td>
<td>$680,000</td>
</tr>
</tbody>
</table>

Justification:

“Participant stipends: The project will provide stipends in the amount of $34,000 per year to each of the 20 trainees.”
Incorporating the Budget into the Overall Proposal

• Doublecheck all budget numbers in narrative.

• Make sure project description, budget, and justification all match.

• Include details specifically mentioned in solicitation.
Thank you for your time!

Any questions?
Have more questions about proposal budgets?

Fill out the RD Interest Form here: forms.office.com/r/1ufELrB475

or contact Molly Throgmorton at mthrogmo@uark.edu
479-575-3171
Webinar Satisfaction Survey:

https://forms.office.com/r/iTKTDtqd3m