How to submit a Grant and Budget Preparation

Lecture 3
October 30, 2012

Betty Weiss, MBA
Director of Research Services
Department of Medicine
Budget Basics

What is a project budget?

- A project budget is the estimated financial plan for a project.
- Include the expenses you anticipate to incur for a specified period of time.
- It represents a financial picture of the project.

A well-crafted budget can add greatly to the reviewer's understanding of your project.
Budget Strategy

- Best Strategy is to request a reasonable amount of money to do the work
- Reviewers look for reasonable costs and compare costs to your aims
- Reviewers will look at the person months you’ve listed to do the work
- Significant over or under budgeting may indicate that you do not understand the scope of work needed for your grant
Read the instructions or RFA, PA or FOA carefully

The guidelines give you:

- Eligibility requirements
- Your dollar limit, if any
- Number of years to complete the grant
- Which costs are allowable
- Does the agency require you to cost share?
- Do they limit F&A (a.k.a Indirect Costs)?
- Do they prohibit certain cost categories? Like travel?
- Specific forms or format?
### University of Wisconsin-Madison Institutional Information

<table>
<thead>
<tr>
<th>Legal Name of Applicant</th>
<th>The Board of Regents of the University of Wisconsin System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Institution</td>
<td>The University of Wisconsin-Madison is a public, nonprofit educational institution exempt under Section 170(c)(1) of the IRS code.</td>
</tr>
<tr>
<td>Institutional Address and Contact Phone Number</td>
<td>University of Wisconsin-Madison Research and Sponsored Programs 21 N. Park Street, Suite 6401 Madison, WI 53715-1218 608-262-3822 FAX 608-262-5111</td>
</tr>
<tr>
<td>Employer Identification Number (EIN) and Federal Tax ID Number</td>
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</tr>
<tr>
<td>Data Universal Numbering System (DUNS) Number</td>
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<tr>
<td>Federal Interagency Committee on Education (FICE) Code</td>
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<tr>
<td>North American Industry Classification System (NAICS)</td>
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<tr>
<td>County</td>
<td>Dane</td>
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<td>Census and Geographical Data</td>
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<td>National Committee for an Effective Congress</td>
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### Signature Authority

| Institutional Signature Authority Memo |

<table>
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<tr>
<th>Pre-Award Matters</th>
<th>Proposals, Clinical Trials, CDAs, Contracts Licensing Agreements, MTAs, Research Agreements</th>
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<td>NIH proposals</td>
<td><a href="mailto:nih@rsp.wisc.edu">nih@rsp.wisc.edu</a></td>
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<td>NSF proposals</td>
<td><a href="mailto:nsf@rsp.wisc.edu">nsf@rsp.wisc.edu</a></td>
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<tr>
<td>All other proposals</td>
<td><a href="mailto:praward@rsp.wisc.edu">praward@rsp.wisc.edu</a></td>
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</tbody>
</table>

Cheryl Gest  
Managing Officer  
cgest@rsp.wisc.edu  
608-262-4880  
FAX: 608-262-5111  
Bob Heimstreet  
Managing Officer  
cgest@rsp.wisc.edu  
608-262-4880  
FAX: 608-262-5111  
Kim Moreland  
Director of Research & Sponsored Programs  
608-262-3822  
Fax: 608-262-5111  
Post-Award Matters  
Signatures required for Financial Reports and requests for: Budget Revisions, No-Cost Extensions and Carryover unless otherwise provided by the terms and conditions of the specific award (see FDP information)  
Robert Andresen  
Asst. Director Post-Award Services  
randresen@rsp.wisc.edu  
608-262-2896  
FAX: 608-262-5111  
Charles Hoffman  
Administrative Officer  
choffman@rsp.wisc.edu  
608-262-0253  
FAX: 608-262-5111
### Budget Information

<table>
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<th>Checks Should be Made Payable to</th>
<th>The Board of Regents of the University of Wisconsin System</th>
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<td>Cognizant Federal Audit Agency</td>
<td>Department of Health &amp; Human Services</td>
</tr>
<tr>
<td></td>
<td>Office of Audit Services - Region V</td>
</tr>
<tr>
<td></td>
<td>233 N Michigan Avenue</td>
</tr>
<tr>
<td></td>
<td>Chicago, IL 60601</td>
</tr>
<tr>
<td></td>
<td>312-353-2621</td>
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<tr>
<td>Cognizant Federal Agency for F&amp;A Rate Agreements</td>
<td>Department of Health &amp; Human Services</td>
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<td>Program Support Center/Financial Management Service</td>
</tr>
<tr>
<td></td>
<td>Division of Cost Allocation-Central States Field Office</td>
</tr>
<tr>
<td></td>
<td>1301 Young St, Room 732</td>
</tr>
<tr>
<td></td>
<td>Dallas, TX 75202</td>
</tr>
<tr>
<td></td>
<td>214-767-3261</td>
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<tr>
<td></td>
<td>Contact: Arif Karim</td>
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| DHHS F&A Agreement Date         | April 6, 2011                                            |
| Fringe Benefit Rates            | Fringe Benefit Rate Tables                                |
| Most Recent A-133 Audit Report  | State of Wisconsin Audit                                  |

### Assurance / Compliance Information

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<td>Civil Rights Assurance</td>
<td>February 1, 2010</td>
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<tr>
<td>Human Subjects Assurance No.</td>
<td>FWA00005399 (expires 9/12/2012)</td>
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<td>Misconduct in Science</td>
<td>PHS report filed March 1, 2005</td>
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<td>OLAW Certification</td>
<td>August 9, 2004</td>
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<td>USDA Certification</td>
<td>February 3, 2004</td>
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<tr>
<td>AAALAC Accreditation (CALS only)</td>
<td>March 3, 2010</td>
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<td>AAALAC Accreditation (Grad School)</td>
<td>March 5, 2009</td>
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<tr>
<td>AAALAC Accreditation</td>
<td>March 31, 2009</td>
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</table>
**Title of Project:** Strain Modulation of Cell Fate and Maturation of PSC-Cardiomyocytes Ancillary

**Program Director/Principal Investigator:**
- **Name:** Timothy Kamp
- **Degree:** MD
- **Department:** Medicine/Cardiology

**Major Subdivision:** School of Medicine and Public Health

**Telephone and Fax:**
- **Tel:** 608-263-0240
- **Fax:** 608-263-0405

**Human Subjects Research:**
- Research Exempt: Yes
- Federal-Wide Assurance No.: FWA00005399
- Clinical Trial: Yes
- NIH-defined Phase III Clinical Trial: No

**Vertebrate Animals:**
- Yes

**Dates of Proposed Period of Support:**
- **From:** 7/01/11
- **To:** 6/30/13

**Costs Requested for Initial Period of Support:**
- **Direct Costs:** $100,000
- **Total Costs:** $150,500

**Applicant Organization:**
- **Name:** Board of Regents of the Univ of Wisconsin System
- **Address:** Research & Sponsored Programs, 21 North Park Street, Suite 6401, Madison WI 53715-1218

**Type of Organization:**
- Public: No
- Federal: No
- State: No
- Local: Yes

**Entity Identification Number:**
- DUNS No.: 161202122
- WI-002

**Administrative Official to Be Notified If Award Is Made:**
- **Name:** Kim Moreland
- **Title:** Director of Research and Sponsored Projects
Types of Costs

- Two Types of Costs:
  - **Direct**
    - Salary, fringe benefits, travel, equipment, lab supplies
    - Costs associated with a specific project
  - **Facilities & Administration (F&A)**
    - Also known as Indirect Costs (IDC)
    - Utilities, admin support, general office supplies
    - Currently 50.5%
Direct Costs

Personnel/Salaries:
- UW Employees who will direct effort to the grant, e.g. PIs, Post Docs, Students
- Should reflect the amount of time that person will spend on the project (EFFORT=SALARY)

Fringe Benefits:
- Should reflect UW’s approved rates

UW 2013 rates:
http://www.rsp.wisc.edu/rates/index.html
- Includes: Health Insurance, Social Security, Retirement, Vacation/Sick Leave, FICA
Fringe Benefit Rates FY 2013

- Regular Faculty and Academic Staff: 41.0%
- Regular Classified: 56.0%
- Research Associates and Grad Interns: 26.7%
- Research Assistants, Project Assistants, Teaching Assistants, Pre-Doc Fellows, and/or Trainees: 28.0%
- Post-Doc Fellows and/or Trainees: 17.8%
- Limited Term Employees (LTE's): 20.0%
- Ad Hoc Program Specialists, Undergraduate Assistants and Undergraduate Interns: 9.1%
- Student Hourly Employees: 2.3%
Determine the amount of time (effort) and expertise is required to accomplish your specific objectives?

- Number of people, variety of expertise and their level of effort involved (faculty and staff).
- Individuals on UW’s payroll are personnel; non-UW personnel participate as consultants or subcontractors.
- Will your staffing needs change over the life of the grant?
  - You, Other faculty & staff
  - Postdoctoral fellows and Graduate students
  - Technicians
Who are Key Personnel?

Key Personnel are those that contribute to the grant in such a way that the grant cannot be done without them

- Most MD’s or PhD’s could be key
- Postdoc’s or students may leave so may or may not be key
- If someone is named a “key” player and he/she leaves that person must be replaced on the grant and information on the new person is sent to NIH
Personnel (continued)

- There are no magic numbers regarding the qualifications and/or number of individuals needed for each aim.

- Be realistic about what each individual can accomplish, and the time necessary to complete the work.

- Is total FTE reasonable for this project?
Cost Sharing

- Not required as a condition of applying for/receiving unsolicited NIH awards
- Only a few NIH solicited programs that require cost sharing
- Mandatory cost sharing for salary in excess of current salary cap ($179,700)?
- *Cost Sharing should be limited per department and SMPH guidelines*
Direct Costs continued

- NON Personnel:
  - Equipment
  - Consultants
  - Travel
  - Supplies
  - Publication Costs
  - Tuition
  - Subcontracts
Equipment

- Do you need equipment for the project?
  - Equipment – UW definition of equipment is items whose cost > $5,000 with a useful life of more than one year.
  - Does your equipment require special installation or renovation?
- Equipment should be project specific – be sure to include a written justification.
- Most equipment is requested during the first year of the grant.
- If you use a modular budget format, you may ask for extra module(s) to cover equipment.
Consultants

- Are experts outside UW who provide professional advice or service—can be paid as a lump sum.

- Internal “consultants” are not paid and referred to as Other significant contributors (OSC)
Supplies

Expendable Supplies

- Identified and justified in the proposal
- Must be clearly associated with that particular project
- Must be expended only for the associated project
Types of Supplies

What kinds of supplies/consumables are required to complete your project?

- Plasticware
- Gases
- Chemicals/reagents
- Culture Media
- Radioactive reagents
- Animals and per diem (you must have IACUC approval).
- Instrumentation (cost <$5,000, unless otherwise specified by sponsor)
- In general Computers—Are NOT ALLOWED!
It may be reasonable to estimate a supply budget of $15,000–18,000/year for each FTE.
Travel

- Do you need to travel to conduct your project, disseminate research progress and results, or network and stay current in the field?
- Domestic or international travel (be specific)
  - Identified and justified
  - Includes: transportation, room and board
  - Must be directly related to the project

- Usually $1,000–$2,000 for 1 meeting per individual per year and no more than 2–3 individuals
Direct Costs

- Subcontracts
  - Must provide a substantial programmatic contribution
  - At a minimum require a detailed budget, budget justification, work statement, and institutional endorsement
Subcontract vs Vendor

- Subcontracts
  - Subcontract scope of work is key in completing the objectives of the grant
  - Has responsibility for programmatic decision making
  - Would publish with PI
Subcontract vs Vendor

- **Vendor (no paperwork required)**
  - Provides goods and services during normal hours and to many other purchasers
  - Operates in a competitive environment
  - Provides good and services that are ancillary to the project
  - example: running samples with no analysis
Other Expenses

- Copying & Duplication
  - Only allowable for unusual costs such as: large survey instruments, test, questionnaires, work shop procedures, program brochures
  - Identified and justified

- Other Direct Costs
  - e.g. renovation of space, off campus facility rentals, long distance charges, participant support costs

- Tuition—limit of $8,000 per student
Other Expenses

What other kinds of expenses might be incurred for your project?

- Equipment service agreements
- Human subjects participation costs
- Specialty software; software license fees
- Communication expenses if essential for the project.
- Advertising for recruiting postdoctoral fellows, students etc.
- Mailing expenses specific and essential to the project.
- Other project-specific fees
Indirect Costs (F&A)

- CIRCULAR A–21 Revised 05/10/04
- SUBJECT: Cost Principles for Educational Institutions
- 1. Purpose. This Circular establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions. The principles are designed to provide that the Federal Government bear its fair share of total costs, determined in accordance with generally accepted accounting principles, except where restricted or prohibited by law.
- Costs includes:
  - Depreciation, Use, Operation and Maintenance
  - General and Departmental Administration
  - Libraries
  - Student Administrative Services

http://www.whitehouse.gov/omb/circulars_a021_2004
Budget should mimic post-award questions

- The requests in the budget need to follow:
  - Reasonable
  - Allocable
  - Allowable
  - Consistently applied
What does “reasonable” mean?

- A cost may be considered reasonable if the nature of the goods or services acquired reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made (ie: a car or a Cadillac or basic scope or state-of-the-art scope?)
What does “allocable mean?"

A cost is allocable to a specific grant if:
- it is incurred solely in order to advance work under the grant;
- if it benefits both the grant and other work of the institution;

(Reason why computers cannot be purchased on federal accounts)
What does “allowable mean?"

A cost is *allowable* if it is *reasonable*, *allocable* and *conforms* to the cost principles and the sponsored agreement AND is *not prohibited* by law or regulation (eg: Alcohol)
What does “consistently applied” mean?

Grantees must be consistent in assigning costs to cost objectives. Although costs may be charged as either direct costs or F&A costs, depending on their identifiable benefit to a particular project or program, they must be treated consistently for all work of the organization under similar circumstances, regardless of the source of funding, so as to avoid duplicate charges. (e.g.: local phone calls or purchasing stamps)
Pre-award Costs

At grantee’s own risk and expense

- Up to 90 days prior to the start date of a competing award if costs:
  - Are necessary to conduct the project, and
  - Would be allowable under a potential award without prior approval

- Greater than 90 days requires prior approval; retroactive approval may be granted

- No time limit for noncompeting awards. Costs need to be allowable and carefully managed
Types of budgets

- **PHS 398** older format (detailed)—still in use for large grants and special RFA’s
- **SF424 Research and Research Related (R&R)** – new electronic format for submitting applications via Grants.gov
- Modular budgets <250K
- Detailed budgets >250K
- Non-federal—follow specific forms and instructions
## DETAILED BUDGET FOR INITIAL BUDGET PERIOD

### DIRECT COSTS ONLY

<table>
<thead>
<tr>
<th>NAME</th>
<th>ROLE ON PROJECT</th>
<th>TYPE APPT. (months)</th>
<th>% EFFORT ON PROJECT</th>
<th>INST. BASE SALARY</th>
<th>SALARY REQUESTED</th>
<th>FRINGE BENEFITS</th>
<th>TOTAL</th>
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<td>EW</td>
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<td>175,700</td>
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<tr>
<td></td>
<td>FROM</td>
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<td>118,063</td>
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### CONSULTANT COSTS

None

### EQUIPMENT (Itemize)

None

### SUPPLIES (Itemize by category)

- Molecular Biology Kits: 7,783
- Chemicals and General Supplies: 9,000
- Recombinant DNA Reagents and Oligonucleotides: 7,500
- Tissue Culture Supplies: 14,000
- Animal Purchase: 15,000
- Peptides, Antibodies and Chemotherapy Drugs: 10,500

Total: 63,783

### TRAVEL

None

### PATIENT CARE COSTS

- INPATIENT: None
- OUTPATIENT: None

### ALTERATIONS AND RENOVATIONS (Itemize by category)

None

### OTHER EXPENSES (Itemize by category)

- Animal Care: 4,590

Total: 4,590

### SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD

$ 213,000

### CONSORTIUM/ CONTRACTUAL COSTS

- DIRECT COSTS: None
- F&A COSTS: None
# Project #2

Principal Investigator/Program Director (Last, first, middle):

## BUDGET FOR ENTIRE PROPOSED PROJECT PERIOD

### DIRECT COSTS ONLY

<table>
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<tr>
<th>BUDGET CATEGORY</th>
<th>INITIAL BUDGET PERIOD (from Form Page 4)</th>
<th>ADDITIONAL YEARS OF SUPPORT REQUESTED</th>
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<tr>
<td>PERSONNEL: Salary and fringe benefits. Applicant organization only.</td>
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## TOTAL DIRECT COSTS FOR ENTIRE PROPOSED PROJECT PERIOD (Item 8a, Face Page)

$1,130,846

### SBIR/STTR Only

- Fixed Fee Requested:
  - 0

### SBIR/STTR Only: Total Fixed Fee Requested for Entire Proposed Phase II Period

(Add Total Fixed Fee amount to "Total direct costs for entire proposed project period" above and Total F&A/indirect costs from Checklist Form Page. and enter)

$0

**JUSTIFICATION:** Follow the budget justification instructions exactly. Use continuation pages as needed.
**RESEARCH & RELATED BUDGET - SECTION A & B, BUDGET PERIOD 1**

**ORGANIZATIONAL DUNS:** 1412621220000

**Budget Type:** Subaward/Consortium

Enter name of Organization: University of Wisconsin - Madison

* Start Date: 07/01/2012 * End Date: 06/30/2013

**Budget Period 1**

A. **Senior/Key Person**

<table>
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<tr>
<th>Prefix</th>
<th>* First Name</th>
<th>Middle Name</th>
<th>* Last Name</th>
<th>Suffix</th>
<th>* Project Role</th>
<th>Base Salary ($)</th>
<th>Cal. Months</th>
<th>Acad. Months</th>
<th>Sum. Months</th>
<th>* Requested Salary ($)</th>
<th>* Fringe Benefits ($)</th>
<th>* Funds Requested ($)</th>
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<td>Feiman</td>
<td>Rematti</td>
<td>MD</td>
<td>PD/PI</td>
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9. **Total Funds requested for all Senior Key Persons in the attached file**

**Total Senior/Key Person:** 8,172.00

**Additional Senior Key Persons:**

B. **Other Personnel**

**Number of Personnel**

- Post Doctoral Associates
- Graduate Students
- Undergraduate Students
- Secretarial/Clerical

<table>
<thead>
<tr>
<th>* Project Role</th>
<th>Cal. Months</th>
<th>Acad. Months</th>
<th>Sum. Months</th>
<th>* Requested Salary ($)</th>
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<td>8,260.00</td>
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1. **Total Number Other Personnel**

2. **Total Other Personnel**

**Total Salary, Wage and Fringe Benefits (A&B):** 27,260.00
**RESEARCH & RELATED BUDGET - SECTION C, D, & E, BUDGET PERIOD 1**

* ORGANIZATIONAL DUNS: 1612021220000

* Budget Type:  □ Project  □ Subaward/Consortium

Enter name of Organization: University of Wisconsin - Madison

* Start Date: 07/01/2018  * End Date: 06/30/2013  Budget Period 1

C. Equipment Description
List items and dollar amount for each item exceeding $5,000

<table>
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<th>Equipment item</th>
<th>* Funds Requested ($)</th>
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<td>6.</td>
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<td>7.</td>
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<td>8.</td>
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<td>9.</td>
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<tr>
<td>10.</td>
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</table>

11. Total funds requested for all equipment listed in the attached file

Total Equipment

Additional Equipment: [Input]

D. Travel

<table>
<thead>
<tr>
<th>1. Domestic Travel Costs (incl. Canada, Mexico and U.S. Possessions)</th>
<th>Funds Requested ($)</th>
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<table>
<thead>
<tr>
<th>2. Foreign Travel Costs</th>
<th>Funds Requested ($)</th>
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Total Travel Cost

E. Participant/Trainee Support Costs

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<th>1. Tuition/Fees/Health Insurance</th>
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<th>2. Stipends</th>
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<th>3. Travel</th>
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### F. Other Direct Costs

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<td>1. Materials and Supplies</td>
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<td>2. Publication Costs</td>
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<td>3. Consultant Services</td>
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<tr>
<td>4. ADP/Computer Services</td>
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<tr>
<td>5. Subawards/Consortium/Contractual Costs</td>
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<tr>
<td>6. Equipment or Facility Rental/User Fees</td>
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<tr>
<td>7. Alterations and Renovations</td>
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<td>8.</td>
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<td>9.</td>
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<td>10.</td>
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**Total Other Direct Costs:** 82,000.00

### G. Direct Costs

**Total Direct Costs (A thru F):** 67,592.00

### H. Indirect Costs

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<td>84,104.00</td>
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<td>3.</td>
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<td>4.</td>
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**Total Indirect Costs:** 84,104.00

### I. Total Direct and Indirect Costs

**Total Direct and Indirect Institutional Costs (G + H):** 101,696.00
Detailed Budget Justification

- Key personnel–role and cal months
- Other personnel by role and cal months
- Equipment
- Supplies
- Travel
- Animal Costs or Patient Costs
- Tuition
- List and justify ALL
Budget Justification

Personnel:
David Andes, M.D. PI (3.6 cal months) I will oversee all aspects of the project, including priorities, overall strategies, and data analysis. I will prepare manuscripts and public presentations, and ensure that materials are available to the community in a timely manner.

Hiram Sanchez, MS (4.8 cal months) Mr. Sanchez has experience in C. albicans molecular genetic methods, in vitro and in vivo biofilm formation and susceptibility assays and imaging, matrix cell wall production, collection, and drug sequestration assays (Aims 1, 2, 3)

Robert Zarnowski, PhD (4.8 cal months). Dr. Zarnowski has experience in C. albicans molecular genetics and extensive experience with the biochemical methods needed for cell wall and biofilm matrix analyses (Aims 1, 2, 3)

Fringe Benefit rate: currently 41%

Subcontract:
Aaron Mitchell, PhD, multiple PI. Dr. Mitchell has extensive experience in Candida genetics and biofilm pathogenesis. He will carry out complicated genetic strain constructions, help with epistasis, and transcription factor experiments in (Aims 1, 2, 3).

Supplies:
Supplies include disposables, media components, and reagents for biochemical assays.

Travel:
Funds are requested for the PI to attend one meeting per year in order to present findings.

Other expenses:
Includes microscopy, GC/MS, NMR, gene expression analysis. In addition, animals, housing, and animal care are included.
Reason for Budget Justification

- The Budget Justification
  - Identifies your costs and explains the need for them
  - Answer any questions a reviewer may have about how you calculated your costs
  - Indicates the base salaries and any yearly increases (federal grants should NOT be inflated by 3% per year—NOT-OD-12-036)
  - Should reflect the objectives of the project
Creating a Modular Budget

1. Start with an itemized budget (R&R budget component)
2. Create total-year budgets
3. Divide total of all years by $25,000
4. Request same number of modules each year (there is an exception for equipment)
5. Subcontract costs may be rounded to nearest $1,000
### Modular Budget calculation

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<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
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<td><strong>NU DC</strong></td>
<td>$235,798</td>
<td>$242,872</td>
<td>$250,158</td>
<td>$257,663</td>
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<td><strong>Consort DC</strong></td>
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<td><strong>Total DC</strong></td>
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<td>$265,393</td>
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<td><strong>F&amp;A</strong></td>
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<td>$122,650</td>
<td>$126,330</td>
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<td><strong>$632,201</strong></td>
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<td><strong>Total Costs</strong></td>
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### PHS 398 Modular Budget

#### A. Direct Costs

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<td>03/31/2018</td>
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- **Direct Cost less Consortium F&A**: 250,000
- **Consortium F&A**:
- **Total Direct Costs**: 250,000

#### B. Indirect Costs

<table>
<thead>
<tr>
<th>Indirect Cost Type</th>
<th>Indirect Cost Rate (%)</th>
<th>Indirect Cost Base ($)</th>
<th>Funds Requested ($)</th>
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<tr>
<td>MTDC</td>
<td>50.5</td>
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- **Cognizant Agency (Agency Name, POC Name and Phone Number)**: DHHS, Arit Karim, Dallas, 214-767-3261
- **Indirect Cost Rate Agreement Date**: 06/15/2012
- **Total Indirect Costs**: 121,200

#### C. Total Direct and Indirect Costs (A + B)

- **Funds Requested ($)**: 371,200

---

**Note:** The image shows a screenshot of a software interface for managing proposals, with specific focus on the modular budget section of a proposal. The text details the budget period, direct and indirect costs, and total costs, along with some additional information such as the cognizant agency and contact details.
More on Modulars

- List all personnel at applicant organization, including names, number of months devoted to project and roles on the project.

- Subcontract total costs are calculated separately and rounded to nearest $1,000. List personnel, number of months devoted to project and roles on the project.

- Budget justification is limited to personnel and equipment.

- Modular budgets are applicable only to R01, R03, R15, R21 and R34 applications.
How is the budget used by Reviewers and Program Officials?

- The budget reveals the applicant’s understanding of what it takes to accomplish the proposed research.
- However, the budget is not used to assess scientific merit and is reviewed after the scientific merit is assessed.

RULE 1: Develop a Realistic Budget!
RULE 2: Justify Your Needs!
Reminder for R01 Budget

All budget requests to NIH for R01 applications use:

- the **modular format** when requesting direct costs of $250,000 or less each year
- the **non-modular format** when requesting direct costs greater than $250,000 in any year

- Subcontract F&A costs are not factored into the modular direct cost limit
Final thoughts on Budget Preparation

- Start early/Route in WISPER early
- Read and re-read instructions
- Contact your Administrator ASAP to let them help you
- Ask questions
- Incorporate the budget into your proposal
NIH Reminders

- Applications requesting $\geq 500,000 \text{ DC}$ in any single year – applicants must seek agreement to accept assignment from Institute staff at least six weeks prior to submission. Include written permission in application.

- **Multiple principal investigator R01** is intended for projects that clearly require a “team science” approach. The Multiple PI option should not be used as a means to justify a large budget request.

- **Well-funded investigators** should consult with Institute staff regarding policies for support of new research in well-funded laboratories.
Funded—Budget Cuts??

- Study section may recommend reductions

- Funding institute may reduce budget further and cut years
  - Not appealable
  - Discuss with Program officer if causes hardship
WISPER used for Routing

- **WISconsin Proposal & Electronic Routing System**
- The new internal electronic routing form to track the approval, routing, submission status and organize proposal data.
- Must route through DOM, SMPH and then to RSP for all submissions.
- For Training or desk references go to: [http://www.rsp.wisc.edu/WISPER/](http://www.rsp.wisc.edu/WISPER/)
UW Requirements for Approval

- Principal Investigator status
- Outside Activity Report completed (Now with FCOI requirements may need to do several times a year!)
- Effort Training and Certification up-to-date
- Budget/justification/scope of work provided
- Clearances
- WISPER record completed
Compliances

- Human Subjects (IRB)
- Animal Use (IACUC)
- Biosafety/DNA
- Conflict of Interest/Outside Activities Report
- NIH Publication Public Access/PMCID number
### MY WISPER

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**Approvals I Need to Complete**

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**Records for which I am PI**

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## Record Information

**Record ID:** MSN127491  
**Contact PI:** JANUARY,CRAIG T  
**Short Title:** January.GO Grant NHLEI 5-29-09

**Document Type:** Grant  
**Sponsor Name:** DHHS, PHS, NATIONAL INSTITUTES OF HEALTH  
**Status:** 1-in Process

### Basic Info

**Contact PI:** JANUARY,CRAIG T  
**Outside Activities Report Submitted:** Yes

**Official Proposal Title:** Disease-specific iPSC Derived Cardiomyocytes for Human Inherited Anomaly Syndromes

**Short Title:** January.GO Grant NHLEI 5-29-09  
**Proposal Type:** New

**Administering Dept:** 534225 MEDICINE*CARDIOLOGY  
**Begin Date:** 01/01/2009  
**End Date:** 09/30/2011

**Sponsor:** DHHS, PHS, NATIONAL INSTITUTES OF HEALTH  
**Primary Sponsor (Optional):**  
**Primary Sponsor Not in List:**

**Related Record:**

**Add Related Record**  
**Remove Related Record**
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Electronic Grants submission

- Our system internally is CAYUSE which uploads grants to Grants.gov

- Cayuse is a user-friendly, web-based software program that is used to streamline the process for grant submissions to NIH

- For Training—call Betty or RSP website at:
  http://www.rsp.wisc.edu/cayuse/index.html#CayuseTraining
Welcome to Cayuse424
Cayuse424 v3.6.5

- Proposals
- Routing & Approval *
- Professional Profiles
- Institutional Profiles
- Reports
- Preferences
- Support
APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

1. TYPE OF SUBMISSION
   - Pre-application
   - Application
   - Changed/Corrected Application

2. DATE SUBMITTED
   04/27/2009

3. DATE RECEIVED BY STATE

4. Federal Identifier

5. APPLICANT INFORMATION
   - Legal Name: The Board of Regents of the UW System
   - Department:
   - Street: 21 N. Park Street
   - City: Madison
   - State/Province: Wisconsin
   - Country: United States of America
   - Organizational DUNS: 161202122
   - Division:
   - Street2: Suite 6401
   - County: Dane
   - Zip/Postal Code: 53715-1218

Person to be contacted on matters involving this application
   - Prefix: DEBORAH
   - First Name: M
   - Middle Name: MELTZER
   - Last Name: MELTZER
   - Phone Number: 6082634940
   - Fax Number: 6082628565
   - Email: DMELTZER@WISC.ED

0 Errors / 0 Warnings
SF 424 (R&R) APPLICATION FOR FEDERAL ASSISTANCE Page 2

16. ESTIMATED PROJECT FUNDING

| a. Total Estimated Project Funding | 0 |
| b. Total Federal & Non-Federal Funds | |
| c. Estimated Program Income | |

17. * IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES □ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: 
   DATE: 

b. NO □ PROGRAM IS NOT COVERED BY E.O. 12372; OR 
   PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

18. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances * and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 10, Section 1001)

* I agree

* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

19. Authorized Representative

<table>
<thead>
<tr>
<th>Prefix</th>
<th>First Name</th>
<th>Middle Name</th>
<th>Last Name</th>
<th>Suffix</th>
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<tbody>
<tr>
<td>Ms.</td>
<td>Stephanie</td>
<td>L</td>
<td>Gray</td>
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<tr>
<td>Managing Officer</td>
<td>Research &amp; Sponsored Programs</td>
<td>21 North Park Street</td>
<td></td>
<td>Madison</td>
<td>Wisconsin</td>
<td>United States of America</td>
<td>53715-1218</td>
</tr>
</tbody>
</table>

| * Phone Number: | 608-262-3822 |
| Fax Number:     | 608-262-5111 |
| Email:          | preaward@rsp.wisc.edu |

* Signature of Authorized Representative

* Date Signed

20. Pre-application

(no pdf) (no arc) Add Delete

Final Review
PHS 398 Research Plan

1. Application Type:
   From SF 424 (R&R) Cover Page and PHS398 Checklist. The responses provided on these pages, regarding the type of application being submitted, are reported for your reference, as you attach the appropriate sections of the research plan.
   *Type of Application:
   - (no pdf) (no src) Add Delete

2. Research Plan Attachments:
   Please attach applicable sections of the research plan, below:
   1. Composite PDF
      - (no pdf) (no src) Add Delete
   2. Introduction to Application
      - (no pdf) (no src) Add Delete
   3. Specific Aims
      - (no pdf) (no src) Add Delete
   4. Background and Significance
      - (no pdf) (no src) Add Delete
   5. Research Design and Methods
      - (no pdf) (no src) Add Delete
   6. Inclusion Enrollment Report (IFR)
      - View Generated Attachment Add Delete
   7. Progress Report Publicaton List
      - (no pdf) (no src) Add Delete
   8. Human Subjects Section
      - (no pdf) (no src) Add Delete
   9. Inclusion of Women and Minorities
      - View Generated Attachment Add Delete
   10. Targeted/Planned Enrollment Table
       - (no pdf) (no src) Add Delete
   11. Inclusion of Children
       - (no pdf) (no src) Add Delete
   12. Other Research Plan Sections
      - View Generated Attachment Add Delete
   13. Select Agent Research
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   14. Multiple PI Leadership Plan
      - (no pdf) (no src) Add Delete
   15. Consortium/Contractual Arrangements
      - (no pdf) (no src) Add Delete
   16. Letters of Support
      - (no pdf) (no src) Add Delete
   17. Resource Sharing Plan(s)
      - (no pdf) (no src) Add Delete

   51 Errors / 9 Warnings

NIH
<table>
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<th>Project ID</th>
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<th>Calendar Duration</th>
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<tr>
<td>R01 DK036904 (Palta)</td>
<td>NIH/NIDDK</td>
<td>9/30/2006-6/30/2011</td>
<td>0.12 calendar</td>
<td>&quot;Cohort Registry of Type 1 Diabetes&quot; The major goal of this study is to determine how population changes toward more intensive insulin therapy and diabetes management have affected microvascular outcomes during 15-20 years type 1 diabetes duration. Acct # 144QK65</td>
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<td>R01 HL095132-01 (Stein/Curner)</td>
<td>NIH/NHLBI</td>
<td>9/25/2008-6/30/2011</td>
<td>2.4 calendar</td>
<td>&quot;Prospective Evaluation of Antiviral Therapy and Cardiac Health&quot; The overall goal of this project is to prospectively examine the impact of three modern antiretroviral therapy treatment strategies on the progression of atherosclerosis in treatment-naive individuals with HIV. SubK from UCLA—acct #144-PRJ19EU</td>
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<td>U01 AI69471 (Murphy)</td>
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<td>My original budget shows 4%</td>
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<td>NIH/NHLBI</td>
<td>2/1/2009-6/30/13</td>
<td>0.6 calendar</td>
<td>&quot;CVD and Metabolic Complications of HIV/AIDS Data Coordinating Center&quot; Core ultrasound laboratory for data coordinating center for 5 studies of cardiovascular disease risk in HIV-infected populations. Uof Washington-144-PRJ36QG new contract is past due?? Effort was 2.5% first year and increased to 5% in 2-4.</td>
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<td>4/01/09-03/31/12</td>
<td>0.3 calendar</td>
<td>NEEDS NIH approval</td>
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</table>
the life-span. American Psychologist, in press. NIHMSID: NIHMS99135

Additional recent publications of importance to the field (in chronological order)
What is the NIH Public Access Policy? The Policy implements Division G, Title II, Section 218 of PL 110–161 (Consolidated Appropriations Act, 2008) which states:

SEC. 218. The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine’s PubMed Central an electronic version of their final peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Provided, That the NIH shall implement the public access policy in a manner consistent with copyright law.

The Public Access Policy ensures that the public has access to the published results of NIH-funded research. It requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central (http://www.ncbi.nlm.nih.gov/pmc/). The Policy requires that these final peer-reviewed manuscripts be accessible to the public on PubMed Central to help advance science and improve human health.
What is PubMed Central?

PMC

PMC is a free full-text archive of biomedical and life sciences journal literature at the National Library of Medicine (NIH/NLM).

Get Started
- PMC Overview
- Users' Guide
- Journal List
- PMC FAQs
- PMC Copyright Notice

Participate
- Add a Journal to PMC
- Participation Agreements
- File Submission Specifications
- File Validation Tools

Keep Up to Date
- New in PMC
- PMC News Mail List
- PMC News RSS

Other Resources
- PMC International
- Open Access Subset
- E-utilities
- NLM LiArch
- PMC Citation Search

2.5 MILLION Articles are archived in PMC.
Content provided in part by:

<table>
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<th>Full Participation</th>
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<th>Selective Deposit</th>
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NIH Public Access
- NIH Public Access and Policy
- NIH Manuscript Submission
- My Bibliography
- PMCID/PMID/NHMSID C...
The following information is needed for the submission:
- Title of the journal
- Title of manuscript
- PI name(s)
- Grant number(s)
- Manuscript files (Word, Excel, PPt, TIFF, GIF, JPEG, PDF, etc)
- Embargo/Delay Time period
Each Division has a PMCID captain that took training on this

Or contact the library:
Julie Schneider
nihpolicy@library.wisc.edu
(608) 263–5755

How to cite at the NIH website:
http://publicaccess.nih.gov/citation_methods.htm
Communicate with NIH via eRA Commons

- eRA Commons is an online interface where grant applicants, grantees and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants.
- eRA Commons users, based on their role, can conduct a variety of business in Commons, including:
  - Track the status of their grant applications through the submission process, view errors and/or warnings and check the assembled grant image.
  - View summary statements and score letters following the initial review of their applications.
  - View notice of award and other key documents.
  - Submit Just-in-Time information (SO only) requested by the grantor agency prior to a final award decision.
  - Submit the required documentation, including the Financial Status Report and final progress report, to close out the grant.
  - Submit a No-Cost Extension notification (SO only) that the grantee has exercised its one-time authority to extend without funds the final budget period of a project period of a grant.
  - Submit a streamlined annual progress report electronically, provided the grantee institution is eligible to submit one under the Electronic Streamlined Non-competing Award (eSNAP) process.

To request a Commons ID contact: Debbie Meltzer at: dmeltzer@wisc.edu
What's New on the Commons

SYSTEM STATUS: All systems are available.

Grants.gov may take up to 48 hours to make applications available to NIH. Please be patient if status is not yet available.

Support Tip: We encourage you to take advantage of our new web support at http://ithelpdesk.nih.gov/eRA/. When requesting support please supply as much of the requested data as possible for faster service.

Electronic Submission Tip: Learn about the most frequent application errors at Avoiding Common Errors.

More Recent Features of Commons include:
- **NEW** xTrain has been released in pilot mode for all Federal Demonstration Partnership (FDP) institutions. For more information please contact the eRA Helpdesk.
- eSNAP - Allows an institution to review non-competing grant data and submit a progress report online.
- Reference Letters: To submit a reference letter when requested by an applicant, please follow this link: Submit Reference Letter
- Internet Assisted Review (IAR) - Allows reviewer to submit critiques and preliminary scores for applications they are reviewing. Allows Reviewers, SRAs, and GTAs to view all critiques in preparation for a meeting. IAR creates a preliminary summary statement body containing submitted critiques for the SRA or GTA.
- Demo Facility - Demo Facility allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

About the Commons
- Scope and Purpose
- Frequently Asked Questions
- Grantee Organization Registration
- eRA Contacts
- Enter eRA NIH Commons Demo

Links
- Commons Support Page
- CRISP
- eRA Home Page
- Electronic Application Submission
- Grants.gov
- iEdison
- Iacuc Required Program
Notice of Award (NoA)

- LEGALLY BINDING DOCUMENT
  - Granted to University
  - Tells you that your grant is funded; contains award data & fiscal information
  - Grant Payment Information
  - Terms and Conditions of award (such as FDP and SNAP allowances)
NOTICE OF GRANT AWARD

Grant Number: 1R01AI073289-01A2
Principal Investigator(s):
DAVID R ANDES, MD
Project Title: Antifungal Resistance Mechanism in Biofilm Growing candida albicans
Diane E Barrett
ASSISTANT DEAN
21 N. Park Street
Suite 6401
Madison, WI 537151218
Award e-mailed to: NIH@rsp.wisc.edu
Budget Period: 06/15/2008 – 05/31/2009
Project Period: 06/15/2008 – 05/31/2013
Dear Business Official:
The National Institutes of Health hereby awards a grant in the amount of $367,370 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UNIVERSITY OF WISCONSIN MADISON in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.
Acceptance of this award including the “Terms and Conditions” is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.
Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as “The project described was supported by Award Number R01AI073289 from the National Institute Of Allergy And Infectious Diseases. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Allergy And Infectious Diseases or the National Institutes of Health.”
Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit http://publicaccess.nih.gov/.
Award Calculation (U.S. Dollars)
Federal Direct Costs $250,000
Federal F&A Costs $117,370
Approved Budget $367,370
Federal Share $367,370
TOTAL FEDERAL AWARD AMOUNT $367,370
AMOUNT OF THIS ACTION (FEDERAL SHARE) $367,370

SUMMARY TOTALS FOR ALL YEARS
YR THIS AWARD CUMULATIVE TOTALS
1 $367,370 $367,370
2 $367,370 $367,370
3 $367,370 $367,370
4 $367,370 $367,370
5 $367,370 $367,370

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Fiscal Information:
CFDA Number: 93.855
EIN: 1396006492A1
Document Number: RAI073289A
Fiscal Year: 2008
IC CAN 2008 2009 2010 2011 2012
AI 8472364 $367,370 $367,370 $367,370 $367,370 $367,370 $367,370

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project
SECTION III – TERMS AND CONDITIONS – 1R01AI073289–01A2
This award is based on the application submitted to, and as approved by, NIH on the above–titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

a. The grant program legislation and program regulation cited in this Notice of Award.
b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at ‘http://grants.nih.gov/grants/policy/awardconditions.htm’ for certain references cited above.)

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase IV Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.


An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP). In accordance with P.L. 110–161, compliance with the NIH Public Access Policy is now mandatory.

For more information, see NOT–OD–08–033 and the Public Access website: http://publicaccess.nih.gov/.
SECTION IV – AI Special Terms and Conditions – 1R01AI073289-01A2

This is a Modular Award without direct cost categorical breakdowns in accordance with the guidelines published in the NIH Grants Policy Statement, December 2003, see (http://grants2.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part12.htm#Toc54600227), pages 217–219. Recipients are required to allocate and account for costs related to this award by category within their institutional accounting system in accordance with applicable cost principles.

*******************************************************************************

The budget period anniversary start date for future year(s) will be June 1.

*******************************************************************************

Total direct funds (salary, fringe benefits and tuition remission) for the Graduate Student are provided at the NIH maximum allowable amount ($36,996), stipend level zero of the Ruth L. Kirschstein National Research Service Award. Please refer to the NIH Guide for Grants and Contracts, Notice: OD–07–052, dated February 22, 2007. See http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-052.html for full text. Support recommended for future years has been adjusted accordingly, if applicable.

*******************************************************************************

The research proposed in this grant may involve Select Agents and/or Highly Pathogenic Agents.

*******************************************************************************

STAFF CONTACTS
The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Vandhana Khurana
Email: khuranaV@mail.nih.gov Phone: 301–493–0597

Program Official: Rory A. Duncan
Email: rd188@nih.gov Phone: 301–402–8613 Fax: 301–402–2508
This email is for notification only; no action is needed. It is provided to notify you of an action taken on a Sponsored Project for which you are listed.

Action: Funding Change
Action Amount: $321,455.00

This action was taken on the following award:
Award #MSN133030 from UNIVERSITY OF WASHINGTON flow through from

Sponsor Award Reference #: 679847
PI: STEIN,JAMES H 534225 (MEDICINE*CARDIOLOGY)
Start Date: AUG 01, 2009  End Date: JUL 31, 2012
Official Title: MESA Air pollution study

The following TERMS & CONDITIONS OF THE AWARD apply:

25% Budget Tol - Needs Approv!: May not deviate from Line Items.
Equipment Title with UW:
OtherTerm&Cond 01: HS IRB information to be sent to Washington and approval from Washington/EPA must be obtained before HS work can begin
Publications: see agreement

Award #MSN133030 includes the following projects:

**Project #PRJ33DA Fund: 144**
PI: STEIN,JAMES H 534225 (MEDICINE*CARDIOLOGY)
Total Project Budget: 952,952.00
Start Date: AUG 01, 2009  End Date: JUL 31, 2012
Questions?

› Thank you for your attention!