

ECHO ISPCTN Budget Development Process

Budget Outline

- Number of visits
 - Time? Procedures? Staff? Materials? Incentives?
- Vendors
 - Labs, products
- Site startup & equipment
- Personnel
 - Minimum for oversight even with capitation?
- Travel (participants, research team)
- Training
- Other study-specific procedures . . .

DCOC Costs

- Typically 25-30% of the total study costs – proportional allocation
- Includes
 - Site management
 - Associate Director
 - IRB support
 - Monitoring
 - Informatics / Data management
 - Communications / Outreach
 - Training

Budget framework considerations

- Are there foreign components?
- Which agreements will include “human subjects” clause?
- Who needs to be an independent contractor?
- What needs bidding?
- What licensing fees are needed for data collection tools / other study needs?
- Data usage, what are the parameters?

Official NIH Format

- Follow the RR Budget Format
- Categories
 - A. Senior Key Personnel
 - B. Other Personnel
 - C. Equipment
 - D. Travel
 - E. Participant/Trainee Support Costs
 - F. Other Direct Costs

Official NIH Format

RESEARCH & RELATED BUDGET - Budget Period 1

OMB Number: 4040-0001
Expiration Date: 12/31/2022

ORGANIZATIONAL DUNS: Enter name of Organization:

Budget Type: Project Subaward/Consortium Budget Period: 1 Start Date: End Date:

A. Senior/Key Person

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Project Role: <input type="text"/>											

Additional Senior Key Persons: Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total Number Other Personnel Total Other Personnel

Total Salary, Wages and Fringe Benefits (A+B)

Official NIH Format

C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input type="text"/>	<input type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

D. Travel

	Funds Requested (\$)
1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)	<input type="text"/>
2. Foreign Travel Costs	<input type="text"/>
Total Travel Cost	<input type="text"/>

E. Participant/Trainee Support Costs

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input type="text"/>
2. Stipends	<input type="text"/>
3. Travel	<input type="text"/>
4. Subsistence	<input type="text"/>
5. Other <input type="text"/>	<input type="text"/>
<input type="text"/> Number of Participants/Trainees	
Total Participant/Trainee Support Costs	<input type="text"/>

Official NIH Format

F. Other Direct Costs			Funds Requested (\$)
1. Materials and Supplies			
2. Publication Costs			
3. Consultant Services			
4. ADP/Computer Services			
5. Subawards/Consortium/Contractual Costs			
6. Equipment or Facility Rental/User Fees			
7. Alterations and Renovations			
8.			
9.			
10.			
Total Other Direct Costs			

G. Direct Costs	Funds Requested (\$)
Total Direct Costs (A thru F)	

H. Indirect Costs			
Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
Total Indirect Costs			

Cognizant Federal Agency
(Agency Name, POC Name, and POC Phone Number)

I. Total Direct and Indirect Costs	Funds Requested (\$)
Total Direct and Indirect Institutional Costs (G + H)	

J. Fee	Funds Requested (\$)

K. Total Costs and Fee	Funds Requested (\$)
Total Costs and Fee (I + J)	

L. Budget Justification
(Only attach one file.) <input type="text"/>

Official NIH Format

RESEARCH & RELATED BUDGET - Cumulative Budget

	Totals (\$)
Section A, Senior/Key Person	<input type="text"/>
Section B, Other Personnel	<input type="text"/>
Total Number Other Personnel	<input type="text"/>
Total Salary, Wages and Fringe Benefits (A+B)	<input type="text"/>
Section C, Equipment	<input type="text"/>
Section D, Travel	<input type="text"/>
1. Domestic	<input type="text"/>
2. Foreign	<input type="text"/>
Section E, Participant/Trainee Support Costs	<input type="text"/>
1. Tuition/Fees/Health Insurance	<input type="text"/>
2. Stipends	<input type="text"/>
3. Travel	<input type="text"/>
4. Subsistence	<input type="text"/>
5. Other	<input type="text"/>
6. Number of Participants/Trainees	<input type="text"/>
Section F, Other Direct Costs	<input type="text"/>
1. Materials and Supplies	<input type="text"/>
2. Publication Costs	<input type="text"/>
3. Consultant Services	<input type="text"/>
4. ADP/Computer Services	<input type="text"/>
5. Subawards/Consortium/Contractual Costs	<input type="text"/>
6. Equipment or Facility Rental/User Fees	<input type="text"/>
7. Alterations and Renovations	<input type="text"/>
8. Other 1	<input type="text"/>
9. Other 2	<input type="text"/>
10. Other 3	<input type="text"/>
Section G, Direct Costs (A thru F)	<input type="text"/>
Section H, Indirect Costs	<input type="text"/>
Section I, Total Direct and Indirect Costs (G + H)	<input type="text"/>
Section J, Fee	<input type="text"/>
Section K, Total Costs and Fee (I + J)	<input type="text"/>

A. Key Personnel

- Key Person is otherwise known as the principal investigator (PI). Other key personnel would be those individuals who contribute to the scientific development of the project.
- Key personnel can be listed with zero effort as “Other Significant Contributors”
- A key person must always be identified on a budget.

B. Other Personnel

- Other personnel are listed by the type of role they provide to the project, some examples of roles are:
 - A. Post Doctoral Associations
 - B. Graduate Students
 - C. Study Coordinators
 - D. Research Coordinators – Nurses.

C. Equipment

- This is reserved for equipment which exceeds \$5k and is considered a capital expenditure. An inventory must be kept on this equipment and NIH has the right to ask that the equipment be returned at the end of the project. (this doesn't happen often). An inventory list will be required at closeout.

D. Travel

- Travel must be budgeted and be relevant to the project. Some things to consider regarding travel:
- Meals cannot be claimed if they are part of the program itinerary. It would be a duplicate expense to the grant.
- The IRS has very specific guidelines regarding travel. For example, you cannot claim mileage to the airport unless the airport is another city from your home base.
- The most conservative rules apply in travel. In other words if your state guidelines are more restrictive than the federal, the state guidelines apply.

E. Participant/Trainee Support Costs

- This category is used for participant expense primarily. It also used for graduate students expenses such as stipends and health insurance.

F. Other Direct Costs

- This is for other expenses not otherwise classified such as:
 - Publication Costs
 - Materials and Supplies including participant supplies
 - Consultants
 - Subawards

Budget Justification

Components of a Budget Justification
NAME OF THE STUDY
TYPE OF AGREEMENT

A. Senior/Key Personnel

Name of the PI (# calendar months, % FTE). Short description of the work to perform (i.e. will monitor, review and ensure implementation of ISPCTN/ECHO program goals).

The institutional base salary is \$_____ and ____% fringe. This salary support is from date through date.

The NIH salary cap is \$_____ and this PI salary is under/ above (select one).

Total Salary:\$_____

B. Other Personnel

None (if there are no other personnel to list).

Name (# calendar months, % FTE). Short description of the work to perform (i.e. will monitor, review and ensure implementation of ISPCTN/ECHO program goals).

The institutional base salary is \$_____ and ____% fringe. This salary support is from date through date.

The NIH salary cap is \$_____ and this PI salary is under/ above (select one).

Total Salary:\$_____

C. Equipment

None (if there is no equipment to list).

Short description of the equipment and cost per unit and total.

D. Travel

\$amount is requested in travel expenses. Include description of the justification for this expense, the number of trips and cost for each trip. Describe what is included in the cost (plane tickets, hotel, number of nights and, Taxi and per diem rate). Include how the cost will be covered if it is more than the budgeted approved by NIH.

Example:

PI will attend two conferences in City. \$987 is budgeted for airline travel for each conference, for a total of \$1974.

The GSA rate of \$188/night is budgeted for lodging at two nights per conference (four nights total) for a total of \$752.

The UM per diem rate of \$50 for out of state travel is budgeted for eight days, for a total of \$400.

Department X will cover all expenses over the \$3000 maximum that is allowed to be requested in this award.

E. Participant/Trainee Support Costs

None (if there is nothing else to list).

Short description of include, cost per unit and total.

F. Other Direct Costs

Budget Justification

F. Other Direct Costs

1. Materials and Supplies

None (if there is nothing else to list).
Short description of include, cost per unit and total.

2. Publication Costs

None (if there is nothing else to list).
Short description of include, cost per unit and total.

3. Consultant Services

None (if there is nothing else to list).
Short description of include, cost per unit and total.

4. Communications

None (if there is nothing else to list).
Short description of include, cost per unit and total.

5. Subawards/Consortium/Contractual Costs

None (if there is nothing else to list).
Short description of include, cost per unit and total.

10. Meeting and Conference Costs

None (if there is nothing else to list).
Short description of include, cost per unit and total.

G. Total Directs (A through F).

Total Direct = \$ _____

H. Indirect Cost

Name of the institution has a federally negotiated F&A Rate of ____%
Indirect costs is \$ _____

I. Total Budget Requested (G+H)

Indirect cost is \$ _____

Final Steps

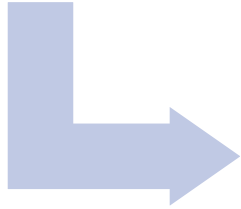
- Once the budget is completed and approved, other documents will be required for the official contract process:
 - Budget Justification – effort must be in calendar months for UAMS.
 - Updated F&A letter – the institutional overhead that is charged.
 - Confirmation of IRB and GCP training by all personnel on the grant.
 - Upon receipt of documents ORSP processes the contract.
 - Once the contract is approved it will be assigned a Purchase Order Number
 - The purchase order number is required for invoicing and payment.

Invoicing for Payment

- The institution will need to submit an invoice for payment to ASKDCOCFINANCE@uams.edu
- The invoice must include the Purchase Order, the period billing for (normally monthly increments), an invoice number and the Principal Investigator's (PI)'s name.
- There must be back up documentation in the form of an accounting ledger to support the invoice charges that clearly shows the period of activity.
- Invoices are normally processed within 7-10 days of receipt with payment taking an additional 10-15 business days.

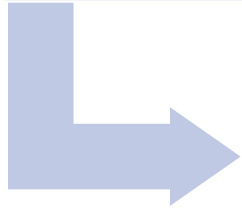
Initial budget draft

- Study Associate Director, Protocol Chair(s) & Finance Director
- Protocol Chair & Site team price individual site costs as a template of site costs for initial draft



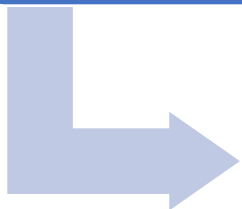
Iterative review

- Q2 week checks as study evolves



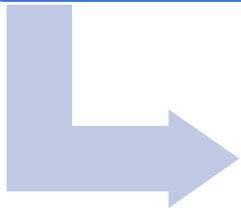
Expanded Concept Proposal

- Draft for ECP serves as a check point for protocol team & NIH



Final budget

- Follows site selection to allow for inclusion of exact site-specific costs



UAMS grants office submits final packet to NIH Grants Management

Grants.gov

- The **Uniform Grant Guidance** (UGG, also referred to as 2 CFR Part 200) is a set of **federal grant regulations** that combines several previous federal cost principles, administrative requirements, and audit requirement circulars into a single, comprehensive document. This consolidation was done with the intent of streamlining and standardizing grant requirements across all categories of recipients (i.e. entities of state, local, and tribal governments, institutions of higher education, and non-profit organizations). 2 CFR Part 200 is available in downloadable format.
- <https://www.grants.gov/learn-grants/grant-policies/omb-uniform-guidance-2014.html>

Questions and Follow Up

- Questions?
- I will send out all the forms we talked about, a contract checklist and the slides.
- Please email me cmcnutt@uams.edu anytime for assistance.