



University  
of Idaho

# DGA ROUNDTABLE

PROPOSALS – CASE STUDIES

Sept 12, 2024

# OSP ANNOUNCEMENTS



- I Welcome new OSP employee Catie Maas, Cost Accounting
- I Andrea Thomas resigned effective 9/6. This position will be refilled. Until then please be patient waiting for Post Award to respond to your requests.
- I New TDX tickets coming – Blair
- I USDA NIFA TFFA - Eric



**QUESTIONS?**



## CASE STUDY #1: PROPOSAL SOLICITATION REVIEW

Dr. Fu has approached you with a proposal solicitation from NSF ([NSF 22-600](#)). She asks for your help in breaking down the key elements of the solicitation so she can determine if she's eligible and how to structure her proposal.

- I What is the submission deadline and method for submitting this proposal?
- I Is Dr. Fu eligible to apply as the Lead PI?
- I What are the budget parameters, including any cost share requirements and F&A limitations?
- I What unique program requirements does Dr. Fu need to be aware of?

## CASE STUDY #1: QUESTION



What is the submission deadline and method for submitting this proposal?



## CASE STUDY #1: ANSWER

Submission deadline and method for submitting.

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**Submission Window Date(s)** (due by 5 p.m. submitter's local time):

September 01, 2022 - September 19, 2022

September 1 - September 18, Annually Thereafter

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**Full Proposal Preparation Instructions:** Proposers may opt to submit proposals in response to this Program Solicitation via [Research.gov](https://www.research.gov) or [Grants.gov](https://www.grants.gov).

## CASE STUDY #1: QUESTION



Is Dr. Fu eligible to apply as the Lead PI?



# CASE STUDY #1: ANSWER

PI Eligibility.  
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**IV. ELIGIBILITY INFORMATION**

**Who May Submit Proposals:**  
The categories of proposers eligible to submit proposals to the National Science Foundation are identified in the NSF Proposal & Award Policies & Procedures Guide (PAPPG), Chapter I.E. Unaffiliated individuals are not eligible to submit proposals in response to this solicitation.

**Who May Serve as PI:**  
There are no restrictions or limits.

**Limit on Number of Proposals per Organization:**  
There are no restrictions or limits.

**Limit on Number of Proposals per PI or co-PI:**  
There are no restrictions or limits.

PAPPG: Institutions of Higher Education are eligible and individuals who are a current party to a Malign Foreign Talent Recruitment Program are not eligible to serve as a senior/key person.



## CASE STUDY #1: QUESTION



What are the budget parameters, including any cost share requirements and F&A limitations?

# CASE STUDY #1: ANSWER



Budget Parameters.

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The joint DMS/INGMS initiative offers two submission tracks: Track 1 - for projects with a total **budget** of up to \$600,000 for an award duration of 3 years, and Track 2 - for projects with a total **budget** of up to \$1,200,000 for an award duration of 3-4 years.

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## B. Budgetary Information

- **Cost Sharing Requirements:**  
Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:**  
Not Applicable
- **Other Budgetary Limitations:**  
Not Applicable

## CASE STUDY #1: QUESTION



What unique program requirements does Dr. Fu need to be aware of?

## CASE STUDY #1: ANSWER



Unique Program Requirements.

Solicitation: Identify unique requirements from Program Description on pg4 and Proposal Preparation Instructions on pg5.



## CASE STUDY #2: CALCULATING F&A

Dr. Lee is collaborating with TechCorp, a technology company, on a research project to develop new battery technologies. The project will involve work both in U of I labs and at TechCorp's facilities. The total direct costs are \$750,000 (MTDC are \$500,000), with 75% of the work on campus and 25% off campus.

- I Determine the correct F&A rate.
- I Applying the correct F&A rate what are the indirect costs amount for the project?
- I What is the direct + indirect (F&A) total costs?

## CASE STUDY #2: QUESTION



What is the correct F&A rate?

## CASE STUDY #2: ANSWER



F&A rate:

On Campus, Organized Research, Industry

57.13% MTDC

## CASE STUDY #2: QUESTION



Applying the correct F&A rate what are the indirect costs amount for the project?



## CASE STUDY #2: ANSWER



Indirect costs amount: \$285,650

## CASE STUDY #2: QUESTION



What is the direct + indirect (F&A) total costs?



## CASE STUDY #2: ANSWER

Total project cost (direct + indirect):

$$\$750,000 + \$285,650 = \mathbf{\$1,035,650}$$



## CASE STUDY #2: NEGOTIATED RATES

The University of Idaho's federally negotiated facilities and administrative (F&A) cost rates are posted on the Office of Sponsored Programs website and must be used with all sponsored project budgets unless one of the following conditions is met:

- ❗ The sponsor is a nonprofit organization and has a published indirect cost rate limit.
- ❗ The sponsor is a federal agency and has a rate limited by statute or regulation.
- ❗ The sponsor is the State of Idaho (or Idaho counties and cities), which has a 20% rate on total direct costs, and funds are not passing through from the federal government.
- ❗ A sponsored project transferred from another institution which has a lower approved rate for a principal investigator new to the UI (a higher rate will be reduced to our standard rate.)

Foreign entities other than non-profits (including foreign governmental entities) may not restrict UI's fully burdened F&A rate. Any limitations must be approved via F&A waiver ticket.



## CASE STUDY #3: SUBAWARDS VS SERVICE CONTRACTS

Dr. Hernandez, PI is submitting an NIH proposal that involves collaboration with another university for data analysis and a private company for equipment maintenance. The other university will contribute to the research design and co-author publications. The company will provide routine maintenance services to the PI's lab. Did I mention that the PI and his wife own the maintenance services business?

- I How should each collaboration be classified (subaward or service contract) and why?
- I What other compliance red flags do you spot in this case study?

## CASE STUDY #3: QUESTION



How should each collaboration be classified (subaward or service contract) and why?



## CASE STUDY #3: ANSWER

Subaward or service contract and why

### U of I Definition

**University** – subaward

Programmatic work (research design and co-author publication)

**Company** – service contract

“Routine”

Provides goods or services in its normal business operations

Operates in a competitive environment

## CASE STUDY #3: ANSWER



Discussion topic: What factors should be considered when making a determination whether an entity (or person represented by an entity) is a subrecipient or a vendor/contractor?



## CASE STUDY #3: ANSWER



Discussion topic: What factors need to be considered when including an entity as a vendor on a proposal?

## CASE STUDY #3: QUESTION



What other compliance red flags do you spot in this case study?



## CASE STUDY #3: ANSWER

### Red flags

- Conflict of Interest
- Federal policy and guideline compliance
  - Procurement requirements and sole sourcing – link to Contracts and Purchasing Services provided on the Resources slide



## CASE STUDY #3: NEED HELP?

### Subaward vs Vendor Determination

Review Resources available (Scope of Work needed, APM 45.15)

Submit a Request for Assistance Ticket - link provided on the Resources slide

### Conflict of Interest questions

Review Resources available (FSH 6240, SFI FAQs)

Email [osp@uidaho.edu](mailto:osp@uidaho.edu) or [counsel@uidaho.edu](mailto:counsel@uidaho.edu)



## CASE STUDY #4: ALLOWABLE VS UNALLOWABLE

Dr. Adams is preparing a budget for an NSF grant. She wants to include costs for a graduate student; office supplies; a new computer for data analysis; publication costs; travel to a conference in Hawaii that includes first-class airfare, a week-long stay at a luxury resort, and a rental car for the duration; and a team celebration dinner at the end of the project.

- I** Which costs appear to be allowable and reasonable at first glance? What questions do you have for Dr. Adams to confirm?
- I** Which costs appear to be unallowable? What questions do you have for Dr. Adams to confirm?
- I** What suggestions do you have for appropriate alternatives for the unallowable costs that would still meet the project's needs?

## CASE STUDY #4: QUESTION



Which costs appear to be allowable and reasonable at first glance?



## CASE STUDY #4: ANSWER

- I Potentially Allowable
  - graduate student
  - computer for data analysis
  - publication costs
  - reasonable* grant related business conference travel costs ONLY
  
- I Discussion topic: What questions do you ask to confirm?

## CASE STUDY #4: QUESTION



Which costs appear to be unallowable?





## CASE STUDY #4: ANSWER

- I Potentially Unallowable
  - office supplies
  - unreasonable* travel costs or personal business travel costs
  - team celebration dinner
  
- I Discussion topic: What questions do you ask to confirm?

## CASE STUDY #4: QUESTION



What suggestions do you have for appropriate alternatives for the unallowable costs that would still meet the project's needs?



## CASE STUDY #4: ANSWER

### I Unallowable costs appropriate alternatives

- office supplies  
unit operational funds or return F&A funds  
discussion topic: other ideas?
- *unreasonable* travel costs or personal business travel costs  
personal funds  
discussion topic: other ideas?
- team celebration dinner  
personal funds  
discussion topic: other ideas?



## CASE STUDY #5: COLLABORATION

The PI tells you, the day before the deadline, that they are working with a colleague at another university; the colleague will be working in her lab with a few student assistants. The PI would like to budget the colleague as a consultant on the NSF proposal, and the consulting fee is \$10,500/day. They ask you to budget as many days as the budget will bear.

- I What would you ask the PI to clarify?
- I What concerns do you have?
- I What policy guidance might you point the PI towards in considering if this is the best way to budget the colleague?

## CASE STUDY #5: QUESTION



What would you ask the PI to clarify?

## CASE STUDY #5: ANSWER



- I What would you ask the PI to clarify?
  - ❖ What university are you collaborating with?
  - ❖ What type of work will the university be performing?

## CASE STUDY #5: QUESTION



What concerns do you have?



## CASE STUDY #5: ANSWER

- I What concerns do you have?
  - ❖ Why is the PI giving such short notice in adding this collaborator?
  - ❖ Is the university properly being classified as a consultant or should they be a subrecipient?
  - ❖ What is the justification for charging a rate of \$10,500/per day? Would this rate be consistent with the rate of other consultants doing the same type of services?



## CASE STUDY #5: QUESTION



What policy guidance might you point the PI towards in considering if this is the best way to budget the colleague?



## CASE STUDY #5: ANSWER

- I What policy guidance might you point the PI towards in considering if this is the best way to budget the colleague?
  - ❖ Proposal FAQs – Four business day prior to proposal submission, budget development
  - ❖ APM 45.15 Subawards and Subcontracts



## CASE STUDY #6: PI EFFORT

The NSF program to which the PI is applying has a limit on total costs, and the PI tells you that they need to keep the budget down to the extent possible. The PI will devote effort to the NSF-funded portion of the project but does not want to take salary because of budget constraints. They state this clearly in the budget justification. They instruct you to leave their name on the NSF budget form, with no salary or effort (calendar/academic/summer months) beside it.

- I What are the red flags, if any?
- I What policy guidance do you consult?

## CASE STUDY #6: QUESTION



What are the red flags, if any?



## CASE STUDY #6: ANSWER

- Unallowable Cost Share
  - Inclusion of costs in the budget justification that aren't in the budget

## CASE STUDY #6: QUESTION



What policy guidance do you consult?



## CASE STUDY #6: ANSWER

- 24-1 NSF Proposal & Award Policies & Procedures Guide (PAPPG)  
[Part I, Chapter 2, section D.f.i.c](#)
  - “If salary and person months are not being requested for an individual designated as a senior/key person, they should be removed from Section A of the budget. Their name(s) will remain on the Cover Sheet and the individual(s) role on the project should be described in the Facilities, Equipment and Other Resources section of the proposal.”

## CASE STUDY #6:



Discussion topic: How do you approach this subject with the PI?



# RESOURCES



Description	Where to Find
Conflicts of Interest or Commitment FSH 6240	<a href="https://www.uidaho.edu/governance/policy/policies/fsh/6/6240">https://www.uidaho.edu/governance/policy/policies/fsh/6/6240</a>
Contracts and Purchasing Services	<a href="https://www.uidaho.edu/dfa/finance/contracts-and-purchasing-services">https://www.uidaho.edu/dfa/finance/contracts-and-purchasing-services</a>
F&A Intro Video	<a href="https://www.uidaho.edu/research/faculty/resources/instructional-resources/f-and-a-intro-video">https://www.uidaho.edu/research/faculty/resources/instructional-resources/f-and-a-intro-video</a>
F&A Rates	<a href="https://www.uidaho.edu/governance/policy/policies/apm/45/~/link.aspx?_id=D046D29F35804A1B868D9FD5950509EE&amp;_z=z">https://www.uidaho.edu/governance/policy/policies/apm/45/~/link.aspx?_id=D046D29F35804A1B868D9FD5950509EE&amp;_z=z</a>
F&A Waiver TDX Ticket	<a href="https://support.uidaho.edu/TDClient/40/Portal/Requests/ServiceDet?ID=869">https://support.uidaho.edu/TDClient/40/Portal/Requests/ServiceDet?ID=869</a>
NSF PAPPG	<a href="https://new.nsf.gov/policies/pappg/24-1">https://new.nsf.gov/policies/pappg/24-1</a>
OSP TDX Ticketing System	<a href="https://support.uidaho.edu/TDClient/40/Portal/Requests/ServiceCatalog?CategoryID=143">https://support.uidaho.edu/TDClient/40/Portal/Requests/ServiceCatalog?CategoryID=143</a>
NSF Proposal & Award Policies & Procedures Guide (PAPPG)	<a href="https://new.nsf.gov/policies/pappg/24-1">https://new.nsf.gov/policies/pappg/24-1</a>
Request Assistance TDX Ticket	<a href="https://support.uidaho.edu/TDClient/40/Portal/Requests/ServiceCatalog?CategoryID=159">https://support.uidaho.edu/TDClient/40/Portal/Requests/ServiceCatalog?CategoryID=159</a>
Significant Financial Interests FAQs	<a href="https://www.uidaho.edu/research/faculty/submit-proposal/conflicts-of-interest/significant-financial-interests-faq">https://www.uidaho.edu/research/faculty/submit-proposal/conflicts-of-interest/significant-financial-interests-faq</a>
Subawards and Subcontracts	

# ACRONYMS AND TERMS



Acronym or Term	Description
F&A	Facilities and Administration costs. Also known as indirect costs or overhead represent the expenses of doing research that are not readily identified with any particular sponsored program but are necessary for the general operation of the institution and the conduct of sponsored program activities it performs.
F&A Rate	A rate used to charge indirect costs to sponsored projects. The indirect cost rate is calculated as a percentage of direct costs. You can learn more about the University of Idaho's indirect cost rate by viewing the F&A Intro Video. The link is provided in the resources section.
Malign Foreign Talent Recruitment Program	Defined by Congress in the CHIPS and Science Act of 2022. The definition distinguishes between malign programs and those that aren't malign. Malign foreign talent recruitment programs are programs, positions or activities sponsored by a country of concern (China, Iran, North Korea or Russia) or by certain academic institutions.
MTDC	Modified Total Direct Cost. The total of all direct costs of the project, with the following exclusions: equipment over \$5,000, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships and fellowships, participant support, as well as that portion of each subgrant or subcontract issued in excess of \$25,000.