

Appendix A

Budget Justification example

Sample Budget Justification

USI Budget Justification

TOTAL BUDGET = \$56,211.81

+ \$29,157.81 personnel
+ \$ 13,660 non-personnel
+ \$ 3,500.00 other direct costs
+ \$ 9,894.00 indirect
\$56,211.81

Personnel = \$29,157.81

A. Salaries and Wages: \$19,400 total

1a. Senior Personnel: \$7,500

(1) Project coordinator

Project coordinator will receive one 3 credit hour course release to: oversee day-to-day planning of the project, supervise of staff, coordination with experts in partnering states, and administration of the grant.

$\$7,500 = (\$60,000 \times 12.5\% \text{ effort} \times 1 \text{ project coordinator})$

2b. Other personnel: \$11,900

(2) Undergraduate students

Set and collect traps in the field, count insects on the traps, and record these in the database

$\$2,900 = [(10 \text{ weeks} @ 20 \text{ hours per week} \times \$7.25 \text{ per hour}) = \$1,450 \times 2 \text{ students}]$

(1) Technician

Oversees the undergraduate student, writes the educational fact sheet, posts it on the website, and performs laboratory functions necessary to the project.

$\$9,000 = (\$45,000 \text{ per year} \times 20\% \text{ effort} \times 1 \text{ technician})$

B. Fringe Benefits: \$9,757.81 total

(1) Project Coordinator, faculty member in the College of Science Engineering, and Education

$\$3,935.25 = (\$7,500 \times 52.47\%)$

(2) Undergraduate student FICA

$\$221.86 = (\$1,450 \times 7.65\% = \$110.93 \times 2 \text{ students})$

(1) Technician, Administrative staff in College of Science Engineering, and Education

$\$5,600.70 = (\$9,000 \times 62.23\%)$

(Note: Contact the Office of Sponsored Projects and Research Administration for benefit rates for administrative and support staff.)

Sample Budget Justification

Non-Personnel Expenses = \$7,255

A. Travel: \$1,510 total

(10) Trips to field sites
\$450 = (100 miles x 10 trips x .45/mile)

(5) Nights Lodging
\$500 = (5 nights x \$100 per night)

(5) Per Diem Days
\$160 = (5 days x \$32 per diem)

(1) Airfare ticket
\$400 = (1 airline ticket x \$400 per ticket)

B. Equipment, Supplies, and Materials: \$12,350 total

B1. Equipment (Unit price > \$5,000): \$10,500

(2) Bugatron Processors
\$10,500 = (2 Bugatron Processors x \$5,225 per processor)

B2. Materials & Supplies: \$1,400

(1000) bug traps
\$1,200 = (1000 traps x \$1.20 each)

Office supplies
\$200 (copier paper, pens, and pencils)

B3. Publication Costs: \$250

(500) Fact sheets for distribution at twilight meetings
\$250 = (500 copies x \$0.50 each)

B4. Communications: \$200

(2) Multistate team member conference calls
\$200 = (2 calls x \$100 per call)

Other Direct Costs: \$3,500

A. Contractual Fees: \$1,500

External assessment consultant
\$1,500 = (20 hrs x \$75.00 per hour)

Sample Budget Justification

B. Sub-awards: \$1,500

Sub-award to Indiana University \$1,500

C. Maintenance & Other Service Agreements: \$500

Bugatron Equipment Maintenance agreement
\$500 = (2 years maintenance x \$250 a year)

Cost Share

1. USI Cost Share:
2. Other Source Matching:
3. Uncommitted Cost Share(*cost share that is implied in the narrative but not explicit in the budget*):

(Note: Cost share should only be included in proposal budget if made mandatory by the granting agency. Cost share that is not mandatory and included in the proposal narrative or budget will have to be removed.)

Indirect Costs: \$9,894 total

Indirect base= senior personnel + other personnel (\$11,900 +\$7,500= \$19,400)
\$9,894 = (\$19,400 total salary & wages x 51%)

(Note: Indirect costs must be included in every proposal unless prohibited by the agency. Indirect costs are calculated as total salary & wages (exclusive of fringe benefits) x 51%)

Appendix B

Biographical Sketch example

**National Science Foundation
Biographical Sketch Template**

[Type your name here]

[Type job title here]

[Type professional address here]

[Telephone here]

[E-mail and/or Web page here]

A. PROFESSIONAL PREPARATION

<u>College/University</u>	<u>Major</u>	<u>Degree & Year</u>
[Undergraduate institution(s)]	[Major]	[Degree], [Year]
[Graduate institution(s)]	[Major]	[Degree], [Year]
[Post-doctoral institution(s)]	[Area]	[Inclusive dates]

B. ACADEMIC/PROFESSIONAL APPOINTMENTS

[Most recent appointment]

[Previous appointment(s)]

[First appointment]

C. PUBLICATIONS

Publications Most Closely Related to Proposal

[Names of all authors. Title 1, Journal, vol. N^o, page numbers, year , Web site address]

[Names of all authors. Title 2, Journal, vol. N^o, page numbers, year , Web site address]

[Names of all authors. Title 3, Journal, vol. N^o, page numbers, year , Web site address]

Other Significant Publications

[Names of all authors. Title 1, Journal, vol. N^o, page numbers, year , Web site address]

[Names of all authors. Title 2, Journal, vol. N^o, page numbers, year , Web site address]

[Names of all authors. Title 3, Journal, vol. N^o, page numbers, year , Web site address]

D. SYNERGISTIC ACTIVITIES

Up to **five** examples that demonstrate broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation (ex: innovations in teaching and training, contributions to the science of learning, development and/or refinement of research tools, computation methodologies and algorithms for problem solving, development of databases to support research and education, broadening the participation of groups underrepresented in science mathematics, engineering and technology, and service to the scientific and engineering community outside of the individual's immediate organization).

[Example 1, example 2, example 3,]

COLLABORATORS AND OTHER AFFILIATIONS

Collaborators Over The Last 48 Months:

[Collaborator 1 (organizational affiliation) - project

[Collaborator 2 (org. affiliation) - project

[Collaborator 3 (org. affiliation) - project

[Collaborator 4 (org. affiliation) - project

Graduate and Postdoctoral Advisors

[Your graduate advisor(s) (current org. affiliation)

[Your principal post-doctoral sponsor (current org. affiliation)

Thesis Advisor and Postgraduate Scholar Sponsors over the Last Five Years:

Graduate Students: [Grad. student 1 (org. affiliation), Grad. student 2 (org. affiliation), ...]

Total Number of Graduate Students advised:

Postdoctoral Fellows: [postdoc. fellow 1 (org. affiliation), postdoc. fellow 2 (org. affiliation), ...]

Total Number of Postdoctoral Scholars Sponsored:

BIOGRAPHICAL SKETCH- National Institutes of Health Sample

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME Hunt, Morgan Casey		POSITION TITLE Associate Professor of Psychology	
eRA COMMONS USER NAME (credential, e.g., agency login) huntmc			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)			
INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY
University of California, Berkeley	B.S.	05/90	Psychology
University of Vermont	Ph.D.	05/96	Experimental Psychology
University of California, Berkeley	Postdoctoral	08/98	Public Health and Epidemiology

A. Personal Statement

The goal of the proposed research is to investigate the interaction between drug abuse and normal aging processes. Specifically, we plan to measure changes in cognitive ability and mental and physical health across a five-year period in a group of older drug users and matched controls. I have the expertise, leadership and motivation necessary to successfully carry out the proposed work. I have a broad background in psychology, with specific training and expertise in key research areas for this application. As a postdoctoral fellow at Berkeley, I carried out ethnographic and survey research and secondary data analysis on psychological aspects of drug addiction. At the Division of Intramural Research at the National Institute on Drug Abuse (NIDA), I expanded my research to include neuropsychological changes associated with addiction. As PI or co-Investigator on several university- and NIH-funded grants, I laid the groundwork for the proposed research by developing effective measures of disability, depression, and other psychosocial factors relevant to the aging substance abuser, and by establishing strong ties with community providers that will make it possible to recruit and track participants over time. In addition, I successfully administered the projects (e.g. staffing, research protections, budget), collaborated with other researchers, and produced several peer-reviewed publications from each project. As a result of these previous experiences, I am aware of the importance of frequent communication among project members and of constructing a realistic research plan, timeline, and budget. The current application builds logically on my prior work, and I have chosen co-investigators (Drs. Gryczynski and Newlin) who provide additional expertise in cognition, gerontology and geriatrics. During 2005-2006 my career was disrupted due to family obligations. However, upon returning to the field I immediately resumed my research projects and collaborations and successfully competed for NIH support. In summary, I have a demonstrated record of accomplished and productive research projects in an

area of high relevance for our aging population, and my expertise and experience have prepared me to lead the proposed project.

B. Positions and Honors

Positions and Employment

1998-2000	Fellow, Division of Intramural Research, National Institute of Drug Abuse, Bethesda, MD
2000-2002	Lecturer, Department of Psychology, Middlebury College, Middlebury, VT
2001-	Consultant, Coastal Psychological Services, San Francisco, CA
2002-2005	Assistant Professor, Department of Psychology, Washington University, St. Louis, MO
2007-	Associate Professor, Department of Psychology, Washington University, St. Louis, MO

Other Experience and Professional Memberships

1995-	Member, American Psychological Association
1998-	Member, Gerontological Society of America
1998-	Member, American Geriatrics Society
2000-	Associate Editor, Psychology and Aging
2003-	Board of Advisors, Senior Services of Eastern Missouri
2003-05	NIH Peer Review Committee: Psychobiology of Aging, ad hoc reviewer
2007-11	NIH Risk, Adult Addictions Study Section, member

Honors

2003	Outstanding Young Faculty Award, Washington University, St. Louis, MO
2004	Excellence in Teaching, Washington University, St. Louis, MO
2009	Award for Best in Interdisciplinary Ethnography, International Ethnographic Society

C. Selected Peer-reviewed Publications (Selected from 42 peer-reviewed publications)

Most relevant to the current application

1. Merrylye, R.J. & Hunt, M.C. (2004). Independent living, physical disability and substance abuse among the elderly. *Psychology and Aging*, 23(4), 10-22.
2. Hunt, M.C., Jensen, J.L. & Crenshaw, W. (2007). Substance abuse and mental health among community-dwelling elderly. *International Journal of Geriatric Psychiatry*, 24(9), 1124-1135.
3. Hunt, M.C., Wiechelt, S.A. & Merrylye, R. (2008). Predicting the substance-abuse treatment needs of an aging population. *American Journal of Public Health*, 45(2), 236-245. PMID: PMC9162292
4. Hunt, M.C., Newlin, D.B. & Fishbein, D. (2009). Brain imaging in methamphetamine abusers across the life-span. *Gerontology*, 46(3), 122-145.
5. Hunt, M.C. & Sher, K.A. (2009). Successful intervention models for older drug-abusers: Research across the life-span. *American Psychologist*, in press. NIHMSID: NIHMS99135

Additional recent publications of importance to the field (in chronological order)

1. Gryczynski, J., Shaft, B.M., Merrylye, R., & Hunt, M.C. (2002). Community based participatory research with late-life addicts. *American Journal of Alcohol and Drug Abuse*, 15(3), 222-238.
2. Shaft, B.M., Hunt, M.C., Merrylye, R., & Venturi, R. (2003). Policy implications of genetic transmission of alcohol and drug abuse in female nonusers. *International Journal of Drug Policy*, 30(5), 46-58.
3. Hunt, M.C., Marks, A.E., Shaft, B.M., Merrylye, R., & Jensen, J.L. (2004). Early-life family and community characteristics and late-life substance abuse. *Journal of Applied Gerontology*, 28(2), 26-37.
4. Hunt, M.C., Merrylye, R. & Jensen, J.L. (2005). The effect of social support networks on morbidity among elderly substance abusers. *Journal of the American Geriatrics Society*, 57(4), 15-23.
5. Hunt, M.C., Pour, B., Marks, A.E., Merrylye, R. & Jensen, J.L. (2005). Aging out of methadone treatment. *American Journal of Alcohol and Drug Abuse*, 15(6), 134-149.

D. Research Support

Ongoing Research Support

R01 DA942367-03 Hunt (PI) 09/01/08-08/31/13

Health trajectories and behavioral interventions among older substance abusers

The goal of this study is to compare the effects of two substance abuse interventions on health outcomes in an urban population of older opiate addicts.

Role: PI

Faculty Resources Grant, Washington University

08/15/09-08/14/11

Opiate Addiction Database

The goal of this project is to create an integrated database of demographic, social and biomedical information for homeless opiate abusers in two urban Missouri locations, using a number of state and local data sources.

Completed Research Support

K02 AG442898 Hunt (PI) 02/01/02-01/31/05

Drug Abuse in the Elderly

Independent Scientist Award: to develop a drug addiction research program with a focus on substance abuse among the elderly.

Role: PI

R21 AA998075 Hunt (PI)

01/01/02-12/31/04

Community-based intervention for alcohol abuse

The goal of this project was to assess a community-based strategy for reducing alcohol abuse among older individuals.

Role: PI

Appendix C

OSPRA Grant Application

Pre-Notification form

External Grant Application Pre-Notification Form

Office of Sponsored Projects and Research Administration (OSPRA)

To facilitate the processing of grant applications, OSPRA requires the submission of this form a **minimum of 15 business days** prior to the grant submission deadline. Please submit the form electronically to sponsored.projects@usi.edu

Date:

Principle Investigator (PI) Information

Name:

Phone:

Email:

Department:

Funding Agency Information

Name of Agency:

Website:

Specific Program Name:

****Please provide the grant guidelines (attach or provide a link to their location on the web)***

Grant Application Information

Submission Method

Electronic / Web form Email Hard copy via regular mail Other Method - Describe

Submission Deadline Date (date, time, and time zone):

Maximum award amount: \$

Agency Specific Budget Form: Provided Not Provided

Award Availability *(Is this a one-time funding opportunity or is this available on recurring basis ex. annually)*

One-time funding opportunity Recurring opportunity Do not know

Cost-Share Required Not required Do not know

Will international travel be a part of this proposal? Yes No Undecided

If yes, list the destination city/country:

Please note that it is the PI's responsibility to contact Travel Services and Risk Management for updated international travel policy information. You may also visit the U.S. Department of State website on travel warnings: travel.state.gov

Names, roles and contact information of all key people involved in the proposal development (besides PI):

A brief description of the project:

My signature below indicates that I have read and understand the USI OSPRA Grant Management Guide (available at: <http://www.usi.edu/ospra/grant-management-guide>) and agree to follow the terms set forth in the preparation, submission, and administration of this application.

Principle Investigator: _____ Date: _____

Once this form is received, OSPRA will create an application package in Cayuse 424, USI's grant proposal development software. PI's will receive notification that they have access to the application package and may begin uploading documents into Cayuse 424. For more information on this process and using Cayuse, visit our website at usi.edu/ospra or contact your grant administrator:

Grant Administrator for:

- Academic Affairs
- College of Business
- College of Liberal Arts
- Outreach and Engagement

Grant Administrator for:

- College of Nursing and Health Professions
- Pott College of Science, Engineering, and Education
- Student Affairs

Rebecca Deeg: rdeeg@usi.edu, 228-5149

Emily Lynn: eslynn@usi.edu, 465-1126

Appendix D

External Grant Proposal Review Cycle Policy

External Grant Proposal Review and Submission Policy

Office of Sponsored Projects and Research Administration (OSPRA) & the Controller's Office

The Office of Sponsored Projects and Research Administration (OSPRA) and the Controller's Office are available to provide expertise and assistance to prepare competitive proposals for faculty and staff. The administrative review cycle is a critical portion of the submission process. The following parameters have been put into place to ensure that quality proposals are submitted.

All individuals who are planning to apply for an external grant of **any size** are required to notify the Office of Sponsored Projects and Research Administration (OSPRA) a **minimum of 15 business days prior to the submission date**. It is preferred that OSPRA is notified as soon as a decision is made to pursue a grant opportunity so that the office can provide guidance. Pre-Notice form is attached and also available at www.usi.edu/ospra.

Final draft version of the proposal and final budget (in the funding agency form/format) must be submitted **8 business days** before the submission date for proper review and vetting by OSPRA and the Controller's Office. Any proposal that does not meet the eight business day deadline will require the PI to submit a petition to the Provost to begin the review cycle. Exceptions will be rare and require that the proposal have very minor or no revisions, and meet all University, State, and Federal compliance regulations. OSPRA will determine if an expedited review and submission is possible.

It is expected that the 'final draft version' of the narrative has been thoroughly read and edited before it is submitted for the review cycle. Grant proposals (narratives and budgets) that have significant typos, misspellings, missing information, or clearly do not meet the guidelines of the grant application will be returned to the PI for revisions before it will be entered into the review cycle. **The OSPRA staff is here to help faculty and staff with proposal development including budgets, and is more than willing to review and provide feedback on early drafts of the narrative and budget if provided in advance of the eight day grant proposal review cycle period.**

Note: Once the review cycle begins, the PI may make minor revisions (formatting, minor rewording, etc.) to the proposal narrative, but should not make any significant changes to the project plan that would affect the budget once the proposal is forwarded to the Controller's Office (day 4 of the review cycle).

Eight Day External Grant Proposal Review Cycle Calendar

Day 1 & 2	Review of narrative and budget by OSPRA. Suggestions revisions to be returned to PI by end of day 2.
Day 3	Revisions by PI to be made. PI is to return revised narrative and/or budget to OSPRA.
Day 4	2 nd review by OSPRA. If proposal is acceptable it will be then forwarded to Controller's Office.
Day 5 & 6	Review of narrative and budget by Controller's Office. Suggestions revisions to be returned to OSPRA.
Day 7	Controller's Office revisions to be made by PI and OSPRA
Day 8	Provost approval of grant proposal Submission of grant proposal

Appendix E

Effort Certification Policy and Report example

Effort Certification at the University of Southern Indiana

Statement

The University will maintain an effort reporting system and obtain effort certification from employees in compliance with federal regulations. The certified effort reports assure sponsors that funds are properly expended for the salaries and wages of employees working on sponsored projects.

Reason for Effort Certification

Effort is defined as the amount of time spent on a particular activity. It includes the time spent working on a sponsored project in which salary is directly charged or contributed (cost-shared effort). Individual effort is expressed as a percentage of the total amount of time spent on work-related activities (instruction, research, administration, etc.) for which the University compensates an individual. The effort certification must account for 100% of all effort for which the University regularly compensates the individual during the certification period. Regular compensation excludes activity for overloads and supplemental compensation, such as consulting or external appointments. University compensated effort must be reasonable, allowable and allocable to the sponsored project in order to be properly charged and certified to the sponsored project. (See the compensation guidelines in the University Handbook for more information.)

Effort Certification Reports

The effort report (see FEC Form) will show the total payroll distribution for each employee in terms of salary and percentage. The top portion of the report will show the actual payroll distribution, separating sponsored project activity from non-sponsored project activity. The bottom section of the report will show the actual effort amounts. The employee and the employee's direct supervisor will be responsible for tracking the employee's effort for each activity and for completing this section of the report. If the actual effort differs from the pledged or committed effort for the report period, the employee should adjust the effort amount and percentage on the report. The employee and the employee's direct supervisor will be accountable for all reported effort.

Distribution of the Effort Certification Reports

USI will report effort on a quarterly basis for all faculty and administrative staff who contribute effort (including cost-share) to a sponsored project activity. The Grant Accountant will distribute the report to each employee at the end of the quarter. The report will be due back to the Grant Accountant 30 days after the end of the quarter.

<u>Quarter</u>	<u>Due Date</u>
July 1- September 30	October 31
October 1 – December 31	January 31
January 1 – March 30	April 30
April 1- June 30	July 31

Calculation of the Effort Percentage

The effort certification report accounts for 100% of all effort for which the University compensates the individual during the certification period. Even where the number of hours of effort the individual expends each week substantially exceeds the "normal" workweek of 35 or 40 hours, effort percentages must be based on total effort, not hours.

Certifying to the Effort Percentage

The certification reports are reviewed by the employee, principal investigator, or responsible official to confirm that all activities (sponsored and non-sponsored) are reported correctly and that the distribution of effort shown on the certification report reflects a reasonable estimate of the percentage of total effort that was spent on each activity. Signing the report confirms that effort, as certified, reasonably represents the effort expended during the period. The report must be completed and returned within the defined deadline.

Who Should Sign the Effort Certification Report?

Circular A-21 requires that the effort be certified at least every six months and that the certification be performed by an individual who has first-hand knowledge of all of the employee's activities or by an individual with suitable means to verify the activities.

Below is a summary of who should sign the report:

-If the report is for a faculty member who is the Project Director, the report should be signed by the faculty member and the Department Chair. -If the report is for a faculty member who is not the Project Director, the report should be signed by the faculty member and the Project Director.

-If the report is for an administrative staff member who is the Project Director, the report should be signed by the staff member and the Department Chair (or direct supervisor for nonacademic departments).

-If the report is for an administrative staff member who is not the Project Director, the report should be signed by the staff member and the Project Director.

Corrections to the Effort Certification Report

It is ultimately the employee's responsibility to track and monitor effort towards all activities. The Grant Accountant and Sponsored Research administrators will help to resolve any effort reporting issues.

Cost Sharing

Cost sharing describes the portion of the cost of a sponsored project that is borne by the University rather than by the external sponsor. The effort not paid for by the sponsor should be reported as cost sharing and should appear on the effort certification report in the "Cost Share" column.

Any commitment of effort referenced in the project proposal or the award document should be reviewed for accuracy as part of the review of the overall effort identified in the certification report.

Procedural Review and Monitoring

Periodically, the Grant Accountant will review the effort reports as well as the reporting process. The reviews will focus on the level of effort proposed, effort charged, and actual effort worked. The review will also verify that the correct personnel are certifying the reports. Any questions regarding this policy should be directed to the Grant Accountant.

Related Information

For additional information and procedures regarding effort certification, see the Faculty Effort Certification (FEC) Form and instructional materials.

OMB Circular A-21: http://www.whitehouse.gov/omb/circulars_a021_2004

**University of Southern Indiana
Effort Certification Form**

Certification of the following payroll periods of performance:

Payroll MO, AO, or SM = work performed from mm/dd/yy to mm/dd/yy

Payroll BW = work performed from mm/dd/yy to mm/dd/yy

Payroll ST = work performed from mm/dd/yy to mm/dd/yy

Please return the completed form to:

USI Business Office, OC 027

Return by:

mm/dd/yy

ID	Name	Position	Payroll	Fund	Fund Title	Orgn	Orgn Title	Percent
000000000	Doe, Jane	123456	MO	10001	General Fund	01xxx	Department	50.0
000000000	Doe, Jane	234567	MO	2xxxx	Grant A	01xxx	Department	25.0
000000000	Doe, Jane	345678	MO	2yyyy	Grant B	01xxx	Department	25.0
	Doe, Jane Total							100.0

I certify that the percentages for earnings and benefits as stated above are an accurate distribution of effort expended during the period covered by this report, except as noted.

Signature _____ Date _____