Kempner Common Proposal Elements & Grant Training Resources

Common Proposal Elements

When developing a proposal, there are several common elements that are requested from Sponsors. They may have different requirements but share the same overall objective.

The following documents must be uploaded (at a minimum) for the proposal review to begin:
- Budget: if the grant application does not have a budget template, you can use the budget and budget justification templates located on the [OSP webpage](#).
- Budget Justification: OSP has a NIH [budget justification template](#) that can be used or HSPH has a detailed checklist for budget justifications.
- Statement of Work/Proposal: draft for Kempner view is acceptable, final is required for OSP.
- Sponsor Guidelines
- All administrative and programmatic elements as required by the sponsor
- Any other forms/documents such as representations and certification that are required by the sponsor and require institutional signature

Budgets should be designed to help advance the specific aims outlined in your proposal and closely follow the application instructions. Most grants have very specific guidelines about what can and can't be included in the award. We will help you put together your budget.

Common Budget Elements

Direct Cost (DC) - may include, but is not limited to, salaries, travel, equipment, and supplies directly supporting or benefiting the grant-supported project or activity.
- An expense can be identified specifically with a particular sponsored project or other activity with a high degree of accuracy.
- You can find the Sponsored Expenditures Guidance can be found at: https://osp.finance.harvard.edu/sponsored-expenditures-guidelines.

- **Personnel –** there are different categories of personnel: Key Personnel and Other Personnel.
  - Key personnel are individuals who contribute in a substantive way to scientific development or execution of a project, regardless of whether or not they receive compensation from the grant supporting the project.
  - Key Personnel can include Program Directors, Principal Investigators, Co-Investigators, Mentors, etc.
  - Other Personnel can fall under the roles of Post-docs, Research Assistants, Graduate Students, etc.

- When listing out personnel in the budget it is important to include:
  - Name
  - Project role
  - Number of calendar months or percent effort per year
  - Base Salary
  - Total salary requested
  - Cost of living increases

- If NIH or NSF proposal - be aware of the NIH salary cap and the NSF two month salary limitation (section 2.C.2.g)

- **Fringe** - This is the rate that Harvard pays for the benefits (including vacation time) of people on the grant. It is a percentage of salary and can be significant (>20-40%). If you are listing salary, fringe must be included and cannot be reduced. This is considered a direct cost. You can find Harvard's fringe rates at: https://osp.finance.harvard.edu/fringe-benefits-rates

- **Materials and Supplies** – Supplies are items priced under $5,000 that are directly related to the project. Items, such as lab supplies, purchased specifically for one or more research projects may be charged as direct expenses when included in the approved budget. If the use of the items is shared among projects or labs, an allocation methodology should be created, documented, and periodically reviewed as described in the Harvard's Sponsored Cost Allocation Methodology Guidance.

- **Equipment** – The University defines equipment as items that cost at least $5,000. These items should be included as equipment in the budget and excluded when assessing indirect costs from [MTDC]. You can find the capital equipment policy at: https://osp.finance.harvard.edu/capital-equipment-policy.
  - List each piece of equipment individually
  - Describe the equipment and the application to the project
  - Provide prices and vendor quotes for each piece of equipment
  - If equipment is to be fabricated, itemize the individual component parts and labor costs, explain the basis for calculations, and file supporting documentation

- **Subagreement/Subrecipient -** Subrecipient (also called a subcontractor or subawardee) is an organization eligible to receive a financial award for performing a substantive portion of the work in the proposal, as opposed to providing goods and services. A subagreement is issued to the subrecipient to conduct their portion of the proposed work. A subagreement is an enforceable agreement. The University has specific documents needed to complete risk assessments for new subrecipients and we are responsible for collecting all documentation from subrecipients. You can find more information on including a subrecipient on proposal submissions at: https://osp.finance.harvard.edu/including-subaward.

Indirect Cost: Sometimes referred to as facilities and administrative (F&A) costs or overhead, are costs that benefit many activities (e.g., building operations and maintenance, IT expenses, security, administrative personnel such as grant managers, etc.) and as such cannot be easily identified with a particular sponsored project.

- If the grant is federally funded, we would use the negotiated unless otherwise noted by the funding announcement.
- For non-federal awards, we would unless the funding announcement guides the rate.
- In some rare cases, the indirect cost rate may require additional research and/or negotiation.
- We will help you identify the appropriate IDC rate.
- You can read more about Indirect Cost policy at: [Policy for the Application of Indirect Costs to Sponsored Awards](#).
- You can review current rates at: https://osp.finance.harvard.edu/fa-and-fringe-benefits-rates

Harvard Office of Sponsored Programs

You can find more resources on the [OSP Website](#). This site includes policies and guidance that apply to all areas of the lifecycle of sponsored awards. For updates and an in-depth look at new policies, follow the OSP Blog.

Examples of some relevant policies and guidance that you should become familiar with as you consider proper stewardship of sponsored funding at Harvard include:

- [Cost Sharing Policy](#)
- [OSP webpage](#)
- [Budget Justification Template](#)
- [Harvard Fringe Rate](#)
- [Capital Equipment Policy](#)
- [Effort Reporting Policy](#)
- [Federal Work Study on Sponsored Awards Policy](#)
- [International Collaborations and Activities](#)
- [Participant Support Cost Guidance](#)
- [Sponsored Cost Allocation Methodology Guidance](#)
- [Policy for the Application of Indirect Costs to Sponsored Awards](#)
- [Sponsored Expenditures Guidance](#)
- [Sponsored Travel Guidance](#) - to be reviewed alongside Financial Policy Office's Travel Policy
- [Open Science Policy](#)
- [IRB Submission Policies](#)
- [Data Security Policy](#)
- [Stipends on Sponsored Awards](#)
- [Subrecipient vs. Contractor Guidance](#)
- [Research Data Management](#)

- [Negotiation and Signing Authority for Agreements Related to Research](#)

Additional Training and Resources:
- **[Harvard Research Data Security Training Course (HTP, 45 minutes)](#)** The course provides researchers and administrators with an overview of processes and procedures related to managing research data in compliance with the Harvard Research Data Security Policy and other related University policies. It focuses on human subjects and sensitive or confidential data, as well as data that is subject to contractual requirements.
- **[Proposal Development & Submission (HTP, 30 minutes)](#)** This course will introduce key components in the pre-award process, such as proposal development, review, and submission.
- **[Cost Principles & Direct Costs (HTP, 30 minutes)](#)** In this course, you will learn about the types of costs that may occur on sponsored projects, and the principles in the OMB Uniform Guidance that govern these costs on federal awards.
- **[Compliance Fundamentals (HTP, 30 minutes)](#)** This course defines compliance, reviews how we achieve compliance, and outlines the potential consequences of non-compliance.
- **[Budgets and Budget Justifications (HTP, 30 minutes)](#)** This course will review the processes involved in budgeting for both federal and non-federal sponsors, including the creation and evaluation of strong budget justifications.
- **[Navigating Proposal Elements and Sponsor Systems (HTP, 30 minutes)](#)** This course will provide research administrators with a comprehensive overview of the proposal preparation process, including understanding sponsor guidelines, the importance of checklists, and navigating sponsor systems effectively.
- **[Proposal Approvals, Review, and Submission (HTP, 30 minutes)](#)** This course will offer research administrators a comprehensive overview of the proposal approval, review, and submission process, covering key elements of proposal review and providing proposal submission examples.
- **[Sponsored Cost Allocation Methodology (HTP, 40 minutes)](#)** This self-paced course will provide participants with an overview of Harvard's Sponsored Cost Allocation Methodology Guidance.