

Budget Workbook Instructions for Proof of Concept Proposals

FY2012-2013

(1) Fill out forms.

Provide requested information (indicated in yellow) on each form worksheet. Skip subcontract worksheet if not applicable. Use whole numbers only. Please round to the nearest dollar and do not use cents.

1. Definitions and Guidelines provides definitions and guidelines for basic budget terms.
2. Budget Summary (required for all proposals)
3. Subcontract (required only if applicable. See special instructions in worksheet 1)

(2) Check Budget

Check budget forms carefully for errors prior to submitting your proposal.

(3) Convert worksheets to PDF.

Convert completed worksheets to PDF using the print to PDF function or a PDF generator like Adobe Acrobat. Save to local machine. Review forms carefully, after conversion, to make sure all numbers are readable. For help with PDF conversion, contact proposalCENTRAL.

(4) Upload forms (and workbook) to Proposal Central.

Once forms have been converted to PDF, upload PDF forms and the completed excel workbook to proposalCENTRAL, using the appropriate attachment type. See proposalCENTRAL for help with uploading attachments to the proposal.

ucdgbudget

2012-2013 Budget Definitions and Guidelines for Proof of Concept (POC) Grants

Budget Details. Provide details on project expenditures. If subcontracts are proposed (see guidelines below), provide total amount of subcontracts on this form and fill out a separate Subcontract Details form for each subcontract. Be sure expenditures are well justified in the Budget Justification.

Allowable Expenditures. All expenditures must be directly related and essential to the proposed research. Other expenditures, including departmental charges, are not considered acceptable expenses. Personnel included should be those essential for performance of the proposed research plan.

Funds may **not** be used for the purchase of laptops, to attend conferences, for travel (except when it directly supports project completion), for publications, to cover costs of securing or protecting IP or for tuition and fees. Personnel employed by Industry or a for profit entity are ineligible for salary support under the proposal.

Personnel. List all personnel, except consultants, who will be supported by the proposed budget for each year of the project. This list should include all participants requesting salary support listed on the Participants form. List each participant's name, role on the project, and amount of salary and benefits requested. Graduate Student stipends should also appear here (tuition and fees are not eligible expenses). Describe each participant's specific functions in the Budget Justification. If a participant will have a role on the project but does not want to charge any salary to the budget, do not request salary or benefits and please explain in the Budget Justification. Note: Personnel employed by Industry or a for profit entity are ineligible for salary support under the proposal.

Role on the Project. Roles are Main Investigator, co-investigator, collaborator, research support staff, or administrative support staff. Consultant costs are listed separately (see below). Only participants that are directly involved in the research project are appropriate for inclusion in the proposal budget.

Salary and Benefits. Enter the salary and benefits requested. Benefits may be requested in accordance with institutional guidelines for each position.

Supplies. Enter expected costs for supplies. In the Budget Justification, itemize purchased supplies in separate categories, such as glassware, chemicals, radioisotopes, etc. Categories in amounts less than \$1,000 do not have to be itemized. If animals are to be purchased, state the species and the number to be used.

Equipment. Enter expected equipment costs. In the Budget Justification, list separately each item of equipment by description [make, model, and status (i.e., new or used)] and by estimated cost (including tax), and justify each purchase. Equipment requested should be described in sufficient detail to allow comparison of its capabilities with the needs of the proposed activities. Proposals should also describe comparable equipment already at the proposed facility and explain why it cannot be used. Allowable items will ordinarily be limited to research equipment and apparatus not already available for the conduct of the work. All equipment requests must be justified by the research plan. Standard UC policies on valuing equipment apply.

Travel. Any proposed travel must directly support project completion.

Other. Enter other expected costs. In the Budget Justification, itemize any other costs by category and unit cost, and provide adequate justification.

Subcontracts. Enter total expected subcontract costs. If subcontracts are to be used, please complete the Subcontract Details form in the workbook.

Subcontracts for non-UC research efforts and associated costs must be justified in the Budget Justification. It is expected that non-UC subcontracts will be limited to those essential services that are not available at the university and that the costs will not constitute a significant portion of the proposal budget (generally 10-15% of direct costs or less). If a for-profit entity/company is the only reasonable resource for fabrication or a test, costs associated with the test or fabrication may be subcontracted and justified in the budget justification.

Consultants. Consultants should be listed in the Participants form, regardless of whether or not consultant costs are supported by the proposal budget. Enter expected consultant costs. Describe the services to be performed in the Budget Justification. Include the number of days of anticipated consultation, the expected rate of compensation travel, per diem, and other related costs. Payment of a consultant's services, exclusive of expenses, may not exceed the consultant's normal rate or the daily maximum rate established by the University, whichever is less. All consultant costs must be carefully justified in the Budget Justification. It is expected that consultant services will be limited to those essential services that are unavailable at the University, and that the costs will not constitute a significant portion of the proposal budget (generally 10% of direct costs or less). Consultants must also be listed on the Key Personnel online data form.

Indirect Costs. A cap of no more than 25% is allowable on POC grant awards. The cost base for the indirect allocation will consist of: salaries and wages, fringe benefits, materials and supplies, services, travel, and subgrants and subcontracts up to the first \$25,000 of the initial award period (excluding renewals or extensions). This base is called the Modified Total Direct Costs, or MTDC base. Equipment or other capital expenditures, charges for patient care and tuition remission, rental costs of space, scholarships and fellowships, as well as the portion of each subgrant and subcontract in excess of the first \$25,000 are excluded from the MTDC base. Note that the applicable components of the MTDC base are listed in the Rate Agreement for each campus, and should be followed in allocating indirect costs on all awards. Any questions about interpretation of the MTDC base can be directed to the RGPO Contracts and Grants.

Use whole numbers only. Round to the nearest dollar and do not use cents.

Principal Investigator:

2012-2013 Budget Details - POC

Provide details on project budget (requested information is indicated in yellow). If sub-contracts are used, provide total amount of subcontracts on this form (in indicated fields), and fill out a separate Subcontract Details form worksheet 3). Be sure expenditures are well-justified in the Budget Justification and use whole numbers only. Round to the nearest dollar and do not use cents.

Main Campus: <Enter Main Campus Name>

Main Campus Personnel		Total
Name	Role on Project	Salary + Benefits
A. Total Salary + Benefits (main campus):		\$0
Non-Personnel (Cash only)		Total
Supplies		
Equipment		
Travel		
Other		
Subcontracts and consultants (Total from subcontract sheet)		
B. Total Non-Personnel:		\$0
C. Total Direct Cost (A+B):		\$0
D. Total Indirect Cost*		\$
E. Total Cost (Direct + Indirect):		\$0

Principal Investigator:

2012-2013 Subcontract Details (POC, if applicable)

Provide details on subcontracted expenditures or consultants on this form (**requested information is indicated in yellow**). Be sure expenditures are well-justified in the Budget Justification and use whole numbers only. Round to the nearest dollar and do not use cents.

Subcontract or Consultant Location: <Enter name of subcontracted campus or organization>

Subcontract Personnel (this should match the participants form)		Total
Name	Role on Project	Salary + Benefits
A. Total Salary + Benefits (Subcontract):		\$0
Non-Personnel (Subcontract)		Total
Supplies		
Travel		
Other		
B. Total Non-Personnel - Subcontract:		\$0
D. Total Direct Cost - Subcontract (A + B):		\$0
D. Total Indirect Cost:		\$
D. Total Cost (Direct + Indirect):		\$0