

**APPENDIX**

**PROPOSAL REQUIREMENTS CHECKLIST**

<b>Description</b>	<b>New</b>	<b>3rd Year Continuation</b>
<b>Letter of Intent</b>	Strongly encouraged.	
<b>Cover Sheet</b>	Required; submit one cover sheet w/original signatures for each participating institution, including subcontractors.	Required; submit one cover sheet w/original signatures for each participating institution, including subcontractors.
<b>Summary Sheet</b>	Required	Required.
<b>Budget Summary</b>	Required. A budget summary is required for each year of requested funding for each participating institution, including subcontractors. Must contain individual summaries for each year.	Required. Only the third year budget for each participating institution, including subcontractors.
<b>Budget Explanations</b>	Required. Explanation sheet(s) covering all line items in the budget summary sheets must be appended for each participating institution/yr.	Required. Explanation sheet(s) covering all line items in the 3rd year budget summary sheets must be appended for each participating institution/yr.
<b>Text</b>	Required. May not exceed ten single space pages; see Section 5.2 item.4.A.	Required. Use a progress report format, 3-8 pages. See Section 5.2.item 4.B.
<b>Biographical Information</b>	Required.	
<b>Other Support</b>	Required.	

## LETTER OF INTENT

Provisional title of project:

Principal investigator:

Address/Phone/Fax/E-mail:

Co-investigator(s):

Short paragraph-describing proposal:

Which Regional Center goal does this proposal address?

The listing of three potential reviewers (with no conflicts of interest) is crucial to your proposal being considered for funding.

Name/Institution:  Phone Fax: Email: Street Address: City, State, Zip:	Area of expertise
Name/Institution:  Phone Fax: Email: Street Address: City, State, Zip:	Area of expertise
Name/Institution:  Phone Fax: Email: Street Address: City, State, Zip:	Area of expertise

RETURN BY **16 July 2004**  
TO THE APPROPRIATE REGIONAL CENTER

**COVER SHEET**

NATIONAL INSTITUTE FOR GLOBAL ENVIRONMENTAL CHANGE

Project title:

Year of Project: \_\_\_\_\_ of \_\_\_\_\_

REQUESTED FUNDING for FY 2005-6 ONLY:

If this is a continuation proposal, list previous funding amounts - this project only

FY : 2004-05

FY : 2003-04

Principal investigator/Co-investigator

Name/Institution:

Phone:

Fax:

Email:

Street Address (overnight mailings):

City, State, Zip

Principal investigator/Co-investigator

Name/Institution:

Phone:

Fax:

Email:

Street Address:

City, State, Zip

Signatures:

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P.I.

Date

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Institution's Certified Representative

Date

Institution administering project:

Address/Phone/Fax/Email:

Institution's Congressional District #:

Congressional Representative Name:

Address:

Project Location: (if different):

Project's Congressional District #:

Congressional Representative Name:

## PROJECT SUMMARY SHEET

Title of proposal:

P.I./institution:

Co-P.I.(s)/institution(s):

Total FY 2005-06 requested: \$ (equipment \$ travel \$ )

**Summarize in two to four sentences what activities will be (are being) carried out in the project** [Example: Sixteen open-top chambers (fitted with capabilities for simultaneous control of air temperature, O<sub>3</sub>, and CO<sub>2</sub>) will be installed in a native grassland in central Texas. Treatments will include all combinations of ambient or elevated (ambient +4°C) temperature, ambient or elevated (double ambient) CO<sub>2</sub> concentration, and ambient or elevated (1.5 times ambient) O<sub>3</sub> concentration, each replicated twice. Annual aboveground productivity of C<sub>3</sub> grasses, C<sub>4</sub> grasses, and forbs will be quantified, as will changes in species composition (i.e., fraction of total aboveground productivity accounted for by each species) in each chamber.]

**Project Abstract (300 words or less).** Include the hypothesis to be tested or the question to be answered; the importance of the hypothesis or question; the expected long-term accomplishments of the project; and for continuation projects, the present year's accomplishments.

**Summary (200 words or less), in "layman's terms," of what will be (is being) done and why.** This information will be provided to the public. This summary statement is mandatory for the proposal to be funded.

**How will the project contribute to one or more of the critical questions relevant to society, to the Regional Center's strategic vision and goals, and to the global change community?**

**For third-year continuation proposals, what are the "next-step" strategic questions to be addressed?** (What are you going to do next year, based on what you found this year?) This question is critical to the funding of the proposal and is taken to be an important item. If funded, this information will be provided to congressional representatives of the host institution.

**COMBINED BUDGET**  
 (All institutions involved.)  
 September 1, 2005 - August 31, 2006 (one year period)  
 Year \_\_\_\_ of \_\_\_\_

Proposals that are year 1 of a multi-year submission must include projected budgets for subsequent years. Category totals only are requested on this page. All budget items must be explained on an attached Budget Explanation page (see instructions on next page).

Institution(s):  
 PI:

Categories:

Request:

Senior Personnel & Title:	
(1) Faculty	
(2) Post Docs	
(3) Other Professionals (Technician, Programmer, etc.)	
(4) Graduate Students	
(5) Undergraduate Students	
(6) Secretarial/Clerical	
(7) Other	
A. Total Salaries and Wages (1-7)	
B. Total Benefits (if charged as direct costs)	
C. Total Salaries, Wages and Benefits (A+B)	
D. Tuition Remission	
E. Permanent Equipment	
F. Travel: (1) Domestic	
(2) Foreign	
G. Trainee/Participant Costs	
H. Other Direct Costs	
I. Subcontracts	
J. Total Direct Costs= (C+D+E+F+G+H+I)	
K. Indirect Costs	
L. TOTAL PROJECT COSTS= (J+K)	

INDIVIDUAL INSTITUTION/SUB-AWARD BUDGET

September 1, 2005 - August 31, 2006 (one year period)  
Year \_\_\_\_ of \_\_\_\_

Each participating PI/Institution submits this page. Proposals that are year 1 of a multi-year submission must include projected budgets for subsequent years. Category totals only are requested on this page. All budget items must be explained on an attached Budget Explanation page (see instructions on next page).

Institution:  
PI:

Categories:

Request:

Categories:	Request:
Senior Personnel & Title:	
(1) Faculty	
(2) Post Docs	
(3) Other Professionals (Technician, Programmer, etc.)	
(4) Graduate Students	
(5) Undergraduate Students	
(6) Secretarial/Clerical	
(7) Other	
A. Total Salaries and Wages (1-7)	
B. Total Benefits (if charged as direct costs)	
C. Total Salaries, Wages and Benefits (A+B)	
D. Tuition Remission	
E. Permanent Equipment	
F. Travel: (1) Domestic	
(2) Foreign	
G. Trainee/Participant Costs	
H. Other Direct Costs	
I. Subcontracts	
J. Total Direct Costs= (C+D+E+F+G+H+I)	
K. Indirect Costs	
L. TOTAL PROJECT COSTS= (J+K)	

## **INSTRUCTIONS FOR COMPLETING BUDGET**

This budget incorporates the most recent changes (10/27/98) to OMB Circular A-21, Cost Principles for Educational Institutions.

### **EACH ITEM MUST BE JUSTIFIED ON A BUDGET EXPLANATION PAGE**

In order to be considered a complete application, the Budget Summary must have a Budget Explanation page that fully explains the budget items necessary to carry out the proposed work. The following items, if included, must be explained in the following detail:

#### **A. PERSONNEL:**

List names and titles of all personnel. Include their rate of pay, percent of time, and length of time on project. Show effort level (e.g., FTE or work-months), rate (monthly, annually, hourly), and total cost. Identify whether paid on academic, calendar, or summer months.

NOTE: academic-year salaries for principal investigators are normally not supported. Include a written narrative that fully justifies the need for all requested personnel. NOTE: per A-21, the salaries of administrative and clerical staff can rarely be charged as direct costs. (F.6.b.2.)

#### **B. BENEFITS:**

Include the current fringe benefit rate by personnel category and salary base to which it applies on budget explanation page. "Fringe benefits shall be treated in the same manner as the salaries and wages of the employees receiving the benefits. The benefits related to salaries and wages treated as direct costs shall also be treated as direct costs; the benefits related to salaries and wages treated as indirect costs shall be treated as indirect costs" (J.8.f. (4)).

#### **D. TUITION REMISSION:**

Tuition remission for students "are allowable provided that (1) there is a bona fide employer-employee relationship between the student and the institution for the work performed, and (2) the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of necessary work, and (3) it is the institution's practice to similarly compensate students in non-sponsored as well as sponsored activities" (J.41.a.). Indicate the number of students and the amount to be awarded. "Tuition remission may be charged on an average rate basis" (J.41.b.).

#### **E. PERMANENT EQUIPMENT:**

List each item, its cost and justify why it is needed for the project. Special purpose equipment is an item of tangible property that has a useful life of more than two years and an acquisition cost of \$1,000 or more. Allowable items will ordinarily be limited to scientific equipment and apparatus not already available for the conduct of work.

#### **F. TRAVEL:**

List each trip's destination, dates, estimated cost including transportation and subsistence, and person(s) traveling. The purpose of the trip and its relationship to the project must be clear. Principal Investigators should include funds for one trip per year to the Regional Center, in connection with a regional seminar. The purpose of the seminar is to foster interaction, collaboration, and synergism among projects. One trip per project per year may be budgeted for a professional meeting if the purpose is to disseminate the results of the project. Any travel for consultants should be included under this category.

Any requested foreign travel must be necessary to the research mission and receive approval from the National Office. Foreign travel is any travel outside Canada and the United States and its territories and possessions. If included, foreign travel must include details on the countries to be visited, probable dates, names of personnel who will travel, and detailed breakdown of costs.

#### **G. TRAINEE/PARTICIPANT COSTS:**

Educational projects that intend to support trainees (pre-college, college, graduate and post-graduate) must list each trainee cost: stipend levels and amounts, cost of tuition for each trainee, cost of any travel (in same detail as requested above for TRAVEL), and costs for any other training expense. Participant costs are those associated with

conferences, workshops, symposia or institutes. The breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings, and any related administrative expenses.

#### H. OTHER DIRECT COSTS:

Specify what these are and relate their need directly to the project. Under A-21, "...office supplies, postage, local telephone costs, and memberships shall normally be treated as F&A [indirect] costs" (F.6.b.3). However, telephone toll charges, specialized materials or supplies, and computer costs can be included as a direct cost if they can be linked directly to the project. The costs of preparing and publishing project results can be included.

#### I. SUBCONTRACTS:

Provide the name of the subcontractor, a description of the work to be performed, a budget, and a budget justification for each participating year. This refers to subcontractors who are not P.I.'s on the project. An example is a private laboratory that contracts for sample analyses. Include a letter from any subcontractor indicating concurrence with the scope of work and budget.

#### K. INDIRECT COSTS:

Specify current rate and base. Per A-21, "...equipment, capital expenditures... tuition remission, rental costs, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000 shall be excluded from modified total direct costs. Other items may only be excluded where necessary to avoid a serious inequity in the distribution of F&A [indirect] costs" (G.2.). If your budget diverges from this A-21 provision, please provide an institutional justification.