Grants & Contract Services: Statements for Proposals

Budget Information:

Related Files

» Budget Information for Proposals (MS Word - Updated February 2015)

» Budget Information for Proposals (PDF - Updated February 2015)

» Loan Agreement (Word file)

The following statement should be included in all WHOI proposals to external funding agencies.

The Woods Hole Oceanographic Institution (WHOI) is a non-profit [501c(3)] research and education organization subject to the cost principles of 2 CFR 200. WHOI Principal Investigators are responsible for conceiving, funding and carrying out their research programs. Many of them also constitute the educational faculty of the Institution. Senior Personnel are expected to raise 12 months of support for themselves and their staff by writing proposals and obtaining sponsored research grants and contracts from a variety of sources. Those who participate in WHOI's academic programs receive an average of only 2 months of Institution support per calendar year, and participation in teaching and advising is neither required nor universal. NSF has confirmed to WHOI that salary support beyond 2 months per year can be justifiable for these Principal Investigators.

WHOI calculates overhead rates (both Laboratory Costs and General & Administrative Costs) as a percent of total direct salaries and benefits, as allowed by 2 CFR 200. Direct salaries exclude overtime-premium pay. A proposed labor month is equal to 152 hours or 1824 hours annually versus 2080 hours (40 hours/week for 52 weeks). The difference is for vacations, holidays, sick time, and other paid absences, which are included in the Paid Absences calculation. WHOI cannot "waive" or reduce overhead rates on any sponsored research project due to the structure of our negotiated rate agreement with our cognizant government agency. When a program sets limits on overhead, WHOI must use Institution unrestricted funds to pay the unfunded portion of the overhead costs.

Graduate student stipends are included in the total direct salary costs. However, they are not included in the benefits base, and only 1/2 of the Laboratory Cost rate is applied to the stipend because it is estimated that the GRA occupies a laboratory only 1?2 of his/her time, and the balance is spent in education activities. Fifty-five percent (55%) of the GRAs' tuition is included as a direct cost in this budget. The Institution provides the balance from Institution endowment funds, including 100% of summer tuition.

The rates included in the proposal are negotiated with our cognizant government agency or they are estimates. When estimated rates are finalized, costs will be in accordance with the rate agreement.

Note: GRA paragraph is included only when there is a GRA in the budget of the proposal.

The Budget Information section should appear at the very top of a Budget Justification, especially for NSF.

This was last updated on 02/09/2015.

Foreign Contracts, Proposals and Agreements

Before submission to GCS all WHOI *proposals*, *contracts*, *agreements*, and *awards* with foreign agencies/vendors should stipulate that payment is in US dollars.

WORDING to include in the Budget Justification. "All payments will be in US dollars."

Remember: Foreign proposals should have a fee in the budget. *See Fee Policy on the Director of Research's website*

Corporate Sponsored Research Submissions

Submissions to Funding Agencies 'Foreign Entities' (18) and 'Non-Government Other' (16 - also known as 'Non-Government Contracts, POs, Subs (Non-Govt Prime)) require review by the Office of Technology Transfer before the Submission is routed to GCS.

The appropriate statement from the list below must be included in the Budget Justification. In addition, the internal abstract in WHOIgrants must have the same statement included at the bottom of the abstract.

Corporate Sponsored Research Budget Justification/WHOIgrants (internal) abstract. Select the statement that applies to the specific submission.

1. Any intellectual property arising from this research will be owned by WHOI and will be subject to a non-exclusive license from WHOI to sponsor.
2. Any intellectual property arising from this research will be owned by WHOI and will be subject to an exclusive license from WHOI to sponsor.
3. This project is work for hire without contractual provisions for intellectual property.

Loan Agreement

When you are preparing a proposal that is going to lend equipment to another organization and the PI expects to have that equipment returned (or replaced) at the end of the period of performance, a Loan Agreement should be included as part of the proposal. In addition,

part of the "letter" or proposal text should state that it is required that the Loan Agreement be signed by an Authorized Official of the organization (Borrower) and returned with the subaward or purchase order. The Word file includes in red an example of how the Agreement should be completed before inclusion in the proposal.

Justification for Fee in Proposal:

The following statement may be included in the Budget Justification or Budget Discussion for a proposal that includes a Fee.

The Woods Hole Oceanographic Institution is authorized to charge fees in accordance with existing government regulations. The Institution requests fees on both contracts and subcontracts. The fees are considered unrestricted funds and are utilized by the Institution Director and the Director of Research in the pursuit of science and engineering. These funds are used for cost sharing for instrumentation, for proof of concept research and development and a wide variety of other research related activities.

Last updated: February 11, 2015

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