



INTER-AMERICAN INSTITUTE FOR GLOBAL CHANGE RESEARCH

Module 9: Budget, Administration, Reporting

Módulo 9: Presupuesto, administración, informes



Full proposal budget form

Formularios de presupuesto para la propuesta

SGP-HW PROPOSED BUDGET AND TIMETABLE						
Project Title:						
Duration of research project (in months):		PLEASE, SEND THIS PAGE DULY SIGNED TOGETHER WITH THE COMMITMENT LETTER IN PDF FORMAT.				
BUDGET SUMMARY (based on the attached detailed budget forms completed in US dollars)						
Budget category	Year 1		Year 2		Total	
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered
1	Salaries for Investigators	-----		-----		-----
2	Salaries for Students / Scholarships					
3	Travel / Workshops					
4	Equipment					
5	Research Expenses / Materials & Supplies					
6	Communications					
7	Publication / Documentation / Dissemination					
8	Administrative Support / Office Supplies					
	Total in US dollars					
OFFICIAL REQUEST						
We hereby certify that this budget proposal, and all its accompanying detailed budget submission forms, correctly and fairly reflect the financial plan of the proposed activity, and more specifically the portion proposed for IAI support.						
Name of Principal Investigator:			Job title:		Signature:	
Name of Authorized Institutional Representative:			Job title:		Signature:	
Date:						



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [1] SALARIES FOR INVESTIGATORS (in US dollars)

IAI funding is not available to replace or supplement the pay of existing researchers who receive full time salary support. Under exceptional circumstances, modest support can be provided for investigators salaries. Requests for investigator salaries must be well justified in the budget. **ATTACH BUDGET NOTES AND EXPLANATIONS** (See General Guidelines)

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1	-----		-----		-----		Reference to page:
Institution 2	-----		-----		-----		Reference to page:
Institution 3	-----		-----		-----		Reference to page:
Institution 4	-----		-----		-----		Reference to page:
Institution ...	-----		-----		-----		Reference to page:
Institution ...	-----		-----		-----		Reference to page:
Institution ...	-----		-----		-----		Reference to page:
Totals for Salaries for Investigators							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [2] SALARIES FOR STUDENTS / SCHOLARSHIPS (in US dollars)

As a general policy, IAI encourages the capacity building activities in terms of participation of graduate and post-graduate students in the sponsored research activities. The cost of the direct participation of students in the research activity is authorized under the conditions explained in the General Guidelines. **ATTACH BUDGET NOTES AND EXPLANATIONS**

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Salaries for Students							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [3] TRAVEL / WORKSHOPS (in US dollars)

Local and international travel related to the proposed research activities will be authorized under the following conditions:

- travel funds are requested for field work, attendance to meetings and conferences, and other travel associated with the research activity;
- discounted / economy fares and by the most direct route are used; and
- the participation in meetings and conferences must be relevant to the project objectives. **ATTACH BUDGET NOTES AND EXPLANATIONS**

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Travel / Workshops							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [4] EQUIPMENT (in US dollars)

Includes equipment that has a useful life of more than 1 year and costs more than US\$1,500 per item according to the General Guidelines. **ATTACH BUDGET NOTES AND EXPLANATIONS**

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Equipment							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [5] RESEARCH EXPENSES / MATERIALS AND SUPPLIES (in US dollars)

This category includes all the necessary expendable materials directly related to the research activities. Costs related to purchase of equipment, equipment maintenance and office supplies cannot be included under this category (see General Guidelines). **ATTACH BUDGET NOTES AND EXPLANATIONS**

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Research Expenses							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [6] COMMUNICATIONS (in US dollars)

The IAI will authorize reasonable amounts charged as communications costs. Under this category, the following items will be recognized:

- international phone calls; and
- internet access (if the institution does not have this access through its local network).

(see General Guidelines) **ATTACH BUDGET NOTES AND EXPLANATIONS**

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Communications							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [7] PUBLICATION / DOCUMENTATION / DISSEMINATION COSTS (in US dollars)

This category includes the costs of documenting, preparing, publishing, disseminating and sharing research findings and supporting materials. Page charges for scientific journal publication can be authorized when they report research results from activities supported by the IAI and this support is explicitly acknowledged. **ATTACH BUDGET NOTES AND EXPLANATIONS**

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Publications							



Full proposal budget form

Formularios de presupuesto para la propuesta

Project Title:

DETAILS OF BUDGET SUBMISSION: [8] ADMINISTRATIVE SUPPORT / OFFICE SUPPLIES (in US dollars)

See General Guidelines. ATTACH BUDGET NOTES AND EXPLANATIONS

Items of expenditure	Year 1		Year 2		Total		Reference to Justification Page
	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	Requested To the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Totals for Administrative Support							



Budget conditions



Condiciones del presupuesto

- Los fondos del IAI **no están disponibles para reemplazar o complementar el pago de los investigadores** que reciben apoyo institucional. En circunstancias muy excepcionales, se puede proporcionar un apoyo modesto para los salarios de los investigadores.
- El IAI fomenta el desarrollo de la capacidad de **participación de estudiantes graduados y postgraduados** en las actividades de investigación patrocinadas. Ver condiciones especiales
- **Equipos y software**: hasta 10% del presupuesto total del proyecto
- IAI funding is **not available to replace or supplement the pay of researchers** who receive institutional support. Under very exceptional circumstances, modest support can be provided for investigators salaries.
- IAI encourages the capacity building of **participation by graduate and post-graduate students** in the sponsored research activities. See special conditions.
- **Equipment & software**: up to 10% of the total project budget



Budget conditions



Condiciones del presupuesto

- **No se admite overhead**, pero se pueden cobrar gastos administrativos detallados contables, hasta el 7% del presupuesto total del proyecto
- Los fondos del IAI solo se pueden administrar a través de **cuentas controladas institucionalmente**.
- **Cuba**: los fondos para actividades en Cuba, o para viajar desde y hacia Cuba, deben ser apoyados con recursos financieros provenientes de la cofinanciación y no del IAI.
- **No overhead allowed**, but accountable itemized administrative expenses may be charged, up to 7% of the total project budget
- IAI funds can only be managed through **institutionally controlled accounts**.
- **Cuba**: Funding for activities in Cuba, or for travel to and from Cuba, must be supported from financial resources from co-funding and not from the IAI.



Co-funding



Co-financiamiento

Recursos que son adicionales a la subvención del IAI y que son provistos por otros para apoyar la implementación de la propuesta y el logro de sus objetivos.

- Vinculado específicamente a la propuesta: socios comprometidos y sus roles, plan de trabajo y tipos de actividades, calendario.
- Esencial para llevar a cabo el trabajo
- Aportes documentados

Resources that are additional to the IAI grant and that are provided by others for supporting the implementation of the proposal and the achievement of its objectives.

- Linked to the specifics of the proposal: partners engaged and their roles, work plan and types of activities, timing.
- Essential to carry out the work
- Fully documented



Administrative roles



Roles administrativos



- **PI:** persona responsable por el desarrollo general del proyecto, incluyendo la dirección científica y técnica
- **Co-PI:** personas que trabajarán con el Investigador Principal (PI) en la implementación de los aspectos científicos y técnicos del proyecto. PI y Co-PIs reciben fondos a través de las instituciones beneficiarias y sub-beneficiarias.
- **Otros investigadores:** Investigadores senior, investigadores, investigadores colaboradores, etc
- **Actores asociados** podrán participar en la red del proyecto sin ser beneficiarios o sub-beneficiarios.
- **PI:** individual who will be primarily responsible for the overall development of the project, including the scientific and technical direction of the project
- **Co-PI:** individuals who will be working with the Principal Investigator (PI) in the implementation of the scientific and technical aspects of the project. PI and Co-PIs will receive funds through grantee and sub-grantee institutions.
- **Other researchers:** Senior researchers, researchers, collaborating researchers, etc.
- **Associated partners** may participate in the project's network without being grantees or sub-grantees.



Grant Administration



Administración del subsidio

El **Grant Agreement** es el “contrato” que regula el desarrollo del proyecto

- Grant agreement firmado por PI y representante institucional
- Sub-grant agreement vincula a PI e institución beneficiaria con co-PIs e instituciones sub-beneficiarias

The **Grant Agreement** is the "contract" that regulates the development of the project

- Grant agreement signed by PI and institutional representative
- Sub-grant agreement link PI and grantee institution with co-PIs and sub-grantees institutions





Grant Administration



Administración del subsidio

Marco de referencia:

National Science Foundation *Proposal & Award Policies and Procedures*

Background:

National Science Foundation *Proposal & Award Policies and Procedures*





Reporting



Informes

Informes técnicos anuales / final

- Plan de Monitoreo, Evaluación (y Aprendizaje)
- Informe integrado; no una recopilación de informes de co-PIs
- Informes de actividades, informes de resultados
- Quién hizo qué y cómo se vincula a los objetivos
- Atribución al proyecto IAI SGP-HW
- Reconocimiento de financiamiento

Informes financieros anuales/ final

- Institución beneficiaria reporta por el conjunto de instituciones involucradas
- Presentación de listas de transacciones, por rubros

Annual / Final Technical Reports

- Monitoring, Evaluation (and Learning) Plan
- Integrative report; not a collection of co-PI's reports
- Reporting activities, reporting results
- Who did what, and contribution to objectives
- Attribution to IAI SGP-HW project
- Acknowledgments of funder and donor

Annual / Final Financial Reports

- Grantee institution reports for the whole project
- Transaction lists required

Questions? Comments?

¿Preguntas? ¿Comentarios?

