Cross-Entity Proposals

NCAR and UCP have different indirect rates and different governance structures. As a result, if researchers from both NCAR and UCP are collaborating on a proposal to be submitted to an external sponsor, it is necessary that all researchers and their administrative staff establish clear communication before the proposal is created.

As a preliminary first step, both entities (NCAR and UCP are each an “entity”) will determine draft budget amounts, based on the expected work effort. If either the UCP or NCAR contribution is not significant (for example less than 10% of a single staff person's time or 10% of the cumulative time of all staff to be charged in a given fiscal year), a single proposal may be submitted with all activity bearing the lead entity’s overhead rate. The budget should include NCAR Computing Service Center (CSC) charges, if applicable.

If awarded, NCAR staff may charge to a UCP account key, and UCP staff may charge to an NCAR account key.

If the collaborating entity’s level of effort is more than 10% of a single person’s time or more than 10% of the cumulative salary time on the combined budget, a cross-entity proposal must be created in PandA.

Please note that this cross-entity structure involves additional approvals which need to be coordinated among all participants. To reduce stress, allow extra time for a cross-entity proposal to be reviewed and approved.

Once the participants have communicated and determined which entity will lead the Proposal, the Proposal Creator will select Cross-Entity Collaborative Proposal in field 1.6, “Select Proposal Structure.” This cannot be changed once the Proposal is submitted for feasibility review. The Proposal Creator will complete all required fields to create the Proposal.

In field 2.2, add Administrative Support Team members from each entity that will require “edit access” to this proposal.

In field 3.1, UCAR Team Member(s), add the lead PI for each entity involved in the project.

Now, administrative staff from each entity may access this Proposal and complete the activity “Create Project.” Once a Project is created, each entity will be able to “Create Budget” within the Project workspace.

Other cross-entity considerations:
1. Current and Pending forms - reference the total UCAR proposed $ amount so it matches the amount on the cover page. (Rather than one proposed $ amount on UCP prop, and another on NCAR prop).

2. Admin support on proposals and other indirect type costs shown as direct line items. NCAR and UCP budget very differently in terms of allowable direct cost line items. Many items that UCP budgets as a direct cost are included in NCAR's indirect rate. These costs need to be clearly justified and probably explanation provided that these costs are consistently treated as direct costs on the UCP side. If NCAR is the lead and sponsor knows NCAR is FFRDC and we typically do not budget for admin costs, etc., there could be a lot of questions raised about the inclusion of these costs.
3. Budget Justification-Budget justifications should have a UCAR Budget Justification heading at the top and then have subheadings for NCAR and UCP. This will enable UCP to justify their administrative costs and makes it clearer that there is a distinction between the entities.

4. Cross-Entity Proposal and Export: The owner of the proposal is responsible for the completion of any Export review required by the associated projects.

5. Similarly, if a Firm Fixed Price (FFP) form is required, the proposal lead will be responsible for the FFP form. However, all parties would have a discussion about how any overages would be covered and would likely collaborate on the form.

6. The Statement of Work for the Proposal should include major activities of both NCAR and UCP efforts.

7. The Statement of Work at the Project level should only include activities to be performed by the entity reflected in that Project (e.g., the UCP Project SOW discusses only aspects of the project to be addressed by UCP, while the NCAR Project SOW relates only to the NCAR portion of the effort.)

**NCAR-led cross-entity proposal where the UCP effort is significant (> 10%)**

The lead NCAR Lab will create a complex proposal as displayed below.
- The lead NCAR Lab and the collaborating UCP Program will have separate projects that roll up together into one Proposal.
- Scenario could be used if UCP effort is less than 10% if UCP Program determines it is preferable to manage their own budget.
- All Cross-Entity proposals involving SOARS will be handled this way.
UCP-led cross-entity proposal where the NCAR effort is significant (> 10%)

The lead UCP Program will create a complex proposal as displayed below.
- The lead UCP Program and the collaborating NCAR Division Lab will have separate projects that roll up together into one Proposal.
- Scenario could be used if NCAR effort is less than 10% if NCAR Lab determines it is preferable to manage their own budget.
UCP-led proposal with a $0 NCAR component

- This could happen if an NCAR employee is co-sponsoring time on a UCP proposal or UCP is using NCAR facilities at no cost, etc.
- The lead UCP Program will create a simple proposal and process as usual.
- NCAR will create a separate $0 proposal.
- For both proposals, on the SmartForm page 8, “Type of Application and Related Proposals,” the other proposal number will be referenced to relate the proposals.

> These proposals would be related through the “Related Proposals” SmartForm in Proposal section 8

NCAR-led proposal with a $0 UCP component

- This could happen if a UCP employee is collaborating at no cost on an NCAR proposal.
- Currently, UCP does not require any record of $0 proposals. UCP Programs should follow their Program’s internal approval process.
- The lead NCAR Lab will create a simple proposal and process as usual.

*The final Letter of Collaboration from the UCP Staff member will be uploaded to the NCAR Proposal package.