Introductions

Panel

Meghan MacBlane
Director of Grant Development, iSchool mtmacbla@syr.edu

Amy Dumas
Assistant Director, Falk Research Center adumas@syr.edu

Peg Austin
Associate Director, Budget and Administration, Center for Policy Research, Maxwell School mmaustin@syr.edu

Moderator

Christina Leigh Docteur
Director of Proposal Support Services, Office of Research cdocteur@syr.edu
Agenda

• Proposal basics:
  – items to include,
  – tools to build your budget
  – questions to ask
• Panel discussion
• Q & A
Proposal Basics: What is a Budget?

• Financial expression of your work plan (a.k.a. statement of work)
  — Personnel costs
  — Other than personnel costs

• Best estimate of financial resources needed to perform the work proposed

• Guiding Principles – costs must be:
  — Reasonable, allowable, allocable, and consistently treated

• Scope of the project and the project budget should be in line with the costs available under the funder’s program
Proposal Basics: Items to Include in a Research Budget

• The 3 T’s
  — Time (faculty, postdocs, students, staff); travel (where, when, how long); tuition (does your school include?);

• Equipment ($5,000k +)

• Materials and supplies (any “stuff” under $5k)

• Payments to or for other people
  — Trainees (stipends, subsistence), research participants (human subject costs), consultants, purchased services (like transcriptionists or translators), and don’t forget subcontractors

• Data and publication costs (put them in there!)

• Indirect costs (also known as overhead or facilities and administrative costs [F&A])
Proposal Basics: Item Limitations

• Read sponsor guidance for budget preparation
  – Check for unallowable costs
  – Some costs may be required (e.g.- PI meetings)
  – Some cost items may have limitations or thresholds (e.g.- effort limits for NSF, salary caps for NIH)
  – Some may be prohibited (administrative costs for federal proposals, indirect costs for many foundations)
• Note: budget terminology may differ among sponsors
Proposal Basics: Tools

- Office of Sponsored Programs – Budget Template
  - https://sponsoredprograms.syr.edu
    - Quicklinks > OSP Budget Template (FY21), or
    - Tools and Resources > Forms, Checklists & Templates > Campus R&R Budget Template
Proposal Basics: Tools – OSP Budget Template

- Walk through of [OSP budget template](#)
  - Sheet 1: Directions for completing budget template
  - Introduces some of the “alphabet soup” in the budget template:
    - GA – graduate assistant
    - F&A – facilities and administrative costs
    - MTDC – modified total direct costs
Tools – OSP Budget Template: Personnel

- Sheets 2-6: Personnel Yrs 1 – 5
  - Red = required
  - Blue = fill in if using
  - Gray = locked (self calculates)
- Don’t forget to scroll down for Additional Senior/Key Personnel, and % Effort Calculator
Tools – OSP Budget Template: Non-personnel

- Sheet 7: Non-personnel
- A.k.a. “everything else”, incl. editable lines for other
- Don’t forget to scroll down to set correct indirect cost rate (IDC) in the MTDC field, and to complete subcontract amounts
Tools – Non-SU Personnel Worksheet

- Available on the OSP Forms, Checklists & Templates page
- Should be completed prior to a non-SU individual engaging in any work or activity to be paid by *any SU funding source*
- Helpful to determine what category your potential collaborator falls in, and thus how to budget for them

<table>
<thead>
<tr>
<th>Account</th>
<th>Name</th>
<th>Activity</th>
<th>Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>561101</td>
<td>Consultants</td>
<td>Individual is performing services contributing to or participating in a University activity. For sponsored projects, this may include the direction of, or the substantive intellectual participation in a project or interpretation of project results.</td>
<td>Generally named in sponsored proposal, Collaborative effort to provide expertise, advice, and information as opposed to performance of daily duties, Not required to (although may) use SU resources/facilities</td>
</tr>
<tr>
<td>561102</td>
<td>Honoraria</td>
<td>Acknowledgement of individual’s contributions to an event or activity, e.g., Meeting (Provide advice) Convocation Speaking engagement Workshop leader</td>
<td>Lump sum payment, Expert in the field, One time or intermittent during budget period, May or may not be named in proposal, SU facilities use limited to auditorium or lecture hall</td>
</tr>
<tr>
<td>561103</td>
<td>Non-employee services</td>
<td>Purchased services or non-consultant and non honoraria activities: Provision of services to wide variety of customers Provision of services consistent with primary outside employment Classroom oversight, teachers Web development Graphic designers</td>
<td>Daily rate or lump sum payment, Activity may be named in proposal, Temporary, short-term participation</td>
</tr>
<tr>
<td>561109</td>
<td>Consultants - other</td>
<td>For applicable <em>other non-receipted</em> expenses associated with consultant agreement. Used in combination with 561101 or covered by consultant agreement.</td>
<td>Non-receipted expenses separately reimbursed and in agreement, Form 1099 Reportable</td>
</tr>
<tr>
<td>561104</td>
<td>Sponsored Subject</td>
<td>Individual involved in research/demonstration project as participant or subjects, e.g., Teachers Paid to receive training or professional development Common for NSF or Dept of Ed projects Human Participants Nominal compensation for time Also called informant fees</td>
<td>Category of participant named in proposal, Individuals not explicitly named in proposal, Confidentiality may be required, Fee may be linked to primary place of employment (e.g., union shop)</td>
</tr>
</tbody>
</table>

*For sponsored project charges to account 561101, please contact OSP for assistance in completing the Consultant Agreement. The Agreement should be executed prior to the initiation of work and consequently the submission of the Request for Payment of Professional Services Rendered by Non-Employees.*
Tools – Sponsor Budget Forms & Rate Websites

- Always best to start with the OSP Budget Template, as this needs to be completed for submission. However...
- Some funders require/provide detailed templates for the further breakdown of costs.
  - Example: Department of Energy detailed travel page
- Federal Per Diem (GSA)

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**Tools – Sponsor Budget Forms & Rate Websites**

**c. Travel**

**INSTRUCTIONS - PLEASE READ!!!**

1. Identify Foreign and Domestic Travel as separate items. Examples of Purpose of Travel are subrecipient site visits, DOE meetings, projectmgmt. meetings, etc. Examples of Basis for Estimating Costs are past trips, travel quotes, GSA rates, etc.
2. All listed travel must be necessary for performance of the Statement of Project Objectives.
3. Only travel that is directly associated with this award should be included as a direct travel cost to the award.
4. Federal travel regulations are contained within the applicable cost principles for all entity types.
5. Travel costs should remain consistent with travel costs incurred by an organization during normal business operations as a result of the organization's written travel policy. In absence of a written travel policy, organizations must follow the regulations prescribed by the General Services Administration.
7. The number of days is inclusive of day of departure and day of return.
8. Recipients should enter City and State (or City and Country for International travel) in the Depart from and Destination fields.
9. Each budget period is rounded to the nearest dollar.

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**Per Diem Rates**

Rates are set by fiscal year, effective October 1 each year. Find current rates in the continental United States (“CONUS Rates”) by searching below with city and state (or ZIP code), or by clicking on the map, or use the new Per Diem tool to calculate trip allowances.

**Search by City, State or ZIP**

**Per Diem Rates**

- FY 2021 Per Diem Highlights
- FAQ
- Per Diem Contacts
- Multi Breakdown
- Factors Influencing Lodging Rates
- Per Diem Boundaries
- Five Star Hotels
- Per Diem Look-up
- Per Diem Mobile App
- Per Diem Files
Tools – Your Research Administrators

• Don’t know your Research Administrator? Check the OSP “Contact Us” page to find out!
Tools – Your Local Sources

• Check first to see if your department, center or institute works on budget development

• Additional budget development support provided at college/school level for some schools and colleges:
  – iSchool (Meghan MacBlane mtmacbla@syr.edu)
  – Maxwell (Jill Ferguson jsfergus@maxwell.syr.edu)
  – Falk (Amy Dumas adumas@syr.edu)
  – A&S science departments (Melissa Whipps mjwhipps@syr.edu)
  – Humanities departments (Sarah Workman srworkma@syr.edu)
  – Dean’s office budget directors in Newhouse, VPA, School of Ed …

• Large, interdisciplinary proposal development support and schools and colleges with no departmental resources supported by Proposal Support Services (Chetna and Christina)
Proposal Basics: Questions to Ask

• Who is going to work on the project/activity?

• What will you do for the project/activity?
  − Which of those things will require paid time (salary, stipends, honoraria)
  − Will you need any equipment or supplies you don’t already have
  − Will you need to feed, house, transport, or reimburse anyone for anything

• Where will you have to go?

• Who will you need to work with outside of the institution?

• Is any cost sharing required?

• Are indirect costs allowed? If so, what is the appropriate rate to use

• Are any costs limited or prohibited by the sponsor?
Panel Discussion
Questions

• How and when do you use the OSP Budget Template? Budget first or narrative?
• What questions should faculty ask their departmental budget administrators?
• Who else do you consult or what other tools do you use when building a budget that we may not have mentioned?
• What do you look for first in a request for proposals (RFP) to help start the budget process?
• What are the most common mistakes you see when reviewing a budget (and which cause the biggest post-award headaches?)
• Other rules to follow?
Thank you

Christina Leigh Docteur
Director of Proposal Support Services, Office of Research
cdocteur@syr.edu