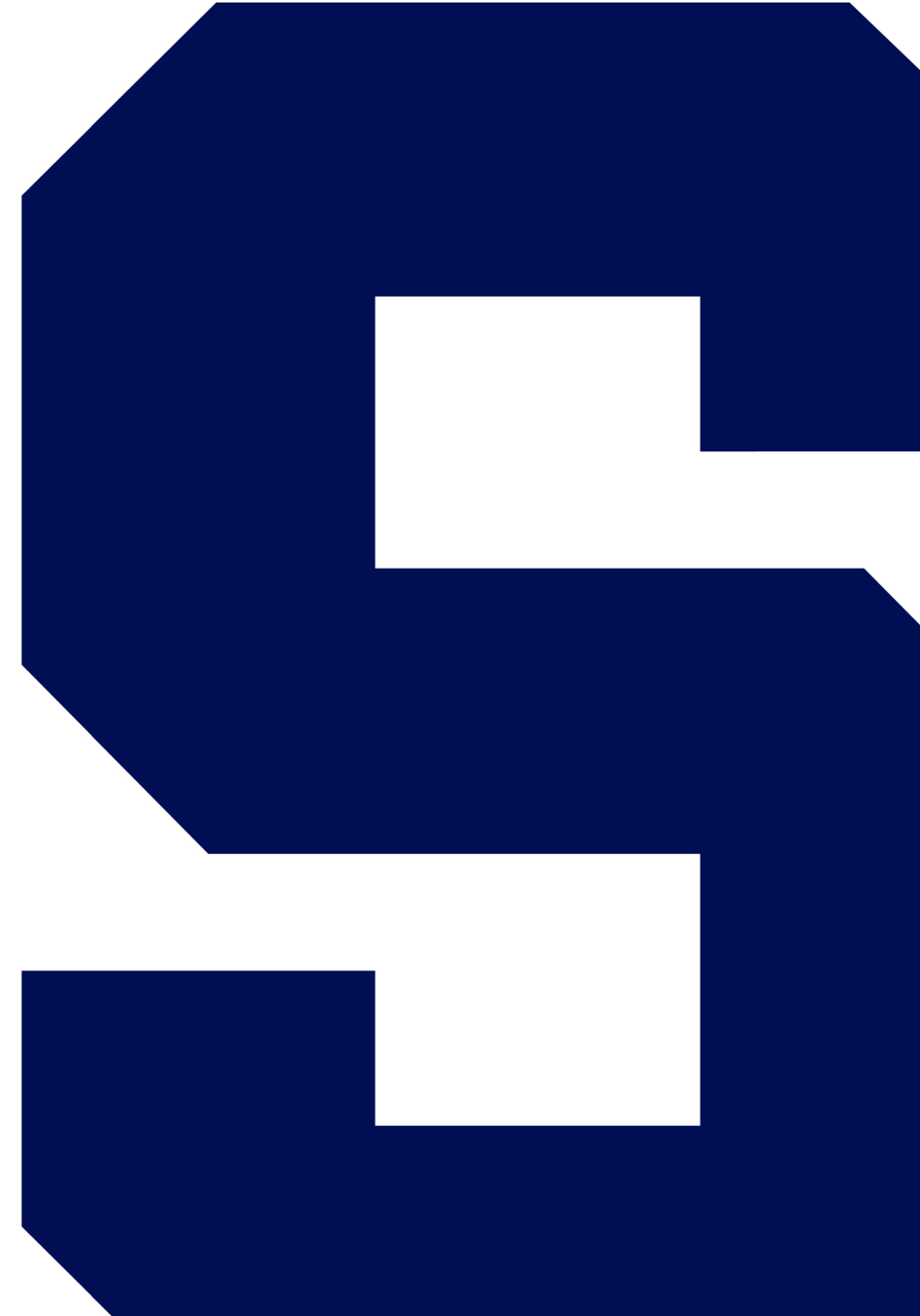




Building Strong Proposal Budgets: A Panel Discussion

Office of Research Awareness Series
Wednesday, April 28, 2021



Introductions

Panel

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Moderator

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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

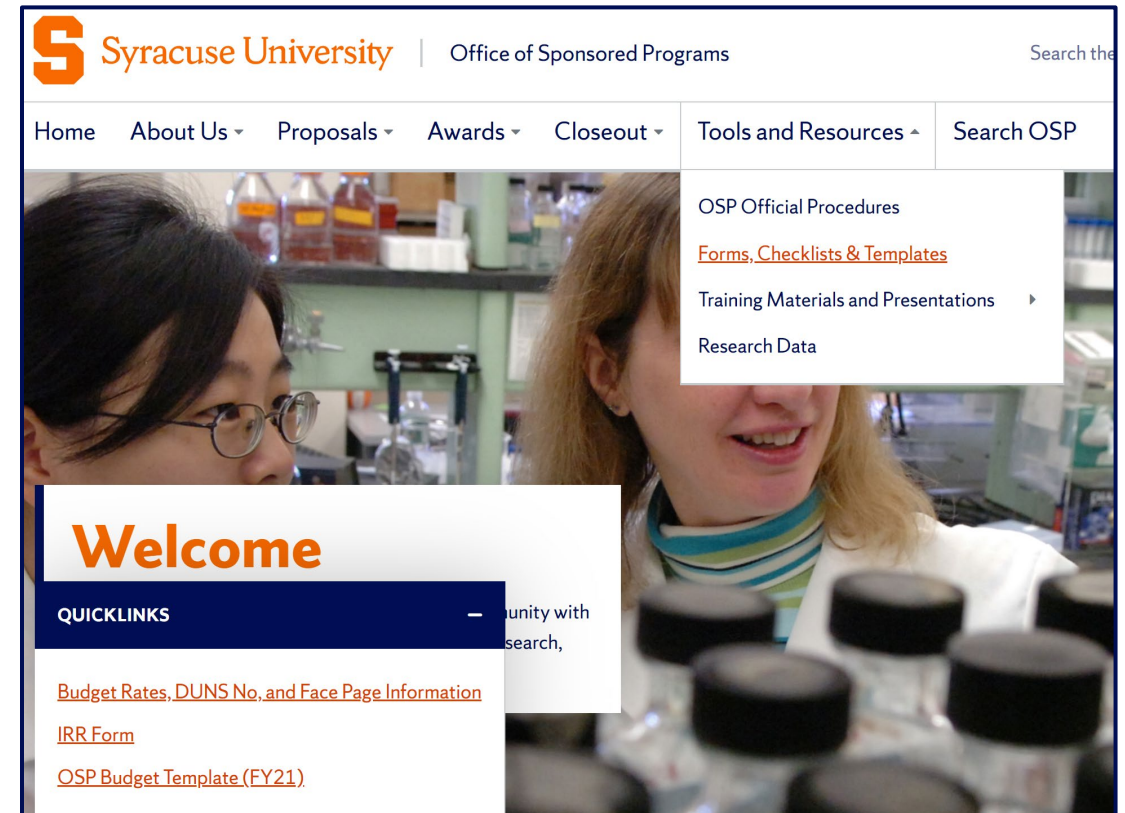
- The 3 T's
 - Time (faculty, postdocs, students, staff); travel (where, when, how long); tuition (does your school include?);
- Equipment (\$5,000k +)
- Materials and supplies (any “stuff” under \$5k)
- Payments to or for other people
 - Trainees (stipends, subsistence), research participants (human 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

Directions for Completing the OSP Campus R&R Budget Template - FY21					
Budget entry must begin on "Personnel Yr 1" tab and proceed accordingly.					
Last Updated: 2/9/2021					
Color key:					
Red shaded fields:	indicate required cells for data entry				
fields:	indicate locked cells that are non-editable.				
Blue shaded fields:	indicate cells that should be filled in for each participating personnel				
Personnel Year 1:					
1. Complete all of Section "A.", including "Start Date", "Project Duration" and "Sponsor Type". For preparing NIH budgets, you must select "Federal - NIH" in the drop down list under "Sponsor Type". This will enable warnings that activate when NIH caps are exceeded.					
2. Complete the red highlighted cells on "Personnel Yr 1" Tab (Mandatory Fields). Insert the annual salary for each person and then enter the months effort requested. The salary requested and fringe benefits will calculate automatically.					
3. For Graduate Assistants, the Sponsor types available for fringe benefit calculation in Cell H23 are "Federal-Other", "Federal-NIH" or "Fnd/Prof Soc". The default is "Federal-Other"; and selecting "Federal-NIH" will introduce warnings unique to NIH regarding GA salary compensation caps. The number of students must be entered in Cell B23.					
4. Enter Additional Senior Key Personnel (up to 15) on the bottom of the worksheet. The detail will not print, only the summary of the additional personnel in the Senior/Key Person section.					
Personnel Years 2 - 5:					
1. Personnel Data from Personnel Year 1 tab will be automatically entered in "Personnel Yr 2-5" in accordance with the project duration that is entered at the top of "Personnel Yr 1."					
2. Salary escalation for the out years has a preset default of 3%. Changes in the out year salaries that are not consistent with the preset escalation can be manually edited on the appropriate out year budget pages.					
Non-personnel:					
1. Complete the other project costs as needed.					
2. Subcontracts must be entered accordingly in section entitled "Subawards/Consortiums/Contractual Costs," located on Rows #70 through #88.					
3. The "F&A Type" field located in cells B57 through B61 are set with a default of "MTDC - Fed". This setting applies to all federal sponsors and removes the "Participant Support Costs" from the MTDC base in accordance with federal regulations. Should the circumstances permit, one of the other "F&A Type" selections may be used, depending on non-federal sponsor guidance for calculation.					
4. Facilities and Administrative (F&A) Cost contains a drop down box with selections for Syracuse University's currently negotiated F&A rates with Department of Health and Human Services. The default setting is for the current "Research - On Campus" rate.					
5. If the project contains a reduced F&A cost (either limited by the sponsor, or other approved reduction), the rates must be manually edited. To edit, select cell C57, type in numerical F&A value (e.g. 20%). When prompted, "This is not one of the Approved Rates. Continue?" Select					
▶	Instructions	Personnel Yr 1	Personnel Yr 2	Personnel Yr 3	Personnel Yr 4

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

Syracuse University Sponsored Programs Budget Template														
Personnel Year 1														
Please Note: NSF limits senior personnel salary requests for all proposals to two months										Project Duration		Inst # (OSP Use)		
A. Senior/Key Person			3.00% Escalation Rate		Start Date:		Year(s)		Sponsor Type		Funds			
Prefix	First	Middle	Last	Suffix	Project Role	Base Salary	Cal Months	Acad Months	Sum Months	Requested Salary	Fringe Benefits	Funds Requested	Justification (Does not print)	
1														
2														
3														
4														
5														
6														
7														
8														
9	0 Total Number for all additional Senior Key Personnel					Total Funds requested for all additional Senior/Key Personnel					0			
	0 Total Number Senior Key Personnel					Total Senior/Key Personnel					0			
B. Other Personnel Enter total salary requested for employee category. Effort months for informational purposes only.														
#		Grad Fringe	Cal Months	Acad Months	Sum Months	Requested Salary	Fringe Benefits	Funds Requested	Justification (Does not print)					
	Post Doctoral Associates													
	Other Professional													
	Graduate Students													
	Undergraduate Students													
	Secretarial/Clerical (Federal Proposals are subject to OSP Approval)													
	Other (Temp, wages)													
	Extra Service & Overload													
	Adjunct Faculty													
0	Total Number Other Personnel					Total Other Personnel					0			
										Total Salary, Wages and Fringe Benefits (A+B)				0

%Effort/Effort Month Calculator

If you know the percent effort but not the corresponding months, please use cells below to calculate. Enter a percentage below (yellow field) and copy/paste the proper effort month (white) into the corresponding field.

% Effort	Cal	Acad	Sum
0.00%	0	0	0

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

Non-personnel							
C. Equipment Description							
List items and dollar amount for each item exceeding \$5000							
Equipment Item	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Justification (Does not print o
1						0	
2						0	
3						0	
4						0	
5						0	
6						0	
7						0	
8						0	
Total Equipment	0	0	0	0	0	0	
D. Travel							
	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Justification (Does not print o
1 Domestic Travel Costs(Incl. U.S. Possessions)						0	
2 Foreign Travel Costs						0	
Total Travel Cost	0	0	0	0	0	0	
E. Participant/Trainee Support Costs							
	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Justification (Does not print o
1 Stipends						0	
2 Travel						0	
3 Subsistence						0	
4 Other						0	
	Number of Participants	Total Support Costs	0	0	0	0	0

G. Direct Costs													
Total Other Direct Costs	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Justification (Does not print o						
0	0	0	0	0	0	0							
Total Direct Costs (A thru F)	0	0	0	0	0	0							
H. Facilities and Administration Costs (i.e. Indirect Costs)													
Enter Other Rate if applicable													
Yr	F&A Type	F&A Rate (%)	F&A Base (\$)	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Justification (Does not print o			
1	MTDC-Fed	Research - On Campus - 50.00%	0	0									
2	MTDC-Fed	Research - On Campus - 50.00%											
3	MTDC-Fed	Research - On Campus - 50.00%				0							
4	MTDC-Fed	Research - On Campus - 50.00%					0						
5	MTDC-Fed	Research - On Campus - 50.00%						0					
Total Indirect Costs				0	0	0	0	0	0				
I. Total Direct and F&A Costs													
Total Direct and F&A Costs (G+H)	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Justification (Does not print o						
0	0	0	0	0	0	0							
Subawards/Consortium/Contractual Costs													
	Year 1		Year 2		Year 3		Year 4		Year 5		Total	Justification (Does not print o	
	Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	
1											0	0	
2											0	0	
3											0	0	
4											0	0	
5											0	0	
6											0	0	
7											0	0	
8											0	0	
9											0	0	
10											0	0	
	0	0	0	0	0	0	0	0	0	0	0	0	

G. Direct Costs							
Total Other Direct Costs	Year 3	Year 4	Year 5	Total	Justification (Does not print o		
0	0	0	0	0			
Total Direct Costs (A thru F)	0	0	0	0			

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

Account Reference Aid			
Account	Name	Activity	Characteristics
561101	Consultants	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.	<ul style="list-style-type: none"> • 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
561102	Honoraria	Acknowledgement of individual's contributions to an event or activity, e.g. <ul style="list-style-type: none"> ○ Meeting (Provide advice) ○ Convocation ○ Speaking engagement ○ Workshop leader 	<ul style="list-style-type: none"> • 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
561103	Non-employee services	Purchased services or non-consultant and non honoraria activities <ul style="list-style-type: none"> • Provision of services to wide variety of customers • Provision of services consistent with primary outside employment <ul style="list-style-type: none"> ○ Classroom oversight; teachers ○ Web development ○ Graphic designers 	<ul style="list-style-type: none"> • Daily rate or lump sum payment • Activity may be named in proposal • Temporary, short-term participation
561199	Consultants – other	For applicable <u>other non-receipted</u> expenses associated with consultant agreement. Used in combination with 561101 or covered by consultant agreement.	<ul style="list-style-type: none"> • Non-receipted expenses separately reimbursed and in agreement. • Form 1099 Reportable.
561104	Sponsored Subject	Individual involved in research/demonstration project as participant or subjects, e.g. <i>Teachers</i> Paid to receive training or professional development Common for NSF or Dept of Ed projects <i>Human Participants</i> Nominal compensation for time Also called informant fees	<ul style="list-style-type: none"> • 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).

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 \(GSA\)](#)

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, project mgmt. 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 organizations written travel policy. In absence of a written travel policy, organizations must follow the regulations prescribed by the General Services Administration.
6. Columns E, F, G, H, I, J, and K are per trip.
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.

SOPO Task #	Purpose of Travel	Depart From	Destination	No. of Days	No. of Travelers	Lodging per Traveler	Flight per Traveler	Vehicle per Traveler	Per Diem Per Traveler	Cost per Trip	Basis for Estimating Costs
Domestic Travel											
Budget Period 1											
1	EXAMPLE!!! Visit to PV manufacturer			2	2	\$250	\$500	\$100	\$160	\$2,020	Current GSA rates
International Travel											
Budget Period 1 Total											
Domestic Travel											
International Travel											
Budget Period 2 Total											
Domestic Travel											

GSA U.S. General Services Administration

Buying & Selling | Real Estate | Policy & Regulations | Small Business | **Travel** | Shared Services | Technology

Home > Travel > Plan & Book > Per Diem Rates

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

For Fiscal Year: 2021 (Current Year)

Select a State

City (optional)

OR

ZIP

Find Rates

Per Diem Rates Overview

- FY 2021 Per Diem Highlights
- FAQ
- Per Diem Contacts
- M&IE Breakdown
- Factors Influencing Lodging Rates
- Per Diem Boundaries
- Fire Safe 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!



Amy Deppa, Research Administrator

Phone: 315-443-9355

Supports: Biomedical & Chemical Engineering, Electrical Engineering & Computer Science, Mechanical & Aerospace Engineering



Amy Graves, Research Administrator

Phone: 315-443-9360

Supports: Biology, Chemistry, Communication Sciences & Disorders, Forensic & National Security Sciences Institute, Mathematics, Physics, Psychology, Science Teaching



Ross Gullo, Research Administrator

Phone: 315-443-1121

Supports: Architecture, Art & Music Histories, Athletics, Center of Excellence in Environmental & Energy Systems, Center for Sustainable Community Solutions, Coalition of Museum & Art Centers, CASE, College of Visual and Performing Arts, Earth Science, Civil & Environmental Engineering, Falk College of Sport and Human Dynamics (minus Aging Studies Institute), Hendricks Memorial Chapel, Languages, Literatures & Linguistics, Library, Newhouse School of Public Communications, Philosophy, Religion, University College (minus HEOP), Writing Program



IMAGE
COMING SOON

Jennifer Ho Manion, Research Administrator

Phone: 315-443-8252

Supports: Institute for Veteran & Military Affairs, BFAS, Project Advance, Human Resources, Student Affairs, Information Studies, Burton Blatt Institute, Whitman School of Management



Caroline McMullin, Research Administrator

Phone: 315-443-9358

Supports: School of Education, Aging Studies Institute, College of Law (minus BBI), Maxwell School of Citizenship & Public Affairs

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

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