

# Budgeting DLI-DEL Proposals

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## About this webinar series

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- Funded by National Science Foundation grant BCS-2039991 “Strengthening Capacity in Dynamic Language Infrastructure for Tribal Nations”
- Thanks to the project’s Advisory Committee, which has provided advice and insight in developing this programming.

**Expected Outcome of the Webinar  
Series and other Grant Activities**

“the project is such that it will lead to the **creation of proposals focused on questions largely shaped by Native Americans**. The insights of such PIs about their languages and cultures are likely to lead them to **focus on important research on topics that have been neglected by outside scholars** and, thereby, **expand the range of scientific advances** that can be supported by research on Native American languages. This will **allow Native American theories of language to inform linguistic theory** in much the same way that data from Native American languages has, which has transformative potential for the study of language.”

# Overview

# Topics Covered Today

- Understanding the funding landscape for DLI-DEL proposals
- Budget categories and allowable costs for NSF proposals
- Additional tips and advice for drafting a DLI-DEL proposal's budget
- Prompts and questions to assist in developing a budget for a DLI-DEL proposal

# Key Acronyms

NSF: National Science Foundation

NEH: National Endowment for the Humanities

DLI-DEL: the Dynamic Language Infrastructure-Documenting Endangered Languages funding partnership

PAPPG: NSF's Proposal & Award Policies & Procedures Guide (said: Pap-Gee )

DMP: Data Management Plan

TCUP: NSF's Tribal Colleges & Universities Program (said: Tea-Cup )

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# Funding Landscape for DLI-DEL Proposals

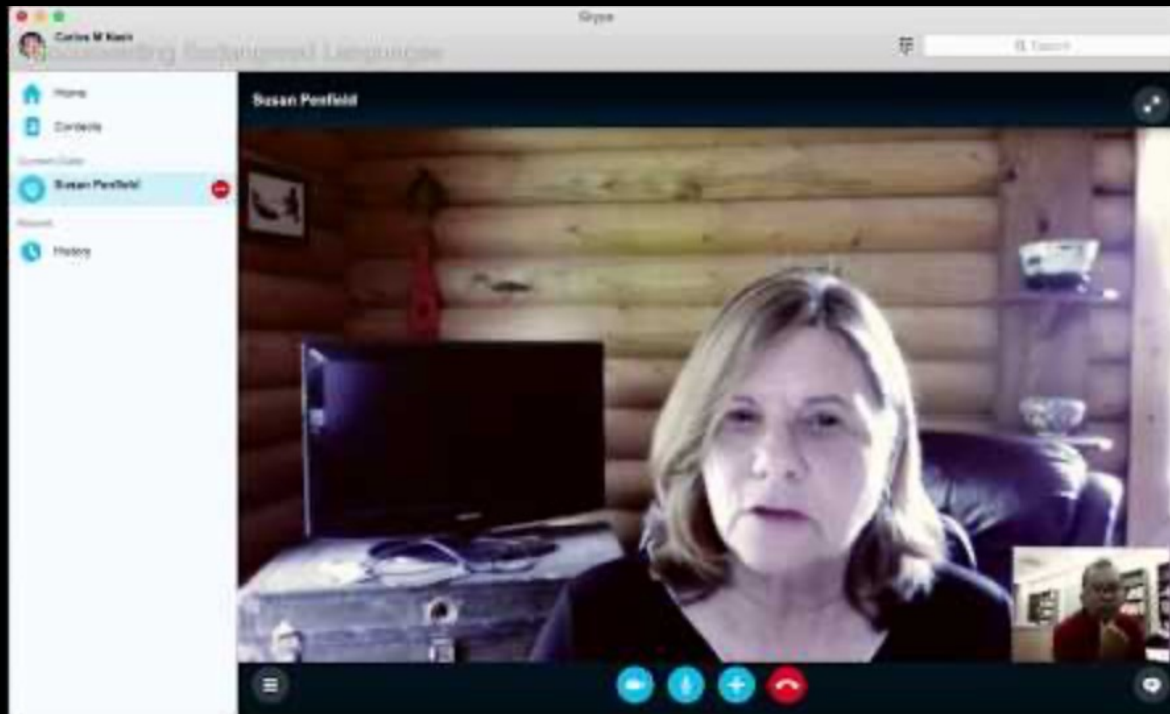
## The Broad Parameters for a DLI-DEL Budget

- The solicitation permits a **maximum** of \$150,000 total, per year, for a maximum of \$450,000 up to 3 years. This includes **indirect costs**.
- Very few grants secure the maximum; the range is more like \$100,000 - \$200,000 total over 3 years for projects without international fieldwork.
- Will any of the project team be on salary? What is the fringe rate?
- Identify your organization's federally negotiated indirect cost rate. What categories will it apply to?
- A 10% *de minimus* rate **must** be used if an institution does not have a federally negotiated rate.



- Make a list of everything that the project will need funding for to make the proposed activities possible.
- If it is possible to estimate a price per unit for these items, include that, too.
- Identify which items still need cost estimates, and give a rough total for these costs.
- Tip: Personnel costs are (in my experience) always the costliest part of the project and should be done first.
- Do not forget to include the fringe calculations.

# Dr. Susan Penfield from *DEL Outreach Video Series*



<https://youtu.be/l-OkmcIRd8k>

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# NSF Budgets

## NSF Budget Categories on the Budget Worksheet

- Institutions that apply for many NSF grants often have Excel templates online for their PIs to use. For example, SUNY Buffalo's grants office:
- <http://www.buffalo.edu/research/forms-catalog.host.html/content/shared/www/research/Forms/nsf-budget-template.detail.html>
- Template: <http://www.buffalo.edu/content/dam/www/research/forms/SPS/nsfbudgettemplate.xls>

# Allowable Costs

- Salaries and Wages (Lines A and B on the Proposal Budget)
- Senior Personnel Salaries & Wages Policy
- “As a general policy, NSF limits the salary compensation requested in the proposal budget for senior personnel to no more than two months of their regular salary in any one year.” (needs justification for more than two months.)
- Administrative and Clerical Salaries & Wages Policy: Not normally allowed (treated under direct costs), but read the PAPPG.
- Fringe Benefits (Line C on the Proposal Budget)

# The NSF Person-Month

- From NSF FAQs ( <https://www.nsf.gov/pubs/gpg/faqs.pdf>):
- “The term "person-months" refers to the effort (amount of time) that PI(s), faculty and other senior personnel will devote to a specific project. The effort is based on the organization's regular academic-year, summer or calendar-year. For example, if the regular schedule is 10 months and 30% effort will be devoted to the project, a total of 3 months should be listed in the academic or calendar-year block (10 months x 30% = 3 months).”
- In other words, if you put 12 months down, it is saying you will be full-time for an entire year. If instead, you are working 3 hours a week for 12 months, this is roughly one person-month.

- Equipment (Line D on the Proposal Budget)
  - Do not use this line UNLESS you are proposing to purchase an item that costs more than \$5,000 by itself.
- No indirect costs are charged on equipment.
- Travel (Line E, 1 and 2 on the Proposal Budget)
- “travel and its relation to the proposed activities must be specified, itemized and justified by destination and cost. Funds may be requested for field work, attendance at meetings and conferences, and other travel associated with the proposed work, including subsistence...attendance at meetings or conferences must be necessary to **accomplish proposal objectives, or disseminate research results.**”
- Domestic (Line E1): between and within US and its territories/possessions
- International (Line E1): other regions not domestic (may need more justification, like on cover sheet)

- Participant Support (Line F on the budget)
  - There is a **very** specific definition for participant.
  - This line of funding doesn't ever get charged indirect costs.
  - If you get an award, you can't move funds out of this line without the program officer's prior permission.
- Here are some directions on what does and doesn't count in this category: "direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of **participants or trainees (but not employees)** in connection with NSF-sponsored conferences or training projects...**Speakers and trainers generally are not considered participants** and should not be included in this section of the budget...**For some educational projects conducted at local school districts, the participants being trained are employees. ..may not be used for incentive payments to research subjects.** Human subject payments should be included on line G6"



## Other Direct Costs (lines G1- G6)

- Materials and Supplies (including Costs of Computing Devices) (G1)
- Publication/Documentation/Dissemination (Line G2 on the Budget)
- Consultant Services (also referred to as Professional Service Costs) (Line G3 on the Budget)
- Computer Services (Line G4 on the Budget)
- Subawards (Line G5 on the Budget)
- Other (Line G6 on the Budget)

## Consultant Services (Line G2)

“Professional and consultant services are services rendered by **persons who are members of a particular profession or possess a special skill, and who are not officers or employees of the proposing organization.** Costs of professional and consultant services are allowable when reasonable in relation to the services rendered and when not contingent upon recovery of costs from the Federal government. Anticipated services must be **justified and information furnished on each individual’s expertise, primary organizational affiliation, normal daily compensation rate, and number of days of expected service.** Consultants’ travel costs, including subsistence, may be included.”

## Other (Line G6)

- Any other costs not covered by the other categories.
- Need to justify these in detail.
- Examples:
- Contracts for the purpose of obtaining goods and services
- Incentive payments, for example, payments to human subjects or incentives to promote completion of a survey (not incentives for employees)

# Indirect Costs

- If you are submitting a fellowship, this is not relevant to because indirect costs are not permitted.
- If your institution has a federally negotiated indirect cost rate, it must be used. These rates vary on what costs incur the charge.
- Participant support, equipment typically do not incur indirect costs.
- Institutions that do not have a federally negotiated indirect cost rate use a blanket minimum (called the *de minimis* rate) 10% of modified total direct costs.

# Voluntary Cost Sharing is Prohibited

- “inclusion of voluntary committed cost sharing is prohibited and Line M on the proposal budget will not be available for use by the proposer.”
- Here voluntary means that the solicitation is not requiring cost sharing.

## Your Budget Expenses Should Match the Project Description.

- Reviewers will look to see what activities have costs but do not appear in the budget and vice versa.
- Lots of mismatches or unbudgeted costs raise questions, including whether the team will have sufficient resources to carry out the work.
- If the project is funded and your institution hasn't received an NSF, it will undergo financial review and not all institutions receive financial approval for an award.

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# Planning the Budget

# Review Format in FastLane

Reviewers provide feedback to NSF based on the Review Criteria and the Review Elements

Review Criteria and Elements are available as reviewers provide feedback

The following elements should be considered in the review for both criteria:

1. What is the potential for the proposed activity to
  - a. advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
  - b. benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?
3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or institution to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home institution or through collaborations) to carry out the proposed activities?

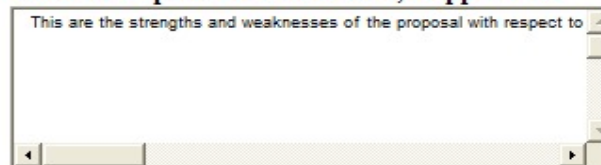
**In the context of the five review elements, please evaluate the strengths and weaknesses of the proposal with respect to intellectual merit.**

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**In the context of the five review elements, please evaluate the strengths and weaknesses of the proposal with respect to broader impacts.**

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**Please evaluate the strengths and weaknesses of the proposal with respect to any additional solicitation-specific review criteria, if applicable.**

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# Darryl Baldwin

## DEL Outreach Video Series



<https://www.youtube.com/watch?v=yxGdTRzlyMY>



# Homework for Preparing a Budget for a DLI-DEL Proposal



- How much will your proposed activities cost?
- What is your organization's "indirect cost rate"?
- For personnel, how did you come up with the numbers you are proposing in terms of their proposed compensation?

## Additional Prompts for Planning

- This session on budgeting has involved calculations for several pieces of the work effort.
- Calculate that approximate total per year for direct costs and then calculate what the final total per year is when indirect rates are included.
- Does the total amount of the project activities exceed the typical DEL funding levels?
- What project activities will you need to cut to bring the budget in line?



# Program Officer Contacts

## DLI-DEL Contacts for Solicitation 20-603

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## Distinguished Panel Shortly...Next Webinar Sessions

- ~~Session 3 (September 22): How do DLI-DEL proposals get reviewed? Presentation on NSF merit review, along with a panel discussion from experienced DLI-DEL reviewers~~
- ~~Session 4 (September 29): Budgeting DLI-DEL Proposals; panel with NSF past and current PIs talk about their experiences budgeting and managing an NSF grant)~~
- **Session 5 (October 6): Archiving and Data Management Plan, led by archivists specializing in Indigenous collections**