The ROCKEFELLER FOUNDATION

GUIDE TO PREPARING A BUDGET FOR THE ROCKEFELLER FOUNDATION[1]

I. Overview

The Rockefeller Foundation does not require a specific budget format or template, but instead provides grantees with the below guidelines. If your organization does not have a standard budget format and would like for the Foundation to provide a template for your use, we have something we would be happy to send to you. Regardless of what budget format you use, you will be required as part of the terms of any grant that is awarded to report on expenditures against the budget submitted.

➢ It should be easy for Foundation staff to understand how the budget is necessary to complete the activities that are described in the proposal. Toward that end, the Foundation urges you to provide a budget narrative as part of your proposal. In the narrative, or if none is provided, within the budget itself, describe and provide justification for each category in the budget.

➢ Please indicate the timeline applicable for the budget. This timeline should be the same as that indicated in the proposal. The stated timeline will generally become the grant term.

➢ If the Foundation is being asked to contribute to funding a project that has other sources of support:
  • Please provide a total project budget and break out costs that the Foundation would be asked to fund.
  • Please indicate known sources of support (and amounts) for the remainder of the budget, and whether those other funds have been committed, requested or are under discussion.

➢ Please submit the budget in Excel if possible and include a Summary as the first worksheet if there are multiple worksheets.

➢ Multi-year projects should be broken out by year.

➢ The budget should be in US Dollars.

➢ All expenses should be itemized.

II. Line Item Guidance

The Foundation does not mandate that you use any specific line items or categories; indeed, the line items should be those that your organization can easily report on during the life of the grant. The following are the line items used most often in preparing budgets, with a brief description of what we generally expect will be included in them. Details may be enumerated either in the budget itself or in the budget narrative section of the proposal.

➢ **Staff Costs/Personnel**
  • Each individual (with title) for whom salary support is requested (ideally listed individually).
  • The percentage of time each person will be devoting to the project.
  • An amount for salary (and benefits if needed) per person (or, at minimum, in aggregate). While we understand that salaries may be confidential, at minimum the name and/or level of expected staff (e.g. principal, senior, junior) and a breakdown of each person's percentage of time allocated to the project should accompany any aggregate salary and/or fringe benefit line item. If a flat-fee or task-based budget must be provided, you will need to provide a breakout of staff time toward each task.

➢ **Consultants/Subcontracts/Collaborating Institutions**

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[1] The following guidelines only apply to project grants. If the proposed grant is for general operating support, the organization should submit an annual operating budget and will generally be required to submit one for each fiscal year covered by the grant term.

- If engaging individuals or entities outside of your institution, provide the name of the person/entity, the work being done, and the amount to be paid.
- For subcontracts that comprise a significant amount of the budget (generally more than 20%), please provide a detailed budget justification for the subcontract.
- If collaborating with other institutions for part or all of the project being funded, the budget should indicate each participating institution's costs separately.

➢ **Travel**
- Your institution's travel policy should be your guide when budgeting for travel costs. Please note, however, that generally the maximum amount that the Foundation will cover under a grant is business class airfare for cross-border trips in excess of six hours (economy class for all other travel). If your organization normally flies economy class for long flights, you should budget for economy travel.
- Indicate the origin and destinations for each trip, the number of staff traveling, and the amount to be paid for expenses. If you provide an aggregate travel line item, it should be accompanied by a narrative breakdown of the people and frequency of anticipated trips.

➢ **Equipment**
- List any equipment purchases including quantity and unit cost that are necessary to carry out the project.[2]
- If equipment will be rented or leased instead of purchased, please be clear on this point.

➢ **Office Expenses/Supplies**
- Includes costs for telephone, fax, internet, postage, and courier services that will be charged directly to the project.
- Rent is generally included in overhead/indirect costs (see below). However, if your organization must rent *additional* space specifically for the project to be funded, rent may be considered to be a direct project cost.

➢ **Communications/Publications**
- You may include costs for development, design and production of materials for distribution.

➢ **Conferences/Meetings**
- Please include costs for the meeting facility as well as transportation, hotel and meal expenses for meeting attendees. All staff travel costs should be shown under Travel detail.
- Note that grant funds may not be used to pay for costs associated with Rockefeller Foundation staff traveling to or attending events funded through the grant, and so should not be included in the budget.

➢ **Evaluation**
- Include costs to evaluate the grant activities, if any.

➢ **Other Direct Project Costs**
- Please enumerate.

➢ **Overhead/Indirect Costs**
- The Foundation encourages prospective grantees to budget for all direct project costs. Direct project costs may include renting office space only if that space is rented specifically for the project.
- Beyond direct project costs, the Foundation will consider providing overhead of up to 15 percent to those institutions that are eligible to receive overhead from the Foundation under U.S. Internal Revenue Code regulations.[3]
- Overhead or indirect expenses generally include office rent, utilities and maintenance; library, information and technology support; personnel management (human resources) or other designated expenses as an allocated cost established by your institution; this cost is also sometimes referred to as an administrative/management fee by the institution.

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[2] N.B. There are restrictions on the instances where we can support equipment purchases. If these are in your request, please be in touch with the Foundation to inquire in advance.
[3] The Foundation is unable to provide overhead/indirect costs to organizations that have not been determined to be charitable organizations under Section 501(c)(3) of the U.S. Internal Revenue Code or the equivalent thereof by Foundation counsel. In no cases may overhead be provided to a for-profit institution. If you have questions about whether overhead will be permitted for your grant, please be in touch with the Foundation's Office of Grants Management.

- ➤ **Contingency**
  - A contingency amount may be appropriate to allow for unanticipated expenses that may arise outside of the grantee's control. Amounts should be reasonable, and should be discussed in advance with the program officer for the proposed grant. Contingency funds are typically held by the Foundation and only paid, in whole or in part, on receipt of a financial report showing that some or all of the funds are needed.

GUIDE TO PREPARING A PROJECT PROPOSAL FOR THE ROCKEFELLER FOUNDATION

This outline offers optional guidance for the prospective grantee on the preparation of a proposal for a project grant.[1] All materials must be in English and sent electronically.

A submission to The Rockefeller Foundation should include three documents: a proposal (to include a budget narrative and any appendices, if applicable), a line item budget, and a letter of request.

I.   The **proposal** should be approximately 5-15 pages in length and should generally include the following elements, although not all sections will be applicable to all prospective grantees, and you may be asked to provide additional information. If the proposal has appendices, please combine them with the core proposal in one document.

Cover Page
- Project name
- Name and address of the institution requesting the funds
- Name and address of any local (regional) offices that will be engaged in the project
- Name and contact information of the principal investigator(s) responsible for implementing the project
- Name and contact information for the financial contact responsible for the fiscal administration of the project funds
- Amount of grant being requested from The Rockefeller Foundation in U.S. dollars
- Date the proposal was submitted

Brief Executive Summary – Please provide a summary of the proposal information requested below.

Rationale and Context
a) Describe the main issue or problem you hope to address with your project.
b) Describe the project's relevance to your organization's mission and how it fits within your organization's institutional structure.
c) Identify major related work in the field. Describe how your work differs from, contributes to, or complements that work.
d) If collaborating with other institutions, provide their names and describe their roles and responsibilities in the project.

Project Vision and Activities
a) Describe the project and how it aims to address the problem(s) identified in the prior section.
b) Describe proposed project activities, including the status of the work and accomplishments to date, if applicable.
c) List the specific project deliverables, by deliverable date. If applicable, provide a detailed workplan as an Appendix.
d) Describe the broader change to which the project will contribute including the desired outcomes and the ways in which the project will positively affect the intended beneficiaries.
e) What (if any) significant challenges exist in your capacity to achieve your intended outcomes?

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[1] If you are requesting a grant for general operating support of an institution (not "general support" of a center or part of an institution), these guidelines are not applicable for the proposal or budget. In such a case, please send a proposal that describes the organization's planned activities overall, a general operating budget for the relevant fiscal year(s), and a letter of request (using the guidelines here).

Plans for Knowledge Management and Communications
    a) With reference to the Project Vision and Activities section of your proposal (see above), how will the deliverables be used and/or shared within your organization and externally within relevant fields and/or to the general public?
    b) Describe your overall plans for sharing information about your grant-related work and its outcomes. Please include the intended audience(s) (e.g., media, experts in the field, general public) and what you want them to do, think, know, or feel as a result of receiving communications about your project or its results.
    c) Will there be any data assets produced by this project? If so how will they be managed and licensed? [The Foundation's default position is to release the data we fund under the Creative Commons by Attribution (CC BY 4.0) license.]

Monitoring
    a) How will you monitor progress toward the project deliverables and workplan, if applicable, during the grant term and who will carry out the monitoring activities?
    b) How will your team track progress to ensure the desired outcomes described in the Project Vision and Activities section, above?

Evaluation
    a) Describe your plans for evaluating the outcomes of the grant.
    b) How will baseline data be established for the issue or problem described in the Rationale and Context section, above?
    c) What would constitute success? What would constitute failure?

Risk Management
    a) Describe any risks related to the project -- such as financial, political, governance, cultural/religious, security, collaborative implementation arrangements, etc. -- and how these risks will be managed or mitigated.
    b) If you are requesting funds toward a larger project budget, what will happen if you do not receive the anticipated funding from other sources? If this is a longer term project, how will it be sustained after the Foundation's funding has ended?

Budget Narrative
    a) The Foundation encourages you to provide a budget narrative as part of your proposal. In the narrative please describe and provide justification for each category in the budget.
    b) Do you anticipate any regranting, subcontracting or critical collaboration for this project? If so, how will those organizations be identified? Please provide a bit of background on any that are already known.

Appendices
    a) Provide a profile of key project personnel and a description of their roles in the project.
    b) A project workplan and/or timeline, if applicable.

II.   The Foundation does not require a template for your project budget. Please submit the project budget in Excel if possible. See the separate guidelines attached for the **budget**.

III.   An official **letter of request** for the grant should be on the letterhead of the organization that will have ownership and responsibility for the project. The letter should be addressed to The Rockefeller Foundation program officer, dated, and include the following:

- Signature of an executive officer or other organization official authorized to solicit grant funds. If a university, the request must be submitted by its contracts and grants office (or the equivalent, if such an office does not exist; e.g., the rector's or president's office).
- Amount requested, the name of the project, and the dates during which The Rockefeller Foundation funding will be used.

Please note that as part of the review process, Foundation staff may request a meeting and/or site visit and you may be asked to provide additional project and organization information. Such requests should not, however, be interpreted as a guarantee of financial support.

The Foundation, working with each prospective grantee, will determine the terms of the grant and present a Grant Agreement for countersignature. A grant payment cannot be made until your organization has received and returned a countersigned copy of the Grant Agreement to the Foundation.