The Sanford School Pre-Award Process

Funding Searches
Funding searches are done to supplement the PI's own funding searches.

1. Funding Searches are conducted daily, weekly and monthly
   a. RA reviews information found in the following funding search resources:
      i. PIVOT
      ii. Philanthropy Digest
      iii. Grants.gov
      iv. NSF
      v. NIH – Specific Centers
      vi. Dimensions
      vii. Deltek/GovWin
      viii. CFDA
      ix. SBIR/STTR
2. RA uses the key words provided by the PI to find opportunities
3. RA researches information about what sponsors have funded previously to see if we are on target in terms of the type of research we are doing and what the sponsor has been funding
4. After appropriate funding opportunities are identified the relevant information is gathered into an easy to digest format
5. An email goes out to the Sanford Faculty each week with the funding opportunity information

Funding Opportunity Identified
The PI contacts the RA Team advising them of an opportunity they are interested in applying to. Whether the sponsor is a federal sponsor or a foundation, we follow the steps below-

1. RA requests the funding announcement from PI
   a. RA reviews for the following items:
      i. What are the eligibility requirements for the PI
      ii. What eligible entities can apply
      iii. What is the due date
      iv. What are the budget limitations
      v. What are the Facilities and Administrative Costs limitations
      vi. Are there any other special requirements (Community Partners, Business Partners, PI Effort, Special Equipment, Cost Share, etc.)
      vii. The information that is needed to make up a complete proposal for the sponsor is gathered and placed in a checklist
2. The RA Team will meet at this time to review the information collected and discuss next steps. If there are areas that we need guidance on or clarification needed we reach out to the sponsor, our ORSPA partners or other contacts/colleagues in the RA Community who may have submitted to this FOA before.
3. RA Team requests a face to face meeting with the PI to discuss the proposed project and budget needs
4. The main task for the PI meeting is to gather the following information:
   a. What is the proposed project?
   b. Who is the research team/key personnel?
   c. What staffing will be needed to conduct this research project?
   d. What effort/time is needed for each of the team members?
   e. Is everyone mentioned already employed at ASU?
   f. What positions are new and need to be hired?

g. Are there any subcontracts?
    i. Who is the subcontract for?
    ii. Who is the lead PI at that institution?
    iii. What is their contact information?
    iv. Who is our proposal contact?
        1. Subcontracts need the following submitted to ASU for the proposal to be complete:
            a. If the organization is part of the FDP Expanded Clearinghouse, they must complete the **Subrecipient Letter of Commitment**. If they are not part of the FDP Expanded Clearinghouse, they must complete a **Subrecipient Commitment Form**.
            b. A **Budget** in Excel format or in the sponsor preferred format
            c. **Budget Justification**
            d. **Scope of Work**
                i. This should define only the specific work to be performed by the subrecipient. It is important that the tasks to be performed are clearly outlined and that any expectations for reports or deliverables are listed.
            e. Anything else required by the sponsor such as current and pending support, biosketches, facilities statement, etc. The needs will vary from FOA to FOA.
            f. Facilities and Administrative (F&A) rate agreement
            g. Fringe Benefits rate agreement

****PLEASE NOTE:** *Subcontract information and required documents will need to be submitted to ASU prior to the RA Team completing the budget portion of the proposal. This means in advance of the deadline for submission. Contact information must be available ASAP so that the RA Team can reach out to the sub to get the documents needed to submit the proposal on time.*

h. What equipment is needed for this project?
    i. Project Equipment
        1. Computers
        2. Printers
        3. Scanners
        4. Specialty equipment
    ii. Software

ALL EQUIPMENT AND SOFTWARE MUST BE REVIEWED AND APPROVED BY UTO AND THE INFORMATION SECURITY OFFICE PRIOR TO PURCHASE

i. Will you be collecting Data?
j. Will there be human subjects?
    i. A living individual about whom an investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual or obtains identifiable private information.
k. Will you be paying out incentives to human subjects?
    i. Incentives can be given by
        1. Cash Advance
            a. Cash

b. Check
                 c. Gift Cards
                 d. Wires
                 e. Raffles
    l. Are there Participant Support Costs? **(Not Employees/Payroll)**
             i. These are direct costs for items such
                 1. Stipends
                 2. Subsistence allowances
                 3. Travel allowances
                 4. Registration fees paid to or on behalf of participants or trainees in connection with conferences, or training projects
    m. Other costs:
             i. Postage
            ii. Cell Phones
           iii. Audio/visual Equipment
            iv. External off network storage
             v. Printing/Photopying
            vi. Letterhead/Letterhead envelopes
           vii. Service Contracts
          viii. Consultants
    n. A project timeline is created, and a list of items/tasks that the RA Team will be responsible for will be created.
             i. Typical RA items/tasks for proposal submission:
                 1. Intake of initial proposal information
                 2. Providing a Draft Post Meeting Budget
                 3. Coordinating with outside university consortium partners to obtain the needed documents for proposal submission
                 4. Finalizing of Budget with the PI
                 5. Providing the PI with a draft Budget Justification to complete
                 6. Provide the Facilities and Resources Document which is something that the PI can edit to fit the project
                 7. Converting all documents to PDF for upload into the ASU ERA Portal or other submission portals and reviewing for conversion issues
                 8. Formatting and Compliance Check against Sponsor Rules and Guidelines
                 9. Plagiarism and Grammar Check using special software tools
                 10. Routing Proposal for Approvals through the School and through CLAS
                 11. Coordinate the review of final proposal package with ORSPA
                 12. Address ORSPA review findings, questions, and needed corrections
                 13. Any Post Submission Tasks for this
            ii. Typical items/tasks that the PI/Applicant is responsible for (NIH Example)
                 1. Cover Letters
                 2. Institutional Support Letters
                 3. Mentor Letters
                 4. Introduction
                 5. Project Summary/Abstract
                 6. Project Narrative
                 7. Bibliography/References Cited
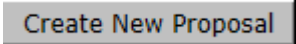   8. Equipment

9. Other Attachments per the FOA instructions
10. Biosketches
11. CITI Certificates (Current)
12. Final Budget Information
13. Final Budget Justification
14. Specific Aims
15. Research Strategy
16. Progress Report Publications
17. Multiple PI Leadership Plan
18. Consortium/Contractual Agreements
19. Resource Sharing/Data Sharing Plan
20. Appendix
21. Conditions or Focus of Study
22. Eligibility Criteria
23. Age Limits
24. The inclusion of Women, Minorities, and Children
25. Recruitment and Retention Plan
26. Recruitement Status
27. Study Timeline
28. Enrollment of First Subject
29. Protection of Human Subjects
30. Multi-Site Study
31. Data and Safety Monitoring Plan
32. Overall Structure of Study Team
   o. A final version of the checklist along with an email outlining what was agreed to will be emailed to the PI after the meeting

The Enterprise Research Administration System (The ERA Submission Portal)
The RA Team now has the preliminary information needed to start entering the proposal information into the ERA system. ERA or the Enterprise Research Administration system provides an integrated platform for the administration of research and sponsored projects at ASU. The development and submission of proposals and the management of awards are done through this system.

The RA will now create the proposal in ERA:

STARTING THE FUNDING PROPOSAL

After clicking, Create New Proposal RAs will arrive at the first SmartForm, FP 1.1 Proposal Descriptions & Contacts. Once all of the required fields (red asterisk) are completed on this form, the Funding Proposal # will be assigned.

FP 1.1 PROPOSAL DESCRIPTIONS & CONTACTS
Once a Principal Investigator (PI) has been selected, if their Research Profile has been completed (How to update a Researcher Profile in ERA) RAs will be able to choose from biosketches and Current and Pending (C&P) reports that have already been uploaded. Otherwise, users will need to upload the biosketches and C&P reports manually.
See the PI Eligibility guide for who can be a Sponsor PI. Only individuals with an active employee appointment both in PeopleSoft and ERA may serve as an Internal PI.
On question 6, it is strongly encouraged to use the wildcard symbol % when searching for sponsors. The following video shows How to search in ERA. After using the wildcard and advanced search functions, if the sponsor still cannot be found, request that a new sponsor is added by completing the New ERA Sponsor Request found here.

If users start a proposal with a TBD Sponsor, ERA will not allow the proposal to move out of a draft state until a sponsor that is active in ERA is selected. This validation is needed to ensure faculty can correctly complete their Financial Conflict of Interest certification.

USE OF SPONSOR, PRIME SPONSOR AND SUB-AGENCY FIELDS

Sponsor: Every proposal must have a Sponsor listed.

Prime Sponsor: Use when funds flow-through (pass-through) another organization, including subawards to ASU and awards involving the ASU Foundation. The Prime Sponsor funds the Direct Sponsor, and the Direct Sponsor pays ASU. NOTE: Applying to a sub organization of a Federal Agency is *not the same* as a pass-through. *See use of sub-agency below.*

Sub-agency: If known, select "Yes" under "Is this proposal being submitted to a sub organization of the sponsor?" You will enter the agency (ex: DOEd: Office of Career, Technical and Adult Education OCTAE) as the sub organization in the space provided. Do not enter the agency as the Prime Sponsor and sub-agency as the Sponsor.
However, in a true pass-through situation involving a sub-agency, list the sub-agency (ex: OCTAE) as the Prime Sponsor, the *flow-through entity* as the Sponsor and select "No" for sub agency. You will not list the main sponsor in this case.

Sample scenarios:
- ASU applies for funding **directly** from the National Science Foundation (NSF), and it is not known what sub-agency this will be submitted to. **Select NSF as the Sponsor** (no other action needed).

- ASU applies to the Defense Threat Reduction Agency (DTRA), a sub-agency of the Department of Defense (DOD). **Select DOD as the Sponsor, select "yes" for sub organization and list the DTRA in the space provided.** *This is not a pass-through scenario.*

- ASU applies to the Cooperative Ecosystems Studies Unit (CESU) Network for grants funded by the US Geological Survey, a sub-agency of the Department of the Interior. **Select CESU as the Sponsor** (this is the pass-through entity)**, US Geological Survey as the Prime Sponsor and "no" for sub organization** (do not list Dept. of Interior).

If a sponsor cannot be found, try using the wildcard symbol, "%." If the sponsor still cannot be found select a TBD sponsor. Then, complete the New ERA Sponsor Request form to have the new sponsor added to ERA. Once the sponsor has been added, replace the TBD sponsor with the actual sponsor.

Once all of the required fields have been completed, click continue. This will assign an FP number and proceed to the next SmartForm.

FP 1.2 GENERAL PROPOSAL INFORMATION

On question 1 the type of application will default to "NEW" unless

the activity has been run. This can be manually changed to another type of application, if appropriate.

On question 4, users indicate whether the funding announcement is available on Grants.gov or if it is a non Grants.gov funding announcement.

The job aid Choosing the Correct Submission Method in ERA provides detailed instruction on selecting the appropriate submission method in ERA.

Users with a Grants.gov funding announcement (S2S or Non-S2S) will have SmartForm FP1.4.1. Users with a non Grants.gov funding announcement will have SmartForm FP1.4.2.

FP 1.2.1 LEAD UNIT, INVESTIGATORS & ALLOCATIONS

Question 1, the lead financial unit defaults to the Sponsor PI's payroll department unless a Research Department has been listed in the Researcher Profile. A Research Department will override the payroll department, and all proposals along with the allocations will default to the Research Department. How to update the Research Department.

The RID and IIA will automatically equal the REC if the RID or IIA will differ from the REC uncheck the box to manually adjust these fields

Should RID and IIA be the same percent as Recognition for this proposal? ☑

The Allocations grid is populated based on individuals added to FP1.1.1 who are listed as Senior/Key or Other Significant Contributor.

Use the Add button **Add 1 ▼ row: Add** if more rows are needed.

Note: As each investigator is added to the proposal, ERA will pre-populate with a default unit. Do not remove the default unit – this unit must be included in the allocations table in order for Department Reviewers to generate properly.

If an individual has a joint appointment with 2 or more units which are not centers, add a row for each unit.

If an individual has a joint appointment with a unit and a center, only one row is needed. The system will default the correct unit and the center.

If a unit or center is not available in ERA, use the New Coeus Unit Request to have the unit/center added in ERA and Coeus.
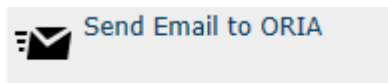
FP 1.3 COI SUMMARY INFORMATION

All individuals who are listed as responsible for the design, conduct or reporting of research for the proposal will be listed here.

Users removed from the proposal will show as "yes" underneath the subsequently removed column. Individuals subsequently removed will need to have their Research Initiated Certification canceled.

First Name	Last Name	Department	Last Certification Date	Role	COI ID	COI Status	Subsequently Removed
Marie	Blackwell	Research Advancement Services (RAS)		Co-Investigator			yes
Stephen	Saunders	Research Technology Development (RTD)		PD/PI	None		no
Richard	Szpara	Research Advancement Services (RAS)		Co-Investigator	None		no
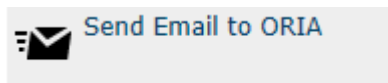
Users will need to contact ORIA using the **✉ Send Email to ORIA** activity and request that the Research Initiated Certification be canceled.

FP 1.4.1 FUNDING OPPORTUNITY ANNOUNCEMENT (GRANTS.GOV SUBMISSION)

In question 1, input the funding opportunity number and select Find. If the FOA has been posted on Grants.gov and available for submission to Grants.gov it will appear below.

Opportunity Id	Opportunity Title	Opening Date	Closing Date	CFDA Number	Competition ID	Instructions
⦿ RFA-AI-17-037	Immunity in the Elderly (R01) Clinical Trial Optional	12/11/2017	2/22/2018		FORMS-E	📄

If more than one FOA is available, users must select the appropriate one. Possible ways to identify the correct FOA are the closing date or competition ID.

In question 2, upload the funding announcement, optionally users can provide a link to the announcement on question 3.

FP 3.2 FUNDING OPPORTUNITY ANNOUNCEMENT

When submitting S2S or Non-S2S, users will see SmartForm 3.2. If users are not submitting S2S or Non-S2S, proceed to FP 1.4.2.

When submitting S2S, the forms must be fully supported, and the application can be submitted to Grants.gov.

These forms are fully supported and the application can be submitted to Grants.gov

If the optional forms are not supported, users can still submit S2S as long as they do not need to use an optional form. If an optional form is not supported and needs to be included in that proposal, users cannot submit S2S and must change the submission method to Non S2S.

FP 1.4.2 FUNDING OPPORTUNITY ANNOUNCEMENT (NON GRANTS.GOV SUBMISSION)
On question 1, if applying to a specific funding announcement, answer yes and upload the funding announcement to question 4. Optionally, users can also provide a link to the announcement on question 5.

FP 4.1 SUBMISSION DATES & DELIVERY INFORMATION (GRANTS.GOV)
When submitting S2S or non-S2S, the submission deadline defaults to the close date of the funding announcement. If the proposal is submitted prior to the close date, input the appropriate submission date.

FP 4.2 SUBMISSION DATES & DELIVER INFORMATION
On question 1, when using a non-Grants.gov funding announcement, indicate if the sponsor must receive the proposal by receipt of the closing date or if it must be postmarked.
In question 2, include detailed instructions of how the proposal must be submitted, who it must be submitted to in the delivery instructions.
The submission deadline defaults to the day the Funding Proposal was created. Input the actual submission date.

FP 7.0 PERFORMANCE SITES
If submitting S2S and faculty from other ASU campuses are contributing to the project, select the appropriate project/performance locations on question 2 to include those on the SF424 in ERA.

FP 8.1/8.2/8.3
The sponsor of the proposal will determine the attachment page that is available. The abstract and budget justification is required for all sponsored projects.

FP 8.1 RESEARCH PLAN AND REFERENCE ATTACHMENTS (NON PHS/NSF)
Proposals being submitted to any sponsor except PHS and NSF have FP 8.1.

FP 8.2 RESEARCH PLAN ATTACHMENTS (PHS)
Proposals being submitted to a PHS agency have FP 8.2.
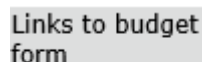
FP 8.3 RESEARCH PLAN ATTACHMENTS (NSF)
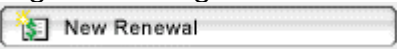Proposals being submitted to NSF have FP 8.3.

FP 9.1/9.2 COMPLETION INSTRUCTIONS
From this SmartForm users can access the budget by clicking on the pencil and
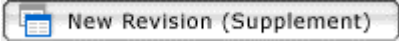
Links to budget form

paper icon. See Budgets Guide for help with budgeting in ERA.

STARTING A RENEWAL PROPOSAL
After navigating to the original, awarded proposal in ERA, Assigning RA Ownership (if needed), and clicking New Renewal , RAs will need to navigate to their My Inbox, locate the new renewal proposal they have created and review/update each SmartForm, beginning with FP

1.0 Pre-Proposal Description & Contacts. Follow the instructions on the [Additional Funds for a Sponsored Project](#) page.

STARTING A REVISION PROPOSAL

After navigating to the original, awarded proposal in ERA, Assigning RA Ownership (if needed), and clicking [📇 New Revision (Supplement)] RAs will need to navigate to their My Inbox, locate the new revision proposal they have created and review/update each SmartForm, beginning with FP 1.0 Pre-Proposal Description & Contacts. Follow the instructions on the [Additional Funds for a Sponsored Project](#) page.

STARTING A RESUBMISSION PROPOSAL

Before starting a resubmission, make sure the sponsor and opportunity you are submitting to supports the resubmission process. Some sponsors, such as the NSF, consider each submission a new and separate proposal.

1. Navigate to the proposal you will be resubmitting.
    a. If your proposal is still in a Submitted Pending Sponsor Approval, notify the assigned GCO, and have them put the submission in a Declined for Funding Status
2. Use the New Resubmission button on the left-hand panel to create a new proposal
    a. Enter a new title if appropriate
3. Select okay
4. This will create a proposal space based on the prior submitted submission. Make sure to go through all the funding proposal module pages and update as necessary.
    a. Updating the funding announcement in Smartform 1.4.1 of ERA to match the current funding announcement in Grants.gov is of particular importance when submitting S2S. Incorrect forms may generate and jeopardize the submission if the funding announcement is not updated.
5. Proceed as you would any other submission. 424 forms will be properly updated with federal identifiers and other information when the Create Update SF 424 action is run.

Accessing Budgets SmartForms and Grids

This page is about budgeting within ERA. For instructions on Funding Proposals, visit [Drafting a Funding Proposal.](#)

Once you have completed your Funding Proposal in ERA Grants, you can advance to the Budgets SmartForms to develop and edit your budget. To access the Budget Workspace and initiate the Budgets SmartForms:

From the Funding Proposal Completion Instructions: Click **Links to budget form.**

9.1 Completion Instructions (S2S Grants.gov Submission)

1.0	Congratulations! You have completed the ORSPA required information.
	In the toolbar, select "Hide / Show Errors" to confirm that all required information has been entered.
	Click on the icon below to open the Budget SmartForm and update the project's budget details.

Links to budget form	Name
☑	NSF: National Science Foundation

From the Proposal Workspace: For returning users, under the Budgets heading, click on the **sponsor name.**

You may also **jump to a specific SmartForm** by clicking on the drop down arrow, under the SmartForm heading:

From the Budget Workspace, click **Edit Budget** (on the left side of the page) to access the Budget SmartForms.

Optimizing Grants Grids Experience

Knowing the best practices for data entry for budgets in ERA is important, so information that is entered is accurate.

BROWSER COMPATIBILITY
- Internet Explorer is strongly recommended.

- ERA is supported in any browser, in both Windows and Mac OS X.
- Google Chrome is discouraged because it may change the values entered in some fields.

IMPORTANCE OF SAVING
- Click Save often to cue ERA to accurately reflect data entry in Budget Grids.
- Budget summary fields populate only upon Save, rather than updating as you move from field to field.

CHECK YOUR WORK
- It is strongly recommended to make it a habit to check all work.
- This ensures ERA accurately reflects all data entry.

USE A DESKTOP
- Edit ERA Budgets on a desktop computer whenever possible.
- Data entry in Budget Grids requires the use of both a mouse and keyboard.
- Smaller screens force users to navigate using multiple scroll bars to enter data into all available Grid cells.
- A laptop with a trackpad or mobile device are less than ideal.

1.0 General Budget Information

In the first Budgets SmartForm, **1.0 General Budget Information**, the first four answers default to information entered in the Funding Proposal.

General Budget Information

| 1.0 | *** Budget Title (81 characters & spaces max. for NIH):** |
| | NIH: National Institutes of Health |

| 2.0 | **Internal Principal Investigator for this Budget:** |
| | Soe Myint |

| 3.0 | **Budget Type:** |
| | Project |

4.0	**Funding Source:**
	Federal
	Project Sponsor:
	NIH: National Institutes of Health
	Prime Sponsor:
	* Is this a modular budget? (NIH only):
	○ Yes ● No Clear

5.0	**Sponsor Budget Detail Level:**
	Full Details
	If you chose "Per Period, Budget Category Totals", explain why you couldn't use "Full Details":

- **Question 1.0 Budget Title**: The Help Text provides instruction on instances when you may wish to change the title of the budget.

- **Question 4.0 Funding Source**: Visit the <u>NIH Modular Budgets</u> section below, if you need to create a modular budget for an NIH application.

- **Question 5.0 Sponsor Budget Detail Level**: Select **Full Details** in the drop down menu unless your proposal meets one of the following exceptions.
    - Sponsor requires task based budget:
        - Sponsor requests budget broken up by task/sub-task corresponding to the same task breakdown in the Statement of Work.
        - Example: Task = Development Task, Manufacturing Task…. = Total Per Task. Sub-Task = Procure Software, Procure Materials…. = Total Per Sub-Task.
    - Program Project:
        - Proposal budget involves multiple cores such as an Administrative Core and various Project Cores which all roll up to one main budget.
        - Project budget may be provided with bottom line numbers vs. providing a line by line budget.*
    - Sponsor doesn't allow or limits ERE:
        - Sponsor caps Employee Related Expenses (Fringe Benefits) at a rate less than ASU's approved rates.
        - Sponsor considers certain ERE/Fringe Benefit costs such as healthcare, life insurance or retirement contributions to be unallowable costs.
    - F&A will not be charged on subawards
        - Sponsor doesn't allow F&A on subawards.

* Proposals to an industry sponsor do not qualify as Program Projects and must be budgeted using the Full Details option.
If you believe your particular budget should be completed using Per Period, Budget Category Totals consult with your GCO.

1.1 Budget Periods

The date project starts defaults to 6 months from the day the Funding Proposal was created. Users should change the start date, as appropriate.

Federal sponsors will default to 5 budget periods, and non-federal sponsors will default to 2 budget periods.
Project periods default to 12 months (9 academic and 3 summer). If the duration will not equal 12 months, change the AY months and/or summer months and this will update the total duration.

Inflation is automatically applied on project periods except for the first project period. To turn on/off inflation for personnel, select the checkbox for each project period.

If a budget period needs to end before or after the calculated end date, use the override end date to manually change the end date. The override end date must be within 30 days of the calculated end date. If the override end date is more than 30 days greater than the calculated end date, change the academic and summer duration so that the calculated end date is within 30 days of the override end date.

Calculated End Date	Override End Date
3/17/2017	
3/17/2018	3/31/2018

1.2 F&A Rate Determination

As you work through the **F&A Rate Determination** SmartForm, **click Save** to calculate the F&A rates.

`<< Back`   Save | Exit | Hide/Show Errors | Print... | Jump To: 1.2 F&A Rate Determination ▾

F&A Rate Determination

| 1.0 | **Federal Funds:** Yes | **Sponsor Type:** Federal | **Prime Sponsor Type:** |

| 2.0 | **Is this an award transferring in from another institution?** No |

If yes, enter the F&A Rate and base they are using:

[   ] [▾]

| 3.0 | **Current ASU Approved Sponsor Limited Rate:** |

F and A Base:

If the sponsor has an approved rate with ASU, the rate and base will automatically populate in **Question 3**, and those rates will be used.

If the sponsor has a published policy AND is Nonprofit or Federal, input the limited rate and base in **Question 4**. Also, attach a copy of the sponsor's policy.

For charitable grant proposals (with ASUF as the direct sponsor), if the prime/originating sponsor does not have a published rate*, input the standard charitable rate of 11% in **Question 4**. Make sure to always input a base of Total Direct Costs (TDC) for charitable grants through ASUF.

RAs can create and attach a word/PDF file that states ASUF's policy or attach a PDF printout of https://researchadmin.asu.edu/working-with-asuf/pre-award with the 11% charitable rate policy highlighted.
* If ASUF is the direct sponsor and the prime/originating sponsor has a published rate, always use the published sponsor rate (regardless of if it is higher or lower than 11%). RAs will enter the prime/originating sponsors published rate/base in **Question 4** *rather than* 11% and TDC.

If any period will qualify for the off-campus F&A rate, use the drop down menu on **Question 7** to select the status as shown here.

7.0		Period 1 12/5/2014 12/4/2015	Period 2 12/5/2015 12/4/2016
	Fiscal Year:	2015	2016
	On Campus:	on ▾	off ▾

On Question 8, the Calculated F&A Base and Rate are based on the sponsor and activity type.
- If the Requested Rate needs to differ from the Calculated rate, input the appropriate base and rate here.

- The Applied F&A Base and Rate will reflect either the Calculated Rate and Base or the Requested Rate and Base (if approved).
- When selecting the F&A Base, double-check that the appropriate base (TDC, MTDC, or XDC) has been selected:
  - TDC (Total Direct Costs): The F&A rate is applied to all of the direct costs without exclusions. TDC must be used for all sponsors who publish an F&A rate less than ASU's full rate and who do not stipulate any direct cost category exclusions. Also, TDC is the correct F&A base for charitable grant proposals when the default ASU/ASUF rate of 11% is used.
  - MTDC (Modified Total Direct Costs): F&A is applied to all of the direct costs minus the exclusions listed in ASU's F&A Rate Agreement. MTDC is used when our full, Federally-approved F&A rates are applied.
  - XDC: F&A is applied to all of the direct costs minus any budget items that the RA will mark for exclusion. XDC is an ERA workaround to be used when a sponsor policy limits F&A to a rate lower than ASU's full rate AND requires that certain costs be excluded from the F&A base.

Calculated F&A Base:	MTDC	
Calculated F&A Rate:	54.50%	54.50%
Requested F&A Base:	XDC ▼	
Requested F&A Rate:		
Applied F&A Base:	XDC	
Applied F&A Rate:	54.50%	54.50%

2.0 Budget Characteristics

Select the appropriate expense types that will be included on this budget. Personnel, travel, and other direct costs are always generated for a basic budget.
- On Questions 1 and 2, if your budget will include either Cost Sharing or Subawards, select **Yes** on this form to generate the corresponding Budget SmartForm.

3.0 Personnel Costs

- After you add a row, **immediately save** it afterwards.
- Individuals to be included on the budget must be added on Funding Proposal 1.1.1. Additional Personnel. Otherwise, you will not be able to add them to the budget.
- Roles will auto-populate from the role you selected on Question 1.1.1.
- Per ASU policy a 3% escalation rate is included in out years. If you wish to apply escalation to Year 1, check the appropriate box. This will apply to all personnel lines.
- For TBD employees, users will need to enter that employee's expected salary manually. This should be entered in the Institutional Base Salary line. Assume a 1.0 FTE when entering the expected salary.
- Note: If multiple TBD employees are included on this project you do not need to add multiple rows unless their salary, ERE or effort differs.
- When the sponsor requires using only approved ERE rates, you will need to override the rates supplied in ERA. To do so:
  - Go to the Budget SmartForm 1.2 F&A Rate Determination page.
  - Input the Fiscal Year you would like in Question 7 and Save.
- Cost Shared Personnel costs must be entered on this form. This plus the calendar % effort cannot exceed 100. Other expenses to be cost shared will be entered in the cost sharing budget.
- Personnel salary costs are calculated based off the Calendar Year Salary line.

- o The salary for an individual with an Academic Year appointment will be annualized (times 1.33) and displayed in the Calendar Year Salary line.
  - o If Academic Year Salary is blank, the individual has a Calendar Year appointment.
- For each period, enter months or percent effort, but not both.
- If you remove a row, **immediately save** it afterwards, so the system properly updates the form.
- The automatic tuition remission box is checked by default. However, tuition will be calculated only for Graduate Students.
- Budgeting for Graduate Students section of this page provides additional instructions for budgeting Graduate Students.

View Personnel Costs In Cost Share Budget

Personnel Costs

Calendar Year Salary Cap: $0.00
Inflation: 3 %
Months or Percent: Percent

	Period 1	Period 2	Projects Totals
Direct F&A Base:	$30,107.00	$31,090.00	$61,197.00
Direct Non-F&A Base:	$16,340.00	$17,647.00	$33,987.00
Total Direct:	$46,447.00	$48,737.00	$95,184.00
F&A:	$20,382.00	$21,048.00	$41,430.00
Total Costs:	$66,829.00	$69,785.00	$136,614.00

Add 1 ▾ row: Add

Period	1	2
From/Thru	7/22/2015 to 7/21/2016	7/22/2016 to 7/21/2017
Duration	A9 + S3 = 12	A9 + S3 = 12
FY	2016	2017
Apply Inflation:	☐	☑

1 Employee: Graduate Student TBD01
People Soft Data: AY=$0 Cal=$0 FTE=1.00
Institutional Base Salary (Cal, FTE=1.0): $44000.00
Capped Calendar Salary: $44,000.00
ERE Staff Type: RA/TA
Automatic Tuition Remission ☑
Budget Justification:

	1	2
Salary (after inflation):	$44,000.00	$45,320.00
Academic Year Percent:	0 %	0 %
Summer Percent:	0 %	0 %
Calendar Year Percent:	62.5 %	62.5 %
Number of People:	1	1
Salary Requested:	$27,500.00	$28,325.00
ERE Rate:	9.48 %	9.76 %
ERE:	$2,607.00	$2,765.00
Tuition Remission:	$16,340.00	$17,647.00

Budgeting for Graduate Students

KEY POINTS FOR BUDGETING PERSONNEL IN ERA
- ERA assumes a Full Time Equivalent when calculating the Institutional Base Salary.
  What this means to us: If we include an individual (by name) who is employed by ASU for only a partial FTE, ERA automatically calculates what that person's full-time salary would be if they were employed by ASU 100% (i.e., 1 FTE) – this full-time salary is listed in the Personnel grid of the budget and is used for calculating salary costs.

- Effort can be entered by either indicating the person-months that the individual will work OR by indicating the % of effort the individual will work over the course of the budget period.

  What this means to us: When budgeting personnel the RA only needs to enter EITHER the number of months that the individual will work OR the percent effort.
  Example: if an individual will work 10% effort during the calendar year and the budget period is 12 months, this is equivalent to 1.2 calendar months. This should not be confused

with the person who will work 1.2 calendar months at 10%, which would be entered as .12 months because the effort is calculated over the entire budget period.

Period	1
From/Thru	3/1/2016 to 2/1/2017
Duration	A9 + S3 = 12
FY	2017
Apply Inflation:	☐
Salary (after inflation):	$45,000.00
Academic Year Percent:	50 %
Summer Percent:	0 %
Calendar Year Percent:	37.5 %
Number of People:	1
Salary Requested:	$16,875.00
ERE Rate:	12.98 %
ERE:	$2,190.00
Tuition Remission:	$15,803.00

- In ERA, 20 hours per week = 50% effort.

   What this means to us: In recent past, if a graduate student was budgeted for 20 hours per week during the academic year, we would list their effort as 100% OR 9 academic months. In ERA, 20 hours per week during the academic year should be entered as EITHER 4.5 AY months OR 50% AY effort.

HOW TO BUDGET FOR NAMED EMPLOYEES

If the graduate student is a current employee of ASU, their salary will automatically pull in from PeopleSoft.

Employee:	Mohammad Ali Abbasi ▼
Role:	Graduate Student
Key:	☐
Intra University Consultant:	☐
PeopleSoft AY Salary:	$0
PeopleSoft Cal Salary:	$19,500
PeopleSoft FTE:	0.5
Institutional Base Salary (Cal, FTE=1.0):	$39,000
Capped Calendar Salary:	$39,000
ERE Staff Type:	RA/TA ▼
Automatic Tuition Remission	☑
Budget Justification:	
Is TBD	☐

Based on Point#1 #1 above (ERA assumes a Full Time Equivalent when calculating the Institutional Base Salary), the listed Calendar year salary for the named graduate student has been automatically doubled because the student's salary in PeopleSoft is for 0.5 FTE.

A graduate student working full time during the Academic Year (20 hours per week) would dedicate 4.5 Academic Months (i.e., 50% AY effort) on this project.

Salary (after inflation):	$39,000.00
Academic Year Percent:	50 %
Summer Percent:	0 %
Calendar Year Percent:	37.5 %
Number of People:	1
Salary Requested:	$14,625.00
ERE Rate:	9.48 %
ERE:	$1,386.00
Tuition Remission:	$15,342.00

OR

Salary (after inflation):	$39,000.00
Academic Year Months:	4.5
Summer Months:	0
Calendar Year Months:	4.5
Number of People:	1
Salary Requested:	$14,625.00
ERE Rate:	9.48 %
ERE:	$1,386.00
Tuition Remission:	$15,342.00

If this same graduate student was going to work an additional 1.5 months (i.e., 50 % summer effort) during the Summer Term (20 hours per week), we do not need to change the summer pay rate (because ERA calculates salary based on 1 FTE).

Salary (after inflation):	$39,000.00
Academic Year Months:	4.5
Summer Months:	1.5
Calendar Year Months:	6
Number of People:	1
Salary Requested:	$19,500.00
ERE Rate:	9.48 %
ERE:	$1,849.00
Tuition Remission:	$16,340.00

OR

Salary (after inflation):	$39,000.00
Academic Year Percent:	50 %
Summer Percent:	50 %
Calendar Year Percent:	50 %
Number of People:	1
Salary Requested:	$19,500.00
ERE Rate:	9.48 %
ERE:	$1,849.00
Tuition Remission:	$16,340.00

Tuition Remission automatically calculates for graduate students. Users can turn off the automatic tuition remission and manually calculate it if desired.

To do manual tuition remission, remove the checkbox from the Automatic Tuition Remission box.

Automatic Tuition Remission	✔

Note – if you are cost sharing an RA/TA then you must use Academic and Summer months in

order to calculate the cost share tuition remission correctly. You will receive an error message if you try to use calendar months.

HOW TO BUDGET FOR TBD EMPLOYEES

If the graduate student is a TBD employee, the RA will need to calculate their salary manually.

USING CALENDAR YEAR SALARY:

If the student's offer letter states they will be paid $18,000 during the calendar year for .5 FTE.

To determine the annual salary:

1. Take their annual salary and multiply it by 2 to calculate the Institutional Base Salary. $18,000 X 2 = $36,000.
2. Input $36,000 as the Institutional Base Salary.

Employee:	Graduate Student TBD01 ✓	Salary (after inflation):	$36,000.00
People Soft Data:	AY=$0 Cal=$0 FTE=1.00	Academic Year Months:	4.5
Institutional Base Salary (Cal, FTE=1.0):	$ 36000	Summer Months:	1.5
Capped Calendar Salary:	$36,000.00	Calendar Year Months:	6
ERE Staff Type:	RA/TA ✓	Number of People:	1
Automatic Tuition Remission	☑	Salary Requested:	$18,000.00
Budget Justification:		ERE Rate:	7.93 %
		ERE:	$1,427.00
		Tuition Remission:	$16,340.00

USING ACADEMIC YEAR SALARY

If the student's offer letter states they will be paid $18,000 during the academic year for .5 FTE. To determine the annual salary:

1. Take their academic salary and multiply it by 2. $18,000 X 2 = $36,000.
2. Take the Full Time Equivalent academic salary and divide it by the total number of academic year months. $36,000 ÷ 9 = $4,000.
3. Take the academic monthly pay rate and multiply that by the total number of the calendar year months. $4,000 × 12 = $48,000.
4. Input $48,000 as their Institutional Base Salary.

Employee:	Graduate Student TBD01 ✓	Salary (after inflation):	$48,000.00
People Soft Data:	AY=$0 Cal=$0 FTE=1.00	Academic Year Months:	4.5
Institutional Base Salary (Cal, FTE=1.0):	$ 48000	Summer Months:	1.5
Capped Calendar Salary:	$48,000.00	Calendar Year Months:	6
ERE Staff Type:	RA/TA ✓	Number of People:	1
Automatic Tuition Remission	☑	Salary Requested:	$24,000.00
Budget Justification:		ERE Rate:	7.93 %
		ERE:	$1,903.00
		Tuition Remission:	$16,340.00

If the student's offer letter states they will be paid $9,000 during the academic year for .25 FTE, below are the steps to determine their annual salary.

To determine the annual salary:

1. Take their academic year salary and multiply it by the appropriate number to get 1 Full Time Equivalent. $9,000 × 4 = $36,000.
2. Take the Full Time Equivalent academic salary and divide it by the total number of academic year months. $36,000 ÷ 9 = $4,000.
3. Take the academic monthly pay rate and multiply that by the total number of the calendar year months. $4,000 × 12 = $48,000
4. Input $48,000 as their Institutional Base Salary.

Employee:	Graduate Student TBD01 ▼	Salary (after inflation): $48,000.00
People Soft Data:	AY=$0 Cal=$0 FTE=1.00	Academic Year Percent: 25 %
Institutional Base Salary (Cal, FTE=1.0):	$ 48000	Summer Percent: 0 %
Capped Calendar Salary:	$48,000.00	Calendar Year Percent: 18.75 %
ERE Staff Type:	RA/TA ▼	Number of People: 1
Automatic Tuition Remission	✔	Salary Requested: $9,000.00
Budget Justification:		ERE Rate: 7.93 %
		ERE: $714.00
		Tuition Remission: $7,671.00

Total Salary:	$14,863.00
Total ERE:	$2,954.00
Total Tuition Rem:	$7,671.00
Total Personnel:	$25,488.00

USING THE MULTIPLIER "NUMBER OF PEOPLE" FUNCTION

With TBD employees RAs will have the ability to use a multiplier when budgeting. This should be used if the TBD employees will be paid the same dollar amount and have the same amount of time on the project.

If the above criteria are not met, RAs should add a new row to budget for the additional TBD employees.

Add 1 ▼ row: Add

BEST PRACTICES

Due to the Affordable Care Act (ACA), Graduate Students cannot exceed a rolling average of 25 hours per week during a year.

The number of months requested on the 424 should not differ from the number of months requested within the ERA system.

If you are listing the base salary for the graduate students, you should refer to it as the "annualized full-time equivalent salary."

Budget Justification Example: One TBD Graduate student will be hired full time over 9 academic months at 20 hours per week (FTE 4.5 months) and will work half time over the 3 month summer term (1.5 Summer months at 20 hours per week). The annualized full-time equivalent salary for the Graduate student is $36,000.

3.1 Human Subjects Costs

To add Human Subjects Costs:
- Select the appropriate procedure.
- Input the number of procedures per patient along with the number of human subjects.

Human Subjects Costs

Inf Rate:	3	%
Apply Per 1 Inf:		☐

	Period 1	Period 2
Direct F&A Base:	$107,886.00	$75,828.00
Direct Non-F&A Base:	$175,500.00	$226,125.00
Total Direct:	$283,386.00	$301,953.00
F&A:	$58,798.00	$41,326.00
Total Costs:	$342,184.00	$343,279.00

Add [1 ▼] row: [Add]

Period	1	2
Start:	12/1/2015	12/1/2016
End	11/30/2016	11/30/2017

1

Procedure:	Human Subject Pay ▼
Description:	Hu [None] / **Human Subject Pay** / Medical Services
Unit Cost:	$ 10
Apply Inflation:	☐
Apply F&A:	☑
Budget Justification:	

Proc/Pat:	5	10
# Human Subjects:	10	1
w/Inf:	$10.00	$10.00
Total:	$500.00	$100.00

Total Human Subject Cost:	$500.00	$100.00

3.2 Travel Costs

Select the type of Travel budget you want to generate.

Travel Costs

Add [1 ▼] [Summary ▼] row: [Add]
Detail
Summary

Participant

- Per Diem and Lodging rates are populated from the State of Arizona, and US Department of State approved rates listed by the destination city/state entered.
- Mileage is based on the current approved State of Arizona rate.
- Exception: If a city has multiple rates, the highest rate will be used.
- For travel to a TBD, destination enter TBD in the Other Destination line and the total cost on the Misc. Cost Per Person.
  - If the TBD destination is foreign, check the appropriate box.
  - Alternatively, you can use the Summary Travel Budget for a TBD destination.

Apply F&A:	☑
Purpose of Trip:	
Departure City:	
Destination State/Country:	[ ] Find Clear
Destination City:	
Other Destination (if not found above):	TBD Foreign
Foreign:	☑
In State:	☐
Airfare	$0
Lodging - # Nights/Person	0
Lodging - Rate/Night	$0
Per Diem - # of Full Days	0
Meals Per Diem Rate:	$0

- The People Based Costs will auto-populate according to the number of people entered (based on the information entered in the left hand column).
- Non-People Based Costs will not be impacted by the number of people entered.
- If you have selected XDC as the base, ensure the Apply F&A box is checked/unchecked.
- Use the blue push through arrow when the number of people do not change for trips in the out years.

Travel Costs

	Period 1	Period 2
Inflation Rate 3 %		
Apply Inflation First Period: ☐		
Direct F&A Base:	$108,336.00	$75,918.00
Direct Non-F&A Base:	$175,500.00	$226,125.00
Total Direct:	$283,836.00	$302,043.00
F&A:	$59,043.00	$41,375.00
Total Costs:	$342,879.00	$343,418.00

Add [1 ▼] [Detail ▼] row: Add

Period		1
Start:		12/1/2015
End:		11/30/2016

1				
Participant:		☐	**Number of People:**	1
Apply F&A:		☑	**People Based Costs:**	
Purpose of Trip:			**Airfare:**	$0.00
Departure City:			**Lodging:**	$0.00
Destination State/Country	SOUTH AFRICA	... X	**Meals Per Diem:**	$0.00
Destination City:	State or Country City	ar	**Ground Transportation:**	$0.00
Other Destination (if not found above):	SOUTH AFRICA Johannesburg		**Registration Fees:**	$0.00
Foreign:	SOUTH AFRICA Durban		**Miscellaneous:**	$0.00
In State:	SOUTH AFRICA Bloemfontein		**Non-People Based Costs:**	
Airfare	SOUTH AFRICA [Other]		**Personal Vehicle Miles:**	0
Lodging - # Nights/Person	SOUTH AFRICA Pretoria		**Personal Vehicle Costs:**	$0.00
Lodging - Rate/Night	SOUTH AFRICA Sun City		**Rental Car Costs:**	$ 0
Per Diem - # of Full Days	SOUTH AFRICA Cape Town		**Miscellaneous**	$ 0
Meals Per Diem Rate:			**Total Costs:**	$0.00
Ground Transportation	$ 0			
Registration Fee:	$ 0			
Misc Costs Per Person:	$ 0			
Personal Vehicle Mileage Rate:	$ 0			
Budget Justification:				
Expenditure Description (populated on page save):	AIRFARE TO/FR FOREIGN COUNTRY			
			Total Travel:	$3,500.00

Summary Travel Budget

- If the destination state/country is known to to list them; otherwise type TBD in the Other Destination box.
- To be able to select Foreign or In State, you will need to type TBD in the Other Destination box.
  - Failing to type TBD and selecting Foreign could impact how the budget maps to the SF 424 if the proposal is submitted S2S (System to System).

Travel Costs

	Period 1	Period 2
Inflation Rate 3 %		
Apply Inflation First Period: ☐		
Direct F&A Base:	$98,279.00	$65,846.00
Direct Non-F&A Base:	$245,625.00	$280,375.00
Total Direct:	$343,904.00	$346,221.00
F&A:	$53,562.00	$35,886.00
Total Costs:	$397,466.00	$382,107.00

Add [1 ▼] [Summary ▼] row: [Add]

Period 1
Start: 12/1/2015
End: 11/30/2016

2			
Participant:		☐	**Cost Per Year:** $ 5000
Apply F&A:		☑	
Purpose of Trip:			
Departure City:			
Destination State/Country:	[...] X		
Destination City: **Other Destination (if not found above):**			
Foreign:		☐	
In State:		☐	
Budget Justification:			
Expenditure Description (populated on page save):	O/S AIRFARE		

Total Travel: $6,103.00

Animal Costs

There are two Animal budget grids:
1. **Animal Ordering Costs**
2. **Animal Maintenance Costs**

Alternatively, if the PI does not know the type of animals they will use, but need a set dollar amount in animal costs, this can be budgeted on the Other Direct Costs grid.

3.3 Animal Ordering Costs

- The cost will auto-populate based on the species selected. If pricing differs, the cost can be adjusted.
- Input the shipping cost per order (the supplier may provide this, otherwise use an estimated cost).
- The surcharge is 15% of the purchase and shipping cost, per DACT.

Animal Ordering Costs

	Period 1	P
Inf Rate: 3 %		
Apply Per 1 Inf: ☐		
Direct F&A Base:	$83,840.00	$51,
Direct Non-F&A Base:	$190,842.00	$243,
Total Direct:	$274,682.00	$295,
F&A:	$45,693.00	$28,
Total Costs:	$320,375.00	$323,

Add [1 ▼] row: [Add]

Period 1
Start: 12/1/2015
End: 11/30/2016

1				
Animal:	Fish - Zebra Fish Zebra [...] X	**# Animals:**	10	
Desc:		**# Orders**	5	
Unit Cost (shipping etc included):	$ 0.3	**Cost w/Inf:**	$15.00	
Surcharge	15 %	**Surcharge w/Inf**	$2.00	
Apply Inflation:	☐	**Cost:**	$17.00	
Apply F&A:	☑			

Total Animal Ordering: $17.00

3.4 Animal Maintenance Costs

- The cost will auto-populate based on Animal Cost Center or Service selected. If pricing differs, the cost can be adjusted.

Animal Maintenance Costs

	Period 1	Period 2
Inf Rate: 3 %		
Apply Per 1 Inf: ☐		
Direct F&A Base:	$103,733.00	$74,783.00
Direct Non-F&A Base:	$175,500.00	$226,125.00
Total Direct:	$279,233.00	$300,908.00
F&A:	$56,534.00	$40,757.00
Total Costs:	$335,767.00	$341,665.00

Add 1 ▼ | Animal Maintenance ▼ | row: Add

		Period	1	2
		Start:	12/1/2015	12/1/2016
		End:	11/30/2016	11/30/2017

1	Animal Cost Center: Fish – Raceway ... X	# Animals:	10	10
	Desc:	w/Inf:	$3.19	$3.19
	Cage Cost per Day: $3.19	Cages Needed:	5	5
	Days per Animal: 10	Cost:	$160.00	$160.00
	Number Animals Per Cage: 2 ▼			
	Apply Inflation: ☐			
	Apply F&A: ☑			

2	Service: Veterinary Technician time ▼	Number of Units:	5	5
	Desc:	w/Inf:	$30.00	$30.00
	Notes:	Cost	$150.00	$150.00
	Units Description: Hour			
	Cost: $30.00			
	Apply Inflation: ☐			
	Apply F&A: ☑			

		Total Animal Maintenance:	$310.00	$310.00

3.5 Participant Support/Trainee Costs

To add Participant Support/Trainee Costs, select the appropriate role per the drop down selection as shown here:
Be sure to select the Participant role when budgeting for Participant Support costs. The Trainee roles (Trainee Undergrad, PostDoc, PreDoc) are only used for Training Grants. Selecting the incorrect role may result in F&A being charged to the proposal.

Participant Support / Trainee Costs

Inf Rate:	3 %		Period 1	Period 2
Apply Per 1 Inf:	☐			
Direct F&A Base:			$98,131.00	$65,698.00
Direct Non-F&A Base:			$245,625.00	$280,375.00
Total Direct:			$343,756.00	$346,073.00
F&A:			$53,481.00	$35,805.00
Total Costs:			$397,237.00	$381,878.00

Add [1 ▼] row: [Add]

Period	1	2
Start:	12/1/2015	12/1/2016
End:	11/30/2016	11/30/2017

1	Role:	Participant ▼	# Participants/Trainees:	10	35
	Tuition/Fees/Ins:	$100	Tuition/Fees/Ins:	$1,000.00	$3,500.00
	Stipends:	$100	Stipends:	$1,000.00	$3,500.00
	Subsistence:	$50	Subsistence:	$500.00	$1,750.00
	Travel:	$150	Travel:	$1,500.00	$5,250.00
	Other:	$25	Other:	$250.00	$875.00
			Other Desc:		
	Total:	$425.00	Total:	$4,250.00	$14,875.00
	Apply Inflation:	☐			
			Total Trainee:	$4,250.00	$14,875.00

3.6 Other Direct Costs

Select the Cost Type you would like to include. See the example below for Materials and Supplies for different ways to input the budget details.

Filter by [Expenditure Code ▼] [   ] [Go] [Clear] Advanced

1-25 of 26

Expenditure Code	Description	CAS Exception
○ 731031	ADP/Computer Services	no
○ 788006	Alterations & Renovations	no
○ 732077	Animal Costs	no
○ 781099	Capital Equipment	no
○ 732504	Cell Phones	yes
○ 731080	Centralized IT Computing Services	yes
○ 732048	Computer Software	yes
○ 732501	Computers	yes

- Use the blue push through arrow when the number of units do not change in the out years.

Other Direct Costs

		Period 1	Period 2
Inf Rate:	3 %		
Apply Per 1 Inf:	☐		
Direct F&A Base:		$97,756.00	$65,323.00
Direct Non-F&A Base:		$175,500.00	$226,125.00
Total Direct:		$273,256.00	$291,448.00
F&A:		$53,277.00	$35,601.00
Total Costs:		$326,533.00	$327,049.00

	Add 1 ⌄ row: Add		**Period**	1	2
			Start:	12/1/2015	12/1/2016
			End:	11/30/2016	11/30/2017
1	**Cost Type:** Computer Software ... X		**# Units:**	1	15
	Desc: Deluxe version of Survey Monkey software.		**UC w/Inf:**	$5,000.00	$5,000.00
			Cost:	$5,000.00	$75,000.00
	Unit Cost: $ 5000				
	Apply Inflation: ☐				
	Apply F&A: ☑				
	Budget Justification:				
	This cost type requires a CAS exception.				
2	**Cost Type:** Materials & Lab Supplie ... X		**# Units:**	10	0
	Desc: Pipettes, box of 100		**UC w/Inf:**	$25.00	$25.00
			Cost:	$250.00	$0.00
	Unit Cost: $ 25				
	Apply Inflation: ☐				
	Apply F&A: ☑				
	Budget Justification:				
			Total Other Direct Costs:	$5,250.00	$75,000.00

- SmartForm 2.1 Special Reviews has been automatically updated on the funding proposal (as shown below) since we have cost sharing and CAS exceptions on this budget.
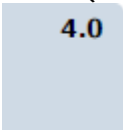
4.0 **Financial Reviews (read only):**
Cost Sharing or Matching Funds: Yes
CAS Exception: No

License and Patent Costs (IP Consideration Costs)

The information below applies only to circumstances where IP Considerations are to be included in the budget.
If a sponsor indicates interest in a licensing arrangement or other Intellectual Property (IP) consideration, please contact the Office of Industry and Corporate Relations (OIRC) at industryagreements@asu.edu immediately for guidance. Do not budget funds for this purpose without first consulting with OIRC.

- On BU 1.2 F&A Rate Determination, input the current applicable rate from the F&A wizard in question 8 requested rate and select the base as XDC for the requested base.
- On BU 3.6 Other Direct Costs, add one row and select Miscellaneous as the cost type. In the description state "Technology Administration Fee."
- IP costs are excluded from F&A, uncheck the Apply F&A button.

In the example below, $10,130 has been budgeted for IP consideration. In year 2, $10,505 has been budgeted for Technology Administration Fee. Please note this is for illustration purposes only. To determine the correct Technology Administration Fee, follow these instructions.

Cost Type:	Miscellaneous	...	X	# Units:	10130	10505	Total # Items:	20635
Desc:	Technology Administ			UC w/Inf:	$1.00	$1.00	Total:	$20,635.00
				Cost:	$10,130.00	$10,505.00		
Unit Cost:	$1							
Apply Inflation:	☐							
Apply F&A:	☐							
Budget Justification:								

IRB Fees

IRB fees should be budgeted using the Other Direct Costs grid as "Other Services." In the description, list the IRB Fees. For additional information, please visit https://researchintegrity.asu.edu/human-subjects/special-considerations.

Danger Pay

Calculate Danger Pay outside of ERA (see Other Direct Costs, Danger Pay for instructions). Add a row and select Other Services as the cost type. In the description, state "Danger Pay."

4.0 Subaward-Subcontractor Sites

There are three steps to adding a subaward to your proposal.

1. On the Funding Proposal SmartForm 1.1.1 in Question 2 add the individual(s) from that organization.

2.0	Identify all non-ASU external collaborators who will participate in this project:
	Add
	First Name	Last Name	Key / Other Significant	Role	Biosketch	Organization	
	Update	Sheldon	Cooper	yes	Co-Investigator	Sheldon Cooper.pdf(0.01)	California Institute of Technology	Delete

2. Next, on Funding Proposal SmartForm 2.0.1 Budget Characteristics, select 'yes' to indicate the Budget will include a Subaward/Subcontract to another institution.

Budget Characteristics

| 1.0 | * Will this budget Subaward/Subcontract to another institution?
  ⦿ Yes ○ No Clear |

3. Lastly, on Budgets SmartForm 4.0 Subaward-Subcontract Sites, add the institutions that the individuals added on 1.1.1 work at:

Subaward-Subcontractor Sites

| 1.0 | Please identify the organizations that will be participating in the grant Subaward/Subcontract:
  California Institute   Add
  ⊟ Organization   Type
  California Institute of Technology   Sponsor |
| 2.0 | **California Institute** of the Arts (CalArts)   Sponsor |

- The easiest way to access the Subaward budget(s) is from the Proposal WorkSpace:

PROPOSAL INFORMATION

Sponsor PI/Fellow:	Soe Myint -
Internal PI:	Soe Myint -
Lead Financial Unit:	E0101 Knowledge Enterprise Development, Office of (OKED)
RA Contact:	Richard Szpara 480/965-4225
GCO Reviewer:	
GCO Agreement Reviewer:	
GCO Submitter:	
Sponsor:	NIH: National Institutes of Health
Prime Sponsor:	
Sponsor Submission Due Date:	6/5/2015 5:00 PM
ORSPA Submission Deadline:	6/2/2015
Date Submitted to Sponsor:	
Sponsor Proposal PDF Bundle:	
Full funding announcement:	
Full funding announcement link:	www

PROPOSED BUDGET INFORMATION

Project Start Date:	
Project End Date:	
Total Direct:	
Total F&A:	
Total Sponsor Budget:	
Total Cost Share Budget:	
Most Recent Budget Export:	

Department Reviews are Incomplete

Budgets

Name	SmartForm	Execute Activity	Date Modified
NIH: National Institutes of Health	[Edit]⊡	Activity...⊡	3/24/2015 2:38 PM
Cost Sharing for NIH: National Institutes of Health	[Edit]⊡	Activity...⊡	3/24/2015 2:14 PM

Subawards/Subcontracts

Name	SmartForm	Execute Activity	Date Modified
Subaward/Subcontract to Phoenix Children's Hospital for NIH: National Institutes of Health	[Edit]⊡	Activity...⊡	3/23/2015 2:1⋮
Subaward/Subcontract to California Institute of Technology for NIH: National Institutes of Health	[Edit]⊡	Activity...⊡	3/23/2015 2:1⋮

424

METHOD OF SUBAWARD BUDGET ENTRY
Question 4.0 of SmartForm 1.0 Sub-Award/Contract Information provides you with two choices of inputting the subawards budget.
1. The SF424 Subaward Import.
- If you select this option, the subaward will need to complete the Subaward Research & Related Budget PDF Form.
- Important Facts:
  - ERA only supports the Forms B version of the Subaward Research & Related Budget form.
  - When the subaward send the files back, it must be editable. Otherwise, ERA will not be able to import the data.
  - This subaward import method will work only for federal sponsors on those FOAs that allow a subaward.
  - The DUNS number on the 424 forms must match the DUNS number populated on Question 1.0 SmartForm SF424 Sub-Award Import. Contact Research Analytics if these differ.
2. Per Period, Budget Category Totals.
- All sponsor documents such as the budget, budget justification, statement of work and subrecipient agreement should be uploaded to the attachments section for that subaward.

Question 5.0 Attachments for Internal Purposes SmartForm allows you to upload internal documents related to the subawards. E.g., the subrecipient commitment form or other documents provided by the subawards.

5.0 Attachments

This SmartForm allows you to upload internal review documents related to the budget such as:
- Print screen of Expedia airfare estimates.

- Limited F&A rate policy per sponsor.
- Research team specifics regarding budget items.
- Budget spreadsheets, protocols, and contracts.

NIH Modular Budgets

If you are creating an NIH Modular Budget in ERA, answer **yes** to **Question 4** under **1.0 General Budget Information.**

* Is this a modular budget? (NIH only):
⦿ Yes ○ No Clear

Sponsor Budget Detail Level:
| Full Details ▼ |

NIH Modular budgets are built in increments of $25,000. ERA has a feature which shows the difference between the total budgeted costs and the next module. This feature is called Modular Offset.

Example

In Year 2 below, the Total budgeted Direct Costs were $25,476. ERA automatically calculated the difference between $25,476 and the next module - $50,000: i.e., $24,524. RAs must then determine if the $50,000 module will be used or if it would be more appropriate to reduce to the lower module of $25,000. As a general rule, budgeted direct costs should be rounded to the nearest module (up or down, as appropriate).

Total Budgeted Direct Costs
$25,476

Next Module
$50,000

Requested Modules
$50,000

Requested Modules
$25,000

Increase Budget Direct Costs by
$25, 524

Reduce Budgeted Direct Costs by
$476
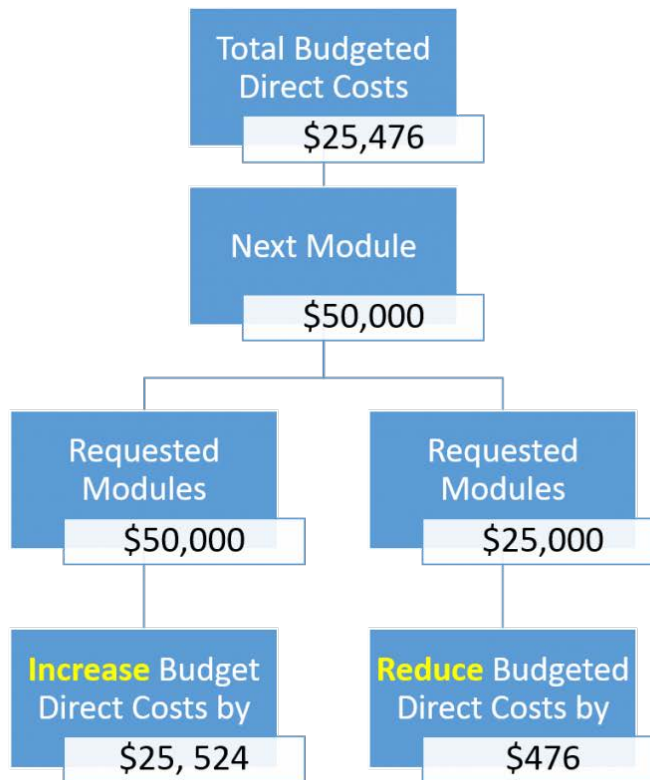
	Period 1	Period 2	Period 3	Projects Totals
Direct F&A Base:	$25,000	$50,000	$25,000	$100,000
Direct Non-F&A Base:	$0	$0	$0	$0
Modular Offset:	$3	$24,524	$130	$24,657
Total Direct:	$25,000	$50,000	$25,000	$100,000
F&A:	$13,625	$27,250	$13,625	$54,500
Total Costs:	$38,625	$77,250	$38,625	$154,500

MODULAR BUDGETS IN ERA: FAQS

Q: When running the Create/Update SF 424 activity in ERA, the modular budget doesn't appear; why is this?

A: This is most often caused by missing one of the following steps. First, make sure yes is selected for the question "Is this a modular budget" in subsection 4.0 of section 1.0 of the budget module. Secondly, make sure PHS 398 Modular Budget V1.2 is selected when creating/updating the 424. If any one of these steps is missed, ERA will not generate a modular budget in the 424.

Q: ERA is calculating a modular offset, what should be done.

A: When possible, either reduce or increase direct costs so that the modular offset is as close to zero as possible.

Q: Why should modular offsets be budgeted as direct costs; can't I just keep in the modular offset?

A: Budgeting for direct costs allows for better management of the funds during the project duration. By budgeting these costs, you are creating a budgetary map with amounts allocated to cost codes for the project's PI/PM to follow. The magnitude of an offset is also an indicator of whether the scope of work is in agreement with the budget. For example, a project that realistically should only cost $26k would have a $24k offset (the modular offsets in ERA always go UP to the next module); the requested amount would reflect a budget almost double the appropriate cost for the scope of work being presented to the sponsor. In other words, it may look odd to reviewers.

GENERAL TIPS AND TRICKS

- The best budget summary to look at in ERA to determine how close the budget is to the $250K direct cost limit is on the Grids Summary Cost tab. Just subtract the Subcontractor F&A amount from the Total Direct F&A Base to determine total direct costs minus consortium F&A costs.
- When preparing an S2S submission, if some forms are not generated after running the Create/Update 424 activity, these forms can be manually added by selecting them in the Select Optional Forms section of the 424 modules.
- If submitting via S2S, select the Hide/Show Errors option within the 424 Module. This will allow one to review and correct errors in advance, which will help reduce errors in submissions.

Cost Sharing

This budget is separate from the primary sponsor budget and is only to be used for Cost Sharing. With the exception of personnel costs all items that will be cost shared are budgeted here.

- On 2.0.2 Budget Characteristics, select the items that will be cost shared to generate the appropriate budget grids.

- The easiest way to access the Cost Share Budget is from the Proposal Workspace (shown below):

| Project Information | Dept Review Info | Grids Summary Costs | ASU Financials | Dept Reviewers | Sponsor Budget Summary | Contact Info |

PROPOSAL INFORMATION

Sponsor PI/Fellow:	Soe Myint -
Internal PI:	Soe Myint -
Lead Financial Unit:	E0101 Knowledge Enterprise Development, Office of (OKED)
RA Contact:	Richard Szpara 480/965-4225
GCO Reviewer:	
GCO Agreement Reviewer:	
GCO Submitter:	
Sponsor:	NIH: National Institutes of Health
Prime Sponsor:	
Sponsor Submission Due Date:	6/5/2015 5:00 PM
ORSPA Submission Deadline:	6/2/2015
Date Submitted to Sponsor:	
Sponsor Proposal PDF Bundle:	
Full funding announcement:	
Full funding announcement link:	www

PROPOSED BUDGET INFORMATION

Project Start Date:	
Project End Date:	
Total Direct:	
Total F&A:	
Total Sponsor Budget:	
Total Cost Share Budget:	
Most Recent Budget Export:	

Department Reviews are Incomplete

Budgets

Name	SmartForm	Execute Activity	Date Modified
NIH: National Institutes of Health	[Edit] ⊡	Activity... ⊡	3/24/2015 2:38 PM
Cost Sharing for NIH: National Institutes of Health	[Edit] ⊡	Activity... ⊡	3/24/2015 2:14 PM

Subawards/Subcontracts

Name	SmartForm	Execute Activity	Date Modified
Subaward/Subcontract to Phoenix Children's Hospital for NIH: National Institutes of Health	[Edit] ⊡	Activity... ⊡	3/23/2015 2:1:
Subaward/Subcontract to California Institute of Technology for NIH: National Institutes of Health	[Edit] ⊡	Activity... ⊡	3/23/2015 2:1:

424

3.0.1 Personnel Costs - Cost Sharing

The Cost Sharing grid looks as follows:

Personnel Costs - Cost Sharing		Period Start: End:	1 8/21/2014 8/20/2015
Employee:	Co-PD/PI TBD11	Per Person Amounts	
Role:	Co-PD/PI	Salary base after inflation:	$95,000
Key:	☐	Sponsor % of salary:	25%
ERE Staff Type:	Faculty	Cost Share % of salary:	5%
FTE:	1	Cost share salary:	$4,750
		ERE Rate:	29.66%
		ERE:	$1,409
		Tuition Remission:	$0
		Number of People:	1
		Total Salary:	$4,750
		Total ERE:	$1,409
		Total Tuition Remission:	$0

3.7 Cost Sharing Allocations

- Question 2 provides a summary of the direct costs to be cost shared, F&A, total cost sharing, F&A rate used and any unrecovered F&A.

2.0

Current All-Period Totals	10/1/2014 to 9/30/2015 Period 1	10/1/2015 to 9/30/2016 Period 2	Total
Salaries & ERE:	$10,963	$11,393	$22,356
Tuition Remission:	$0	$0	$0
Other Direct Costs:	$0	$0	$0
Travel:	$0	$0	$0
Participant Support:	$0	$0	$0
Materials & Supplies:	$0	$0	$0
Total Direct Costs With No F&A Applied:	$0	$0	$0
Total Direct Costs With F&A Applied:	$10,963	$11,393	$22,356
Total Direct Costs:	$10,963	$11,393	$22,356
F&A:	$5,975	$6,209	$12,184
Total Cost Sharing:	$16,938	$17,602	$34,540
Fiscal Year:	2015	2016	
F&A Rate Type:	MTDC	MTDC	
F&A Rate %:	54.5%	54.5%	
Full Federal F&A Rate Type:	MTDC	MTDC	
Full Federal F&A Rate %:	54.5%	54.5%	
Unrecovered F&A:	$0	$0	$0

- **Question 3** - Assign the departments that will contribute to the cost sharing.
- This includes in-kind cost sharing (salaries, wages).
- A department/unit/center added here will have a workflow created for them to approve/reject the cost sharing.
- **Question 4** - Enter any third party cost sharing (in-kind or cash contributions).
- The amount of money allocated on Question 3 and 4 must equal the direct costs being cost shared.
- **Question 5.0** - Attachments for Internal Purposes - This SmartForm allows you to upload internal documents related to the cost share. E.g., emails from units agreeing to cost share a specific percentage, etc.

3.0 Enter ASU Department/Unit/Center Cost Sharing allocation:

Add

	ASU Department	Department ID	Type	Direct
Update	OKED - Research Operations	E0501	Salaries & ERE	$45,000.00
Update	Geographical Sciences and Urban Planning, School of	B1707	Salaries & ERE	$538.00

Total ASU C/S Allocation: $45,538.00

4.0 Enter third party Cost Sharing Information:

Add

Third Party Organization	In Kind Description	In Kind Costs
There are no items to display		

Total In Kind Costs: $0.00

Total Third Party Cash: $0.00

5.0 ASU direct costs: $45,538.00

ASU departments: $45,538.00
Third party cash: $0.00
Total allocations: $45,538.00
Remainder to Allocate: $0.00
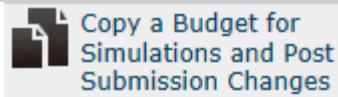
Copy a Budget for Simulations and Post-Submission Changes
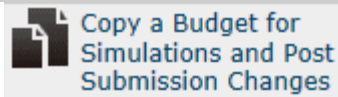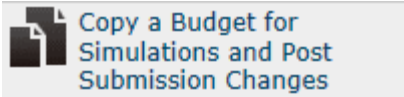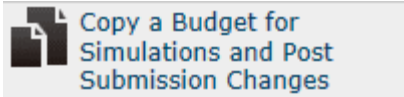
From the Budget Workspace, the activity allows users to duplicate the Current Sponsor Budget and all associated Budgets (i.e., Cost Sharing and Subawards). Users can create multiple scenario budgets for faculty without compromising the integrity of the Current Sponsor Budget.

The Current Sponsor Budget is the budget that will be submitted to the sponsor.

See the guidance below for Creating a Revised / Simulation Budgetn budgets prior to submission of the proposal and creating a simulation budget for Creating a Post-Submission Changes Budget.

WHEN SHOULD THE COPY A BUDGET FOR SIMULATIONS AND POST SUBMISSION CHANGES BE USED?

Should use	Should NOT use
Copy a Budget for Simulations and Post Submission Changes	Copy a Budget for Simulations and Post Submission Changes
The PI is requesting a budget to compare to the current budget.	The PI is requesting a change to the existing budget and doesn't need a comparison budget. E.g. Increase his/her time, add/remove travel, etc.
The PI has requested a specific scenario budget but is unsure if he/she will use it.	The budget in ERA doesn't match what was submitted to the sponsor.
The sponsor has requested a revised budget. See Creating a Post-Submission Changes Budget.	
The sponsor has awarded the proposal, but it is less than what was proposed. See Creating a Post-Submission Changes Budget.	

Creating a Revised / Simulation Budget

Prior to submitting a proposal, a faculty member may want to see multiple variations of the budget.

The activity will copy all of the budget information of the Current Sponsor Budget and any associated budgets, if present (i.e., Cost Sharing and Subawards).

When creating a revised/simulation budget, users must provide a name for the new budget. It is recommended that users name the revised/simulation budget something that makes sense to them and other users. If the PI has requested a budget with a post-doc added, users may want to name the revised/simulation budget "Scenario 1 Post Doc".

This will make a copy of the current budget. The new budget will appear in the Funding Proposal Workspace for FP00006802

Current Budget: BU00008622 Honeywell

* New Budget Name:
Scenario 3 Post Doc ✕

After a revised/simulation budget has been created, it will display underneath the section titled "Current, Simulation, Proposed Change, Archived, and Submitted Budgets."

Current, Simulation, Proposed Change, Archived and Submitted Budgets			
Name	SmartForm	Execute Activity	Date Mod
Scenario 1	[Edit]	Activity...	7/19/201
Scenario 2	[Edit]	Activity...	7/20/201
Scenario 3 Post Doc	[Edit]	Activity...	7/20/201

A banner message will display in the upper left corner of the Budget Workspace informing users of the the budget type. The budget types are Current Sponsor Budget; Proposed Changed, Submitted Budget, and Archived Budget. Users will want to be aware of the budget they are working to avoid changing the wrong budget.

Proposed Change

After locating the correct Budget to change, RAs will want to follow the guidance found under Creating a Post-Submission Changes Budget to access and change that budget.

If the PI chooses to use a revised/simulation budget, the RA will need to run the activity **Make Current Budget** to make this budget the Current Sponsor Budget. Once a revised/simulation budget has been made the Current Sponsor Budget, the previous Current Sponsor Budget will be archived. Users should not edit an Archived Budget as it cannot be made the Current Sponsor Budget. If a PI decides to use an Archived budget for submission, users will need to make changes on the Current Sponsor budget to match the Archived budget. Users can view all of the budgets in the "Current, Simulation, Proposed Change, Archived, and Submitted Budgets" section.

If the proposal is being submitted System-to-System and the SF424 has already been created, RAs will need to re-create the SF424 by running the activity **Create-Update SF424** to ensure the most recent Current Sponsor Budget has mapped to the SF424.
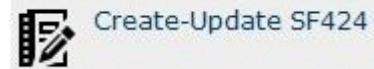
If the PI chooses not to use a revised/simulation budget, the RA may want to delete a revised/simulation budget to limit the number of budgets on the workspace. RAs will want to run the activity **Delete Budget** to delete the revised/simulation budget.
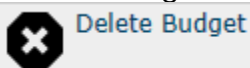
The Current Sponsor Budget and Submitted Budget cannot be deleted.

Export Budget to Excel

The tutorial to export your ERA Budget to Excel can be found here: https://researchadmin.asu.edu/videos/export-era-budget-to-excel.

Generate Budget Justification
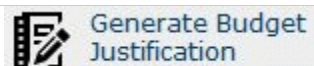
From the Budget Workspace, the activity **Generate Budget Justification** will be available and allows users to generate a budget justification template* built from information within the ERA Budget.

The template will be in Word and have 1 inch margins, Times New Roman font, and size 11 font. Users can manually adjust the margins, font or font size to their specific needs in Word after generating the template.

This is given to the PI to use as their starting point for the budget justification for their proposal. The PI will need to add the details on each named persons' scope of work, details on what each of the items requested will be used for, and why they are necessary for the project.
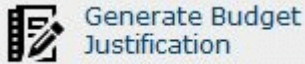
The activity utilizes the following logic:

- If no costs have been budgeted in a grid/smartform, then that section will not appear in the generated budget justification template. E.g. No travel costs are budgeted, there will be no travel section, concur fee or per diem/lodging language included in the template.
- ERE and Tuition tables populate based on the Fiscal Years in the budget.
- If costs are budgeted in a grid/smartform, but no justification is entered, only the header for that grid/smartform will generate in the template. E.g., Human subject costs are budgeted, but no justification is entered, only the header Human Subjects will appear in the template.

Benefits of using the ERA justification are:

- Includes the standard ASU language for salary escalation, employee related expenses, travel, concur fee and F&A.
- If employee related expenses or tuition are included on the budget, tables will be populated covering all years of the proposal.

While building the budget in ERA, users will want to enter as many accurate descriptions into the "Budget Justification" text boxes for each budgeted cost as possible.

Once the budget and Budget Justification fields are complete, from the Budget Workspace, the user will run the activity .
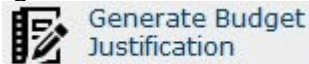
The template defaults to ERA Budget Justification Template. Users will select Generate; this will generate a link to the Budget Justification underneath the dropdown.

Click on the link to your Budget Justification, which will open a Word document. Working with the PI, make any manual changes that are needed to the document. The template includes high-level categories and information and will require additional review, information, and changes by the RA.

Once finalized, upload the Budget Justification to FP 8.X Research Plan Attachments to the appropriate question.

*This template is based on budget information entered in the ERA system. The order in which costs are outlined and the terminology used in headers, subheaders, and standard language may need to be altered to bring the final document in line with sponsor guidelines. This template does not replace the need to review and follow the Funding Opportunity Announcement (FOA), sponsor guidelines, and/or proposal instructions.

When Cost Escalations (including ERE and Tuition) Are Not Permitted

1.1 Budget Periods: Navigate to 1.1 of the budget module and make sure that the personnel inflation is unchecked.

		Duration (Months)	AY (Months)	Summer (Months)	Target Direct $	Target Indirect $	Apply Personnel Inflation	Start	Calculated End Date
Date Project Starts	1/1/2018								
Date Project Ends	12/31/2020								
Project Length (Years)	3								

Add 1 ∨ row: Add

			Duration (Months)	AY (Months)	Summer (Months)	Target Direct $	Target Indirect $	Apply Personnel Inflation	Start	Calculated End Date
1	Period Number	1	12	9	3	$0	$0	☐	1/1/2018	12/31/2018
	Period Name	Period 1								
2	Period Number	2	12	9	3	$0	$0	☐	1/1/2019	12/31/2019
	Period Name	Period 2								
3	Period Number	3	12	9	3	$0	$0	☐	1/1/2020	12/31/2020
	Period Name	Period 3								

1.2 F&A Rate Determination: Navigate to 1.2 of the budget module. Set the fiscal year in section 7 to the current fiscal year. Manually set the requested F&A rate to the corresponding fiscal year (i.e., if period 2 begins in FY19, set it to 56.5% and so forth). Write a brief explanation is section 9.

	Period 1 1/1/2018 12/31/2018	Period 2 1/1/2019 12/31/2019	Period 3 1/1/2020 12/31/2020
Fiscal Year:	2018	2018	2018
On Campus:	on ∨	on ∨	on ∨

Calculated F&A Base:	MTDC		
Calculated F&A Rate:	56.00%	56.00%	56.00%
Requested F&A Base:	[Not Selected] ∨		
Requested F&A Rate:	56.5%	57%	57%
Applied F&A Base:	MTDC		
Applied F&A Rate:	56.50%	57.00%	57.00%

Please provide an explanation below if the rate/base being requested does not match the calculated rate/base and an F&A waiver is not required:

This proposal disallows escalation of costs, with the exception of negotiated costs already approved (F&A).

3.2 Travel Costs: Make sure to set the Inflation Rate to 0%

Budget Guide | Travel Costs Guide

Travel Costs

Inflation Rate   0   %

Apply Inflation First Period: ☐

Special Instructions for Charitable Gifts/Grants
Charitable gifts/grants follow the same guidelines regardless of whether ASUF or KED Research Operations/ORSPA will be the applicant organization.

Who is the applicant Organization?
ASU Foundation will be the applicant organization for charitable gifts/grants with the exception of when:
- The sponsor does not make awards to 501(c) 3, non-profits.
- ASU is a subgrantee (e.g. Hope on Wheels --> Phoenix Children's Hospital --> ASU)
- The grant is being transferred in to ASU from another institution.

Who administers the funds?
All funds (both ASU and ASUF) are administered by Research Operations/ORSPA with one exception: Unrestricted gifts are received and administered by ASUF and the appropriate unit.

Is it the RA's responsibility to determine if funds are charitable?
No. RAs may contact RAhelp@asu.edu for assistance.

Where can questions be directed to?
RAs may contact RAhelp@asu.edu with questions.
ASU Foundation employees may send queries to OCFRgrants@asu.edu.

Charitable Gift/Grant Proposal Development
What is the process for charitable gifts/grants where ASUF will be the applicant?
With few exceptions, the review and approval process is the same as for all proposals (ORSPA or ASUF). See the Develop Proposal Work Instructions for further information.
Is a Funding Proposal required for both ASUF and ORSPA proposals?
Yes, charitable gifts/grants are processed using the same procedures established by Research Operations for sponsored projects. However, for charitable gifts/grants that will go out with ASUF as the applicant, Research Advancement staff will notify ASUF by:
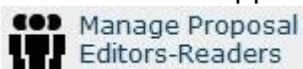
Using the activity from the proposal workspace, add Shaun Brenton, Caroline Wallinger, and Erin Rickard under

Update Proposal Team Readers:

the   .
ERA will generate an e-mail, automatically, notifying ASUF that there is an FP available for review.
Does ASUF provide any support for proposal development?
For charitable gift/grant applications of **$100K or more**, the ASUF and its Office of Corporate and Foundation Relations may provide assistance to the RA in the area of grant writing and proposal review and comment. RAs may contact OCFRgrants@asu.edu to inquire about these services. For urgent requests, please copy Erin Rickard.
Note: Please notify ASUF at the earliest stages of proposal development to allow for adequate lead time.
What should be done if a document requires an ASUF institutional signature?
Send signature requests for proposals, vendor setup forms, and banking institution forms to ocfrgrants@asu.edu. Requests should be sent with as much notice as possible and include the date by which the signature is needed. ASUF meets once a week with their CFO to obtain signatures. This should be taken into consideration when making

arrangements for a needed signature. For urgent requests, please copy [Erin Rickard](#) on your message to ocfrgrants@asu.edu.

What if there is a limit on the number of proposals the institution may submit?

Limited Submission (LS) opportunities for charitable grants are managed through the standard [ASU Limited Submissions process](#).

BUDGETING

Follow the guidelines in the budget section of the [Proposal Information and Resources](#) page. All information applies, including the 3% escalation for personnel. For charitable gifts/grants that are funded by industry (except where there are federal flow through funds involved), IRB fees for human subjects protocol review apply. For additional information, see the [Fee Structure](#) on the [Office of Research Integrity & Assurance (ORIA) website](#).

BUDGET JUSTIFICATION

All budgets which include funds for F&A must also include the follow statement verbatim: "A percentage of the funds will be paid to the ASU Foundation in consideration for their services in support of this project."

COST SHARING

The process for review and approval of cost sharing for charitable gifts/grants is the same as it is for proposals where ASU (Research Operations/ORSPA) is the applicant.   For additional information, please see the [Cost Sharing Sitelet](#).

F&A RATES

What is the appropriate F&A rate?

Charitable gift/grant proposals should use the sponsor's published, uniformly applied policy. Where the sponsor does not have a policy, 11% of all direct costs (Total Direct Costs/TDC) should be used.

Does this same policy apply to the transfer in of charitable gifts/grants

Yes, the same policy applies to all charitable gifts/grants.

11% TDC is less than the sponsor's published policy; should the lower rate be used?

No. The sponsor's published policy takes precedence.

Can the sponsor write a letter that says what they are willing to pay?

Acceptable documentation of a Sponsor's F&A restriction is outlined in the funding opportunity announcement (FOA), published on their website or in their Sponsor guidelines. A letter signed by the Sponsor's Authorized Representative (i.e.… CEO, CFO, etc.) will be reviewed on a case by case basis by the assigned PNT GCO for acceptability. If acceptable, an F&A waiver is not needed. Letters and emails from For-Profit Sponsors (i.e, Industry) will not be accepted.

What rate should be used on flow-through funds?

In circumstances where ASU will be the subgrantee, ASU (Research Operations/ORSPA) not ASUF will be the applicant organization.   Please refer to the [F&A Wizard](#) for appropriate rates.

When is a waiver required?

Published, uniformly applied F&A policy	**No** waiver required
Post-submission change in grantee from ASUF to ORSPA due to sponsor constraints	**No** waiver required

ASUF confirmed, unpublished F&A policy < 11% TDC	OKED waiver required
F&A < 11% TDC and no policy	OKED waiver required

WAIVERS WHICH REQUEST A RATE LESS THAN 5% TDC WILL BE DECLINED

Who needs to sign off on the waiver?
RAs must follow the steps outlined in the F&A Sitelet.
Does ASUF need to sign off on the waiver as well?
No.
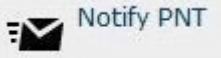
Post-Submission Activities/Follow Up

If the charitable organization (i.e. Sponsor) contacts the PI for additional information, what should be done?
The PI should notify their RA of the request received. The RA will then notify ASUF, award grantee, of the request received. ASUF will then work with and complete any actions needed with the charitable organization.

What actions should be taken when an award needs to be processed along with the ATF?

- Answer "Yes" to ERA Smart Form 1.1 Q8 to confirm ATF.

- As parallel actions, RA will:

  - Contact assigned GCO by running the ERA Activity - to complete their full institutional review of the proposal.   Note: For any proposal that is to be funded, the preference is for PNT and OIRC to complete their full institutional review prior to submission. In the event of an ATF and other situations, this may not be possible and will need to be completed prior to account establishment or account establishment will be delayed.

  - There are 2 ways to find out if a proposal has been fully reviewed by PNT or OIRC – (1) Access the report Proposals Submitted With No Review and search by FP Number in the Find field. Then if nothing is found, the proposal is fully reviewed or (2) In the History section of the ERA Workspace,
    click:

  - Send Award to ASUF at ocfrgrants@asu.edu. For urgent requests, copy Erin Rickard.

- ASUF will review the award for compliance with them as the grantee and for administration by ORSPA.   If changes are needed to the award, ASUF will work directly with the charitable organization. When award is acceptable, ASUF will send signed award to notifications@asu.edu   Note: ASUF will only involve PNT or OIRC in

review/negotiation of award when they are unclear if ORSPA could properly administer the award.

What happens if an award intended for ASUF comes to ASU? How should this situation be handled?
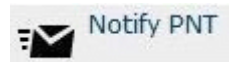
Contact assigned GCO by running the ERA Activity - of this situation. PNT or OIRC will notify ASUF of this situation and see how ASUF would like to proceed. The RA will be notified by the assigned GCO on the decision made and the decision will be documented in ERA as a public comment.
The outcomes could be:

- ASUF chooses to contact the charitable organization and request a change of the grantee from ASU to ASUF.

- ASUF chooses to relinquish the award to ASU. PNT or OIRC will update the proposal workspace Sponsor field to reflect this change. There will be no changes to the F&A rate submitted in the proposal package.

    - If F&A costs were included, ASUF may want to recoup their 5%. In this event, if a Contract Task is not needed for processing, then PNT or OIRC GCO will run the activity and include notes within the activity for coordination of this return with Fiscal Oversight back to ASUF.
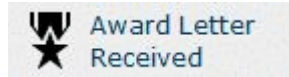
How should follow up with the sponsor on a pending award be handled?
Send a request for follow up to ocfrgrants@asu.edu. Be specific in what is being requested. Include the FP number. For urgent requests, copy Erin Rickard on your message to ocfrgrants@asu.edu.
Example: FP299 was submitted on March 21, 2018. The sponsor indicated that all decisions would be made by July 15, 2018. Please follow up to determine the status of the gift/grant.

ASUF Administrative Information
When ASUF is the applicant organization who should be listed as the sponsor within ERA?
ASUF should be listed as the direct sponsor. The organization providing the charitable funds should be listed as the prime sponsor.
What is the legal name of ASUF?
Arizona State University Foundation for a New American University.
Is the standard institutional information the same for ORSPA and ASUF?
No. ORSPA's administrative information is posted to the Proposal Information and Resources page. ASU Foundation Institutional Information Sheet can be found on the ASUF Office of Corporate and Foundation Relations page.

Internal Reviews and Finalizing the Proposal

After all the budget information and attachments are entered and uploaded into ERA, we review the proposal internally. We review for the following:

1. Is the dollar amount consistent with budget limits from the FOA
2. Do the budget and the budget justification match

     a. Does the effort requested make sense based on the scope of work for each individual listed?
     b. Are items budgeted reasonably?
     c. Are the items being requested exempt from CAS and if not, is it justified so that it will not be flagged as something that should be spent using the F&A received from this award?
     d. Is everything allowable and allocable?
3. Are all the attachments available and uploaded?
4. Are we following the formatting guidelines for the sponsor?
5. Did they require letters of support and if so, are they all there?
6. Do we require a letter from any other parties from the University (Dean, Director, etc.)
     a. If so, are they attached and if not, what is the status?
7. If there are sub-awards, did we receive all of the paperwork we requested from them?
8. Are the sub-award budgets in line with the limits we provided?

A final review of the FOA is done at this stage to make sure nothing was missed.

After the full proposal has been reviewed by the RA Team, the next step is to send the reviewed proposal through ERA to be submitted for DEPARTMENT REVIEW.

The following outlines the Department Review and the PNT Final Review process, up to the submission of the proposal.

State	What this State means	Activities Available to RAs		Primary Responsibility
Department Review	• Funding Proposal and Budget are being reviewed by the Department Approvers. • Funding Proposal is locked and cannot be edited unless changes are requested.	**Non S2S FP Workspace**	**S2S FP Workspace** 	Depts

Department Review

- 🟡 View Funding Proposal
- 🖨 Printer Version
- 🔍 View Differences
- 🔍 View SmartForm Progress

My Current Actions

- ➡ Forward for PNT Review
- ⬅ Cancel Proposal
- 📝 Create COI Certifications
- 📝 Update Research Plan (non PHS NSF)
- 👥 Update Reviewers for Proposal Review
- ✖ Disapproved by Department Reviewers
- ⬅ Cancel Department Review

- 📄 Bundle Sponsor PDFs (non S2S)
- 👤 Assign RA Ownership
- 👥 Manage Proposal Editors-Readers
- ✉ Email RA
- ✉ Email Investigators
- ✏ Add Public Comment
- ⚙ Generate Snapshot
- 📄 Make A Copy

State	What this State means	Activities Available to RAs	Primary Responsibility

State	What this State means	Activities Available to RAs		Primary Responsibility
Department Review: Response Pending from RA	• A Department Reviewer has requested a change(s) to the Funding Proposal. • Funding Proposal can now be edited by the RA.	**Department Review: Response Pending from RA** Edit Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** Respond to Department Reviewer Request Cancel Proposal Create COI Certifications Update Reviewers for Proposal Review Disapproved by Department Reviewers Cancel Department Review Bundle Sponsor PDFs (non S2S) Add Miscellaneous Attachments Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Send Email to ORIA Add Public Comment Generate Snapshot Make A Copy	**Department Review: Response Pending from RA** Edit Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** Create-Update SF424 Respond to Department Reviewer Request Cancel Proposal Create COI Certifications Update Reviewers for Proposal Review Disapproved by Department Reviewers Cancel Department Review Add Miscellaneous Attachments Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Send Email to ORIA Add Public Comment Generate Snapshot Make A Copy	RA

Disapproved by Department	• Department Reviewers have determined they will not endorse this proposal and it will not be moving forward with submission. • If the proposal is approved by the department, then the RA submits for PNT Review (Final Review)	**Disapproved By Department** View Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** Reinstate Proposal Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Add Public Comment Generate Snapshot Make A Copy	RA
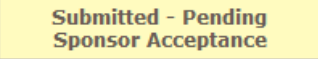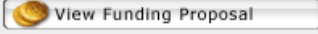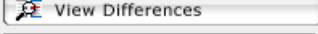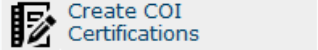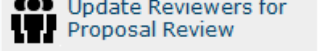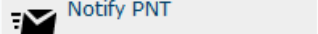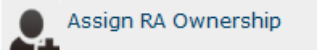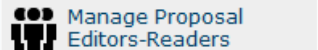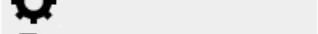
State	What this State means	Activities Available to RAs		Primary Responsibility
PNT Review	• Funding Proposal and Budget is ready for review by the PNT GCO. • Funding Proposal is unlocked, and RAs can make changes. • PNT reviews and advises of any changes that need to be made (if any)	**PNT Review** Edit Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** Cancel Proposal Create COI Certifications Update Reviewers for Proposal Review Disapproved by Department Reviewers Cancel PNT and Dept Reviews Bundle Sponsor PDFs (non S2S) Add Miscellaneous Attachments Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Send Email to ORIA Add Public Comment Generate Snapshot Make A Copy	**PNT Review** Edit Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** Create-Update SF424 Cancel Proposal Create COI Certifications Update Reviewers for Proposal Review Disapproved by Department Reviewers Cancel PNT and Dept Reviews Add Miscellaneous Attachments Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Send Email to ORIA Add Public Comment Generate Snapshot Make A Copy	PNT

State	What this State means	Activities Available to RAs		Primary Responsibility
PNT Review: Pending Changes by RA	• PNT GCO has requested changes to the Funding Proposal and/or Budget. • Funding proposal remains unlocked, and RA can make changes.			RA

State	What this State means	Activities Available to RAs		Primary Responsibility
PNT Ready to Submit	• PNT GCO has completed their review of the Funding Proposal, Budget, and Application. • RA is notified that PNT is ready to submit. RA advises PNT that we will get final approval from PI. • RA contacts PI asking if they are ready to submit. Once the PI says they are, PNT is notified that we can submit. • The application will be submitted by the PNT GCO. • Funding Proposal is locked for editing.	**PNT Ready to Submit** View Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** ← Cancel Proposal Create COI Certifications Update Research Plan (non PHS NSF) Update Reviewers for Proposal Review ✗ Disapproved by Department Reviewers ← Cancel PNT and Dept Reviews Notify PNT Bundle Sponsor PDFs (non S2S) Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Add Public Comment Generate Snapshot Make A Copy	**PNT Ready to Submit** View Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** ← Cancel Proposal Create COI Certifications Update Research Plan (PHS) Update Reviewers for Proposal Review ✗ Disapproved by Department Reviewers ← Cancel PNT and Dept Reviews Notify PNT Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Add Public Comment Generate Snapshot Make A Copy	PNT

State	What this State means	Activities Available to RAs	Primary Responsibility
Submitted - Pending Sponsor Acceptance	• PNT GCO/Unit/RA has submitted the proposal to the sponsor. • Funding Proposal remains locked for editing. • A snapshot is taken for auditing purposes that creates a record of the Funding Proposal and all associated Budgets.	**Submitted - Pending Sponsor Acceptance** View Funding Proposal Printer Version View Differences View SmartForm Progress **My Current Actions** Create COI Certifications Update Reviewers for Proposal Review Notify PNT Assign RA Ownership Manage Proposal Editors-Readers Email RA Email Investigators Add Public Comment Generate Snapshot Make A Copy	PNT