Princeton ERA:
Budgets

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Last Updated August 14, 2020

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1 Intro to Budgets

This section outlines the process for entering a budget within Princeton ERA and some helpful budgeting tips.

1.1 Budget Process

During the proposal development process, the department administrator will enter the proposal budget information in Princeton ERA. The budget is associated with the funding proposal and will be workflowed and reviewed with the proposal.

The department admin will navigate to the budget, complete the budget SmartForm and upload the budget justification. If needed, multiple budgets can be created for the proposal.

1.2 Budget Primer

This section provides a brief overview of budgeting terms and rates that will be helpful for budget development.

1.2.1 What are Direct Costs?

Direct costs are items that can be directly charged to the grant, including:

- Salaries & wages
- Benefits
- Consultants
1.2.2 What are Indirect Costs?
Indirect costs are items that “include those things essential to support sponsored activities that cannot be specifically identified and directly charged or attributable to a particular research grant or contract”. Examples include heating and cooling the building where the research is done and building maintenance. This link on the F&T website includes more information about the Indirect Cost rate.

Indirect costs have a few names and abbreviations; they all mean the same thing:

- Indirect Costs (IDC)
- Overhead (OH)
- Facilities & Administration (F&A)

1.2.3 What is Princeton’s Indirect Cost rate?
- 62% On campus
- 26% Off campus
- Sponsor may pay some other percentage
- Sponsor might not pay any OH (0%)

Princeton’s federally negotiated rate typically remains the same for several years.

1.2.4 What do MTDC & TDC mean?
MTDC stands for Modified Total Direct Costs
- Some items are excluded from OH base calculation - i.e. tuition, equipment over $5k, subcontract amounts over the first $25k are excluded from the OH base calculation.

TDC: Total Direct Cost
- OH is calculated on every cost element, including tuition and equipment over $5k.

1.2.5 What about Employee Benefits?
Most personnel items have benefits and are known by a few different names and abbreviations; they mean the same thing:

- Employee Benefits (EB)
- Fringe Benefits (“the fringe”)

The EB rate changes every year; see the ORPA Rate Sheet for the current year’s rate and the project rate.

This link on the F&T website includes more information about the EB rate.

2 How to Create a Budget
This section provides instructions on developing a proposal budget in Princeton ERA, adding additional budgets to the proposal, and requesting the use of a reduced F&A rate.
2.1 Budget SmartForm

When the funding proposal is created, the system automatically creates a budget with the name of the primary sponsor. This budget should be completed as part of the proposal development process. This type of budget is called a sponsor budget or project budget.

To locate the budget, navigate to the funding proposal workspace. You can locate your funding proposal by searching in My Inbox or by searching the Grants page.

The budget will appear under the Budgets tab on the workspace. Click the budget name to display the budget workspace. Alternatively, you can select the Edit button and directly jump to a budget SmartForm page to edit it.
On the budget workspace, select the Edit Budget button to open the budget SmartForm.

You will enter information on the SmartForm pages to complete the budget. The sections below will walk you through each page of the SmartForm. As you finish each page, click Continue to advance to the next page. You can always save the budget and return later.

### 2.1.1 General Budget Information - SmartForm

1. **Budget title:** Defaults as primary sponsor name. If you have a single budget, you don’t need to update the name. If you have multiple budgets change the budget names to a helpful description (such as “On Campus Budget” and “Off Campus Budget”, or “Gibbs Budget” and “Hamilton Budget”).

   Note: The selected titles will appear on the Budget PDF which can be printed and distributed to key personnel or sponsors, so having descriptive titles is very helpful.

2. **Principal Investigator for this budget:** Defaults as proposal PI. All PD/Pis, Co-PD/Pis or Co-Investigators listed on the proposal appear in the drop-down. Update if necessary (e.g. Each PI has a separate budget).
3. **Standard F&A Cost Base and Rates**: If the proposal uses Princeton’s standard on campus rate, select yes. Select No if the budget uses a different base, different rate, or is for off campus research.

*Note: If you notice on this screen that the period dates or number of periods are incorrect, exit the budget SmartForm and return to the funding proposal. The budget period dates and duration are set on the Funding Proposal Budget Periods and Key Dates SmartForm page.*

a. If no is selected, a Non-standard F&A Cost base and rates table will appear.

### Non-standard F&A cost base and rates

<table>
<thead>
<tr>
<th>F&amp;A Cost Base</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>MTDC</td>
<td>26%</td>
</tr>
</tbody>
</table>

**F&A Cost Base**: Select from the drop down.

<table>
<thead>
<tr>
<th>Base</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td>No F&amp;A on proposal. Rate is 0.</td>
</tr>
<tr>
<td>TDC</td>
<td>Total Direct Costs</td>
</tr>
<tr>
<td>MTDC</td>
<td>Modified Total Direct Costs</td>
</tr>
<tr>
<td>S&amp;W</td>
<td>Salary and Wages (excludes benefits)</td>
</tr>
<tr>
<td>S&amp;B</td>
<td>Salary and Benefits</td>
</tr>
<tr>
<td>S&amp;S</td>
<td>Salary and Supplies</td>
</tr>
<tr>
<td>FEL</td>
<td>Fellowship</td>
</tr>
<tr>
<td>NIH Training Grant</td>
<td>NIH Training Grants only</td>
</tr>
</tbody>
</table>

**Rate**: Enter the rate. If the F&A Rate is the same for all periods, click the blue copy arrow to fill in all additional periods.

*Note: If you are requesting an F&A rate less than Princeton’s federally negotiated rates, please refer to the Waived and Reduced F&A Rates section of this manual for additional guidance.*
4. **Consolidated Budgets:** Defaults to Yes. This should be Yes for all sponsor budgets that are being submitted to the sponsor. Only select No for budgets created in error or cost share budgets. If you are creating multiple budget versions (e.g., a budget with 2 grad students and a budget with 3 grad students to see what the numbers look like), the “final” budget version should have Yes selected and the rest should have No selected. Selecting Yes means this budget will be included in the Financials tab and the budget PDF. If submitting via S2S, this budget will be included in the SF424 budget. If the proposal is awarded, this budget will be sent to PeopleSoft for award setup. 

*Note: If you update a budget to No later on, you must update any associated subaward budgets to No as well to have them excluded.*

5. **Salary Cap:** Will automatically default for NIH and will be blank for all other sponsors. Leave blank for all other sponsors.

6. **Apply Inflation Rates:** Defaults to Yes. Update to No if needed.

7. **Enter inflation rates:** Defaults to 4%. Update as needed.
   - Check the box if you would like Period 1 to be inflated.

Click Continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

### 2.1.2 Personnel Cost Definition – SmartForm

This page is for listing all Princeton personnel that will be included on this budget. When this page is saved, rows will be created for each person on the Personnel Costs page to incorporate their salary and benefits in the budget.
1. Complete the **Personnel Costs** table by adding all personnel

Click the Import Proposal Personnel button to import the PI and all other institutional personnel listed on the proposal (on the Personnel SmartForm – Question 3a).

*Note: This action can only be completed once, so if you would like to confirm the personnel included in 3a you can select the “Go to additional personnel on funding proposal” link. Review and add any personnel if needed.*

**Update Personnel:** Select the update button to open the person’s information.
1. **Staff Member**: Name defaults from proposal. All proposal personnel appear in the drop-down.

2. **Role**: Defaults from proposal.

3. **Appointment**: Defaults to 12 months. Update if needed as per the following guidance:
   - PI and other faculty with an academic year appointment should have a 9-month appointment type, unless this is an NIH application where the PI or faculty member’s salary is above the NIH salary cap; in that case, budget to the NIH salary cap with a 12-month appointment type (this is because the NIH cap is based on 12 months). Not following these instructions for faculty with salaries over the NIH cap will generate cost sharing.
   - Post Docs and Grad Students are typically budgeted at 12 months.
     - Note: Graduate students can be budgeted at 12 months by adding their academic and summary month salaries. This process must be followed if submitting S2S; if not submitting S2S a graduate student can be budgeted by adding two “people” for one graduate student: one row with a 10-month appointment and a second row with the 2-month appointment, depending on preference.

4. **Base Salary applied**: Enter the person’s salary. If this is an NIH proposal and the person’s salary exceeds the salary cap, enter the NIH salary cap.

5. **Apply inflation rate**: Defaults to yes. Update if needed.
   - For NIH, inflation should be set to No if you are budgeting at or close to the salary cap. Otherwise cost sharing will be generated.

**Click OK. Update all proposal personnel.**
**Edit Personnel Cost**

1. **Staff member:**
   - Martha Gibbs (testpi9)

2. **Role:**
   - PD/PI

3. **Appointment:**
   - 12 Months

4. **Base salary applied:**
   - 197300

5. **Apply inflation rate:**
   - ○ Yes  ● No  Clear

* Required

In this scenario, the sponsor is NIH and the PI's salary is over the NIH cap.

- Select 12 month appointment type.
- Enter the NIH salary cap as the base salary.
- Select No for Apply Inflation Rate.
- Not following these instructions will result in cost sharing.

---

**Edit Personnel Cost**

1. **Staff member:**
   - Martha Gibbs (testpi9)

2. **Role:**
   - PD/PI

3. **Appointment:**
   - 9 Months

4. **Base salary applied:**
   - 90000

5. **Apply inflation rate:**
   - ● Yes  ○ No  Clear

* Required

In this scenario, the sponsor is not NIH.

- The Appointment Type is 9 months.
- Enter the PI's base salary.
  (In this demo, $90K is used because $90K divided by 9 is $10K a month, so it's easy to see the math.)
- If you want the base salary to inflate, select Yes for Apply Inflation Rate.
Additional personnel may be needed, such as post docs or graduate students who were not named on the proposal.

**Personnel Cost Definition**

Go to additional personnel on funding proposal

1. **Personnel costs:**

   ![Image of personnel cost definition with two table entries: Martha Gibbs (testpi9) with 9 Months appointment, PD/PI role, and yes for key, and Staff Member To Be Determined with 12 Months appointment, Graduate Student role, and no for key.]

   Click the **Add** button to add additional personnel who were not listed on the proposal.

   *Note: This process can also be used if you add additional personnel to the funding proposal after you have run “Import Personnel” on this page.*

   **Add Personnel Cost**

   1. **Staff member:**
      - Staff Member To Be Determined

   2. **Role:**
      - 

   If 'Other (Specify)' selected, enter the role below:

   3. **Appointment:**
      - 

   4. **Base salary applied:**
      - 

   5. **Apply inflation rate:**
      - Yes
      - No
      - Clear

   *Required*
1. **Staff member:** Defaults to Staff Member to Be Determined for additional personnel. All proposal personnel are also available in the drop-down.

2. **Role:** Select the appropriate role.

<table>
<thead>
<tr>
<th>Project Role</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co-Investigator</td>
<td>Use for co-investigators on NIH or NASA proposals.</td>
</tr>
<tr>
<td>Consultant</td>
<td>Do not use.</td>
</tr>
<tr>
<td>Co-PD/PI</td>
<td>Use for Co-PIs.</td>
</tr>
<tr>
<td>Faculty</td>
<td>Use if appropriate. May be used for contributor that is not being named in another Project Role.</td>
</tr>
<tr>
<td>Graduate Student</td>
<td>Use for graduate students.</td>
</tr>
<tr>
<td>Other Professional</td>
<td>Use as appropriate. May be used for professional specialist or other contributors that do not fit into another Project Role.</td>
</tr>
<tr>
<td>Post Doctoral</td>
<td>Use general Post Doctoral role for all post docs.</td>
</tr>
<tr>
<td>Post Doctoral Associate</td>
<td>Do not use.</td>
</tr>
<tr>
<td>Post Doctoral Scholar</td>
<td>Do not use.</td>
</tr>
<tr>
<td>Technician</td>
<td>Use for technicians.</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>Use for undergraduate students.</td>
</tr>
<tr>
<td>Secretarial/Clerical</td>
<td>Use for administrative personnel.</td>
</tr>
<tr>
<td>PD/PI</td>
<td>Use for multi-PI awards, such as for NIH where Co-PI designation is not used. Should be used for all other PI’s not listed on Personnel question 1.</td>
</tr>
<tr>
<td>Other (Specify)</td>
<td>Do not use for internal personnel.</td>
</tr>
</tbody>
</table>

3. **Appointment:** Defaults to 12 months. Update if needed, as per the following guidance:
   - PI and other faculty with an academic year appointment should have a 9-month appointment type, unless this is an NIH application where the PI or faculty member’s salary is above the NIH salary cap; in that case, budget to the NIH salary cap with a 12-month appointment type (this is because the NIH cap is based on 12 months). Not following these instructions for faculty with salaries over the NIH cap will generate cost sharing.
   - Post Docs and Grad Students are typically budgeted at 12 months.
     Note: Graduate students can be budgeted at 12 months by adding their academic and summary month salaries. This process must be followed if submitting S2S; if not submitting S2S a graduate student can be budgeted by adding two “people” for one graduate student: one row with a 10-month appointment and a second row with the 2-month appointment, depending on preference.

4. **Base Salary applied:** Enter the person’s salary. If this is an NIH proposal and the persons salary exceeds the salary cap, enter the salary cap.

5. **Apply inflation rate:** Defaults to yes. Update if needed.
Click **OK**. Add additional personnel until all personnel that will be budgeted for are added.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

### 2.1.3 Personnel Costs – SmartForm
The personnel cost page consists of a Budget Summary and a Personnel Costs table. The Personnel Cost table shows a row for each individual listed on the prior page, and will be used to budget their salary, benefits, and total compensation.

Click the **Show Effort** button to display the additional fields that will be used to calculate Salary and Benefits.

### Personnel Costs

<table>
<thead>
<tr>
<th>Person: Martha Gibbs (testpi9)</th>
<th>Effort</th>
<th>Sal Req</th>
<th>FB Rate</th>
<th>Base</th>
<th>Salary Cost Total</th>
<th>Benefits Cost Total</th>
<th>Personnel Cost Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Role: PD/PI</td>
<td>0 %</td>
<td>0 %</td>
<td>35.6 %</td>
<td>$90,000.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Person: Staff Member To Be Determined</th>
<th>Effort</th>
<th>Sal Req</th>
<th>FB Rate</th>
<th>Base</th>
<th>Salary Cost Total</th>
<th>Benefits Cost Total</th>
<th>Personnel Cost Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Role: Graduate Student</td>
<td>0 %</td>
<td>0 %</td>
<td>35.6 %</td>
<td>$38,800.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

Refer to the sections below on budgeting salary and budgeting benefits for details.

**Budgeting Salary**

Salary will be budgeted based on the personnel’s base salary and the salary requested percentage. Proposed effort will also be recorded and used to calculate personnel cost share in scenarios where the effort percentage exceeds the salary requested percentage.

**Please use the Princeton ERA – Effort Distribution Tool available on the ORPA website to calculate the correct effort percentages.** The tool will calculate the proper percentage based on the person’s appointment. The Effort Distribution tool can be used if the effort is known in months or as a dollar amount.

For example, the tool can be used if you know the PI is committing 1 month of effort, but you are unsure of the proper percentage based on their appointment. If you knew your PI is committing 1 month of effort and they have a 9-month appointment, their salary requested would be 11.1111111%. If they were committing 1 month of effort but had a 12-month appointment, their % salary requested would be 8.3333333%.

**Note:** Entering 7 decimals is preferred for exact rounding on the SF424 application for s2s proposals, however entering 4 decimals is also acceptable.

In the example above, the sponsor is not NIH, the appointment type is 9 months, and 1 month of salary is requested. To update the effort and salary requested, **enter the percentages** calculated in the Effort Distribution Tool into the
appropriate fields. In this example, 1/9 is 11.1111111%. If the percentages will be the same for each period, use the copy arrow button to the right of the Effort and Sal Req boxes in Period 1 to update all out years too.

In the example above, the sponsor is NIH, the appointment type is 12 months (because the NIH salary cap is 12 months), and 1 month of salary is requested. To update the effort and salary requested, enter the percentages calculated in the Effort Distribution Tool into the appropriate fields. In this example, 1/12 is 8.3333333%. If the percentages will be the same for each period, use the copy arrow button to the right of the Effort and Sal Req boxes in Period 1 to update all out years too.

To see the total salary amount this calculates based on the base salary and salary requested percentage, click the Show Totals button.

Note that the totals will also include the default 4% personnel inflation rate unless you have selected that inflation should not be applied to personnel costs or that specific personnel. In the NIH scenario, the inflation rate was not applied to the PI since her base salary was at the NIH salary cap.

If the award is funded, the salary budget items on the award (in the PeopleSoft budget) will be based on the persons role type.

<table>
<thead>
<tr>
<th>Personnel Role</th>
<th>PeopleSoft Budget Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty (PI, Co-PD/PI, Co-I)</td>
<td>SALRF – Regular Faculty</td>
</tr>
<tr>
<td>Grad Students</td>
<td>SALGS – Assistants in Research and Instruction</td>
</tr>
<tr>
<td>Post-Docs, Other Professional</td>
<td>SALOS – Salary DOF Other Staffs</td>
</tr>
<tr>
<td>Undergrads</td>
<td>WAGESH – Student Hourly Wages</td>
</tr>
</tbody>
</table>
### Secretarial/Clerical or Technicians (only if sponsor allows it)
- **SALADM** – Salary HR Admin & Tech

### Biweekly staff (only if sponsor allows it)
- **SALBW** – Salary HR Bi-Weekly

### Consultant
- Do not use for internal personnel.

### Other (Specify)
- Does not map. Role should not be used for internal personnel on the budget.

---

## Budgeting Benefits

Benefits are budgeted based on the current and provisional fringe benefits rate. Refer to the [sponsored project rate sheet](#) for more information on Princeton’s current and provisional rates.

By default, the system fills in the provisional rate as the default fringe rate for all budget years, including budgets that start in the current FY.

If the initial period does not start on 7/1 and therefore spans the current fiscal year and next fiscal year, then the FB Rate should be updated with a blended FB Rate. The rate should account for the proper number of days at the current rate and the provisional rate.

*Please use the Princeton ERA- Blended Fringe Rate Tool, available on the ORPA website, to calculate the correct rate for the blended period.* The tool will calculate the proper blended rate based on the number of months and days in each fiscal year.

For example, what if we were budgeting a technician for 12 months, and the budget year started on May 1 in the current FY? That means there are 2 months where the current fringe benefit rate applies and 10 months where the provisional rate applies. However, the system fills in the provisional rate for all budget years, including the first year.

Use the Blended Fringe Rate Tool on the Princeton ERA home page, which will calculate the blended fringe for you. In the tool, enter the # of months with the current fringe rate, and click or tab out of the field and the blended fringe rate automatically calculates. In this example, the blended fringe is 35.35%. Enter that value in the fringe benefits box for period 1 in Princeton ERA.
Then click on the show totals button:

The FB amount recalculates.

Remember that the FB Rate must also be updated for personnel that do not receive benefits. The FB provisional rate should be removed and updated to 0%. Personnel may not receive benefits as a result of their appointment type or the funding opportunity, such as graduate students or post doctorates applying for fellowship funding (e.g. NIH F32).

To remove benefits budgets for a row, set the FB Rate to 0. Use the copy arrow to update all out years to 0%.
If needed, add Personnel Costs notes to your department reviewers and ORPA GCA.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.1.4 General Cost Definition - SmartForm
The general cost definition page is used to select all of the cost types (or budget items) that will be used on your budget. This includes all non-personnel items.

Click the Add button to add a general cost.
1. **General Cost Type:** Select from the drop-down. Refer to the Cost Type chart below for a list of cost types and the budget item it maps to in PeopleSoft for the award.

2. **Cost:** Enter the budgeted amount for the first period. Note that if you selected to inflate the first period, this value will be increased by the inflation percentage.

3. **Description:** Enter as needed or if requested by the system to enter description. Description is required for Equipment.

4. **Inflation:** Defaults to yes for all cost types except Equipment and Equipment or Facility Rental/User Fees. If Inflation is set to Yes, the value will inflate every period, but you cannot update the values in the out years. If you set inflation to No, the value will not inflate in every period, but you can update the values in the out years on the General Costs screen.

5. **Include in Indirects:** This field may not appear based on the F&A Base selected (e.g. if the F&A Base is Salary & Benefits, this field will not appear if the cost type is Materials and Supplies). This field may also default based on what is typical for the cost type for the selected F&A Base. Leave this as the default.
Enter the information for each cost type. **Click OK and Add Another** to stay in this screen and add additional costs.

When all items have been added, click OK to return to the General Cost Definition page.

Confirm that all cost types are added. Next, you will budget each of these types per period on the General Costs SmartForm page and review the summary.
Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

**General Cost Type Details**

Please note that the Princeton ERA cost type will still translate to the current PeopleSoft budget items if the proposal is awarded. The item mapping is below for reference.

<table>
<thead>
<tr>
<th>Cost Type</th>
<th>PeopleSoft Budget Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADP/Computer Services</td>
<td>TECSVC</td>
</tr>
<tr>
<td>Assistantship AI/AR Tuition</td>
<td>AIARTU</td>
</tr>
<tr>
<td>Computer HW &amp; SW w/o OH</td>
<td>COMPNO</td>
</tr>
<tr>
<td>Computer HW &amp; SW w OH</td>
<td>COMPOH</td>
</tr>
<tr>
<td>Consultant Services</td>
<td>PRFSVC</td>
</tr>
<tr>
<td>Publication Costs</td>
<td></td>
</tr>
<tr>
<td>Professional Services</td>
<td></td>
</tr>
<tr>
<td>Employee Benefits</td>
<td>FRINGE</td>
</tr>
<tr>
<td>Equipment</td>
<td>SMEQUP</td>
</tr>
<tr>
<td>Equipment or Facility Rental/User Fees</td>
<td>RENT</td>
</tr>
<tr>
<td>Facilities &amp; Administration</td>
<td>FACADM</td>
</tr>
<tr>
<td>Fellowship Tuition</td>
<td>FELTUI</td>
</tr>
<tr>
<td>Fellowship Stipend</td>
<td>FELSTI</td>
</tr>
<tr>
<td>HR Bi-Weekly Salary</td>
<td>SALBW</td>
</tr>
<tr>
<td>Institutional Allowance</td>
<td>INSTAL</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>SMSUP</td>
</tr>
<tr>
<td>Office/Admin/General Supplies</td>
<td>OAGSUP</td>
</tr>
<tr>
<td>Other Modular Offset</td>
<td>TOTDIR</td>
</tr>
<tr>
<td>Real Estate, Construction Svcs</td>
<td>RECSVC</td>
</tr>
<tr>
<td>Recharge Centers with F&amp;A</td>
<td>RECHOH</td>
</tr>
<tr>
<td>Trainee: Tuition</td>
<td>PARTC</td>
</tr>
<tr>
<td>Trainee: Travel</td>
<td></td>
</tr>
<tr>
<td>Trainee: Subsistence</td>
<td></td>
</tr>
<tr>
<td>Trainee: Stipend</td>
<td></td>
</tr>
<tr>
<td>Trainee: Other</td>
<td></td>
</tr>
<tr>
<td>Travel: Domestic</td>
<td>DOMTRV</td>
</tr>
<tr>
<td>Travel: Foreign</td>
<td>INTTRV</td>
</tr>
<tr>
<td>Utilities</td>
<td>UTIL</td>
</tr>
</tbody>
</table>

### 2.1.5 General Costs – SmartForm

The General Costs SmartForm consists of the Budget Summary table and General Costs table.
The General Costs table lists each cost type from the prior SmartForm page. Notice that the costs with inflation factored in cannot be edited. The cost types that were set to not include inflation can be updated.

Update the budget amounts per period as needed. The amount budgeted per period may vary based on a variety of factors, such as equipment being purchased only in the first year of the award.

If needed, enter general cost notes to your department reviewer or ORPA GCA.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

**2.1.6 F&A Cost Overrides- SmartForm**

This SmartForm page can be skipped. Princeton will not make F&A Cost Overrides on this page. If certain budget items or personnel require a different F&A base or rate, please create an additional budget. Refer to the section on Creating Additional Budgets for more information.
Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.1.7 Attachments - SmartForm

Budget attachments should be uploaded to the Attachment SmartForm. Once uploaded, they will also appear on the funding proposal workspace attachment tab with the type “budget.”

Add the Budget Justification, including any ancillary documents required by the sponsor such as the F&A rate agreement or vendor quotes.

If submitting system-to-system, the budget justification will be added directly to the SF424 instead. Documents added here will not propagate to the SF424.

Drag and drop a file or select the Add button to choose a file.

If needed, click the ellipsis to upload a revision.

Once finished with uploading the documents, click “Validate” on the top left corner to check the SmartForm. Validating will let you know if any required information is missing.

If you receive a red circle icon, click the link on the left side bar to return to the field and add the information as required.

Once any updates have been made, click the Finish button in the right bottom corner to complete the SmartForm. You will be brought to the Budget Workspace.
2.2 Creating Additional Budgets

Your funding proposal can have multiple budgets associated with it. You can create an additional budget and complete the SmartForm following the Budget SmartForm instructions above.

There are a variety of reasons to create an additional budget, such as:

- Different F&A rates will be used
- Different PI's
- Different Departments

Your additional budgets will be included on the Financials tab of the funding proposal and in the Budget PDF. If this proposal is funded, the multiple budgets created in Princeton ERA will translate to multiple projects on the PeopleSoft award.

**Note:** Budgets will only be included if they are marked as Include in Consolidated Budgets = Yes on the General Budget Information SmartForm page. All project budgets that are being submitted to the sponsor should be marked as Yes.

Additional budgets may also be created if there was an error in the first budget, and you would like to start over with a new budget, or if you are creating additional budgets as draft budgets (e.g. to see a budget with 2 grad students vs. 3 grad students) before determining the final version. In this scenario, it is very important to ensure only the final budget(s) are marked as Include in Consolidated Budgets = Yes on the General Budget Information SmartForm page. All drafts or budgets created in error should be marked as No so that they are not included in your proposal totals or included on the award when funded.

### 2.2.1 How to Create Additional Budgets

Navigate to the proposal workspace. Search the proposal from your Inbox of the Grants tab. Alternatively, if you are already on the original budget you can select the link in the middle of the workspace to return to the funding proposal.

On the proposal workspace, select the Create Additional Budget activity.
In the Create Additional Budget window, enter the Budget title (such as “Off Campus” or “Fabricated Equipment” or “Hamilton Budget”) and select the PI responsible for the budget. Click OK.

You will automatically be brought to the new budgets SmartForm. Complete the pages for the budget. See the Budget SmartForm section above for detailed instructions on completing the pages.

The new budget will now be listed on the Budgets tab of the Funding Proposal.
The new budget’s SmartForm can now be completed. Follow the detailed instructions in the Budget SmartForm section.

### 2.3 Waived and Reduced F&A Rates

If the proposed F&A rate is less than Princeton’s federally negotiated rate, the waived or reduced F&A rate must be approved using an ancillary review to either the ORPA Specialist (assigned GCA) or the Director of ORPA during the proposal & budget development process. The ancillary review must be approved prior to submitting the proposal for Specialist Review.

If the sponsors F&A rate is less than Princeton’s rate and the rate is published, the department administrator must create an ancillary review to the assigned ORPA specialist which includes documentation regarding the rate. The ORPA specialist will review and approve.

If the sponsors F&A rate is less than Princeton’s rate but the rate is not published, the department administrator must create an ancillary review to the Director of ORPA for approval (similar to the Waived F&A process below). Any supporting documentation should be attached.
If a reduced F&A rate is being used due to the PI’s request for an F&A waiver, the department admin must create an ancillary review to the Director of ORPA for approval of the F&A waiver.

Follow the steps below to add an ancillary review for the Indirect Cost Waiver.

On the funding proposal workspace, select the Manage Ancillary Review activity.

In the Manage Ancillary Review pop-up window, select Add.
On the Add Ancillary Review slide in window:

- **Person:** Add ORPA Director (Elizabeth Adams) or the assigned OPRA Specialist (GCA) based on the business process criteria.
- **Review Type:** Indirect Cost Waiver
- **Response Required:** Select yes.
- **Comments:** Add comments to the reviewer, explaining why the review is needed. The comments will be included in the email notification sent to the reviewer.
- **Documents:** Attach supporting documentation, including explanations, correspondence, or sponsors published rate.

![Add Ancillary Review Slide]

Click OK to add the review and return to the Manage Ancillary Review view.
You will see a summary of the ancillary reviews. Click OK to exit the Manage Ancillary Review screen.

*Please note that it is VERY important to click OK on the Manage Ancillary Review Screen because it triggers the email notification to the ancillary reviewer.*

### 3 How to Create Subaward Budgets

This section provides instructions for how to create a subaward budget in Princeton ERA.

Subaward budgets are required to account for funds when contracting with an external institution for a portion of the work as part of the research project. Subaward budgets will be created off of the associated project budget.

#### 3.1 Subaward Budget SmartForm

Navigate to the proposal workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the proposal workspace.

On the proposal workspace Budgets tab, click the budget name to display the budget workspace. **Note:** If you have multiple budgets on your proposal, ensure you select the one you would like the subaward associated with.

On the budget workspace, click the Create Subaward button to create a new subaward budget.
The new Subaward Budget SmartForm will open.

Follow the detailed instructions below to complete each page of the Subaward Budget SmartForm.

Please note that if needed, multiple subaward budgets can be created from your budget using the Create Subaward Budget button.
3.1.1 Subaward Budget Information – SmartForm

1. **Title:** Enter a title for the budget. Include the subrecipient organization name within the title.

2. **Organization:** Select the subrecipient.
   
   *Note: If the subawardee is not available for selection in the system, select “TBD” and email erasupport@princeton.edu to request the organization is added. Include the organization name, type, address, phone/email info. After the ERA team notifies you that the organization is added, return to this screen, and change the organization from TBD to the newly added organization.*

3. **Principal Investigator:** Budget PI defaults.

4. **Subawardee PI:** Leave blank. Subawardee PI should be entered on the Funding Proposal SmartForm Personnel page in question 3B.

5. **Subaward budget detail level:** Select how to capture budget data for this subaward.
   
   - **Per Period Direct and Indirect Totals:** All costs are captured in a single budget table as per period direct and indirect costs.
   - **SF424 Subaward Import:** Subawardee’s budget totals are imported to the system using their completed R&R subaward Budget PDF Form.
     
     *Note: This option must be selected when submitting the proposal system-to-system.*
6. **Include in Consolidated Budgets**: Select Yes or No on whether to include in the consolidated budget. Only select “No” for subaward budgets created in error.

7. **Subaward Indirect Contribution Limit**: For budgets using the MTDC cost base standard, the system automatically includes the first $25,000 of subaward budgets in the cost base for calculating indirect costs for the primary budget. Update if necessary.

   *Note: This question only displays if MTDC was selected as the cost base on the sponsor budget that this subaward was created on.*

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

### 3.1.2 All Personnel - SmartForm

This SmartForm page can be skipped. The page will only appear when the Per Period Cost Totals budget detail level is selected.

The subaward PI should be entered on the Subaward Budget Information page. The PI and other subrecipient co-leads should be listed on the funding proposal Personnel SmartForm in question 3B for compliance purposes. Additional personnel do not need to be added here.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

### 3.1.3 Per Period Cost Totals - SmartForm

This SmartForm page will only appear if “Per Period Cost Totals” was the budget detail level selected on question 5 of the Subaward Budget Information SmartForm. If you are entering the subaward budget by importing the Subaward R&R Budget form, this SmartForm page will not appear.
Enter the Direct and Indirect totals. If they are the same for all periods, enter in the period one box and then use the copy arrow to the right of the Direct and Indirect boxes in period 1 to populate all periods with that value. If the totals are different for each period, enter the total mounts for each period.

The system will calculate the overall Totals and Grand Total per period based on your entry of the per period totals.

If needed, add budget notes to your department reviewer and ORPA GCA.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

**3.1.4 SF424 Subaward Import - SmartForm**

This SmartForm page will only appear if on the Subaward Budget Information SmartForm you selected “SF424 Subaward Import” for the budget detail level. This option must be selected when submitting the proposal system-to-system.

If you are manually adding the per period directs and Indirects instead, this SmartForm page will not appear.
The page will appear as above. The Subaward R&R Budget PDF must be completed and returned by the subawardee for uploading. The editable PDF version of the form should be downloaded from the SF424 workspace within Princeton ERA and sent to the subawardee, not from the Grants.gov website. The form should be edited in Adobe Acrobat.

*Note: It is recommended to get this file from the subawardee as soon as possible to ensure the file is valid and allow time for the subawardee to correct any invalid files or budget errors.*

Download the R&R Subaward Budget forms from the associated SF-424 for the subawardee to complete.

When the file is received, drag & drop the file over the box or select Choose File to select the file from your desktop.
Click Save or Continue. The form has been imported and you can confirm the totals by reviewing the Financial tab on the Subaward Budget Workspace.

If there is an issue with the Subaward R&R budget form, you will receive an error message when importing. The most common error is that the period dates entered in the Subaward R&R Budget PDF form do not match the budget periods of the primary budget. Also, the editable PDF version of the form should have been downloaded from the SF424 workspace within Princeton ERA, not from Grants.gov. It is important to have the correct form version. Correct any errors on the form and retry the import.

3.1.5 Attachments- SmartForm
Subaward attachments should be uploaded to the attachment SmartForm. Once uploaded, they will also appear on the funding proposal workspace attachment tab with the type “Subaward.” If submitting system-to-system, these files will not propagate to the SF424

Upload the Subrecipient Commitment Form (or Subrecipient Statement of Collaborative Intent form) and all associated attachments.

Drag and drop a file or select the Add button to choose a file.
If needed, click the ellipsis to upload a revision.

**For all subawards:**
Subrecipient/Contractor Classification form and Subrecipient Commitment forms including statement of work with deliverables, budget and budget justification including F & A documentation, Financial Status Questionnaire with attachments (see form for applicability), Sole Source Justification (for contracts only) should be uploaded and labeled appropriately.

**For fixed price subawards:**
Justification statement for fixed price subaward must be included in Prime award budget justification; verification of DUNS and SAM.gov registrations as well as above referenced info. All are uploaded in the Subaward Attachments tab and labeled appropriately.

**Naming Conventions for Subaward Proposal Documents**
- Subrecipient Name_SOW_Date
- Subrecipient Name_Budget_Date
- Subrecipient Name_Budget Justification_Date
- Subrecipient Name_Subrecipient Commitment Form_Date
- Subrecipient Name_Classification Form_Date
- Subrecipient Name_IDC Rate Agreement_Date
- Subrecipient Name_(Name of Document)_Date*

*Note: Any revisions to any of the above documents should use the naming convention above but insert “Revised” before the date.*

Ex. University of Pennsylvania_Budget_08-01-20

University of Pennsylvania_Budget_Revised_08-20-20

**Note:** Note the date format to be used = XX/XX/XX

*Note:* Any other proposal documents related to subaward submission should use the same naming convention and the document name should reflect the content of the document.

Once complete, click Finish to complete the SmartForm and return to the subaward budget workspace.
Note that the subaward budget is linked to the sponsor budget, so you can view your subaward budget from the sponsor budget by selecting the Subawards tab.

The subaward per period totals will be included in the sponsor budget Financials tab and the funding proposal Financials tab.
3.2 Create and edit additional subawards
Create additional subawards for the same budget by navigating to the budget workspace and clicking on the Create Subaward button.

View and edit all subawards associated with a budget by navigating to the budget workspace and clicking on the Subaward tab, then click on the Name of the subaward.

4 Budget Workspace and Reviewing Budgets
This section outlines the budget and subaward budget workspaces. It also includes information on how to view budget information via the funding proposal Financials tab and budget PDF.

4.1 Budget Workspace
Once a budget has been created, it will have its own workspace. The workspace contains a summary of the financials, activities, and other relevant information regarding the budget.

*Note “workspace” is the term for this page within Princeton ERA and has nothing to do with Grants.gov Workspace.*
Across the top of the workspace are several important details about the workspace. We see it is in Draft state. We see the budget title, budget ID, and budget type.

- The budget will be in Draft state during proposal development. During review of the proposal, the state will be Under Review. If the proposal is awarded, the state will be updated to Active.
- The budget type tells us if this is a project budget, subaward budget, or cost share budget.

Basic budget information is captured in the center of the workspace.

Sponsor: Sponsor defaults based on the direct sponsor selected on the funding proposal.
PI: PI defaults based on the Principal Investigator listed on the General Budget Information SmartForm.
Funding Proposal: The blue link can be clicked to navigate back to the funding proposal record.
Grand Total: The budget total (including the direct and indirect totals).
Budget Type: Defaults based on the sponsor type or shows if this is a flow through award.
Subaward Count: Shows the number of subaward budgets associated with this project budget.
Under the State, there are several buttons and activities that can be used to take action on the budget.

The **Edit Budget button** is used to open the budget SmartForm and make updates as needed. When the budget is Under Review or Active (or depending on your security to the budget), this button will say View Budget.

The **Printer Version button** can be used to create a printable version of the Budget SmartForm. If you click this button, a read only printer view of the SmartForm will open in another tab and can be printed for paper review. See the Print Budget PDF section of this manual to print a PDF summary of the budget.

The **Create Subaward button** is used to add a subaward to this budget. Review the How to Create a Subaward Budget section for more details.

The **Create Cost Share button** is used to create a cost share budget for this budget. Review the Cost Share Manual for more details on the cost sharing process.

- The **Make a Copy activity** can be used to create a copy of an existing budget. This activity may be used if your creating multiple similar budgets. Click the activity, enter a new budget name, and click OK. The budget will then be accessible via the Budgets tab on the Funding Proposal.

- The **Log General Comments activity** will not be used; Comments should instead be logged on the funding proposal as opposed to the budget.

- The **Export Budget activity** will create an Excel export of the budget. You can click the activity and view the Excel export in the Budget History tab. Due to preferable formatting, it is advised to use the Budget PDF export on the funding proposal instead of this activity; see the Budget PDF section of this guide.
• The **Manage Tags activity** will not be used at Princeton at this time.

The bottom of the workspace contains helpful tabs with information about the budget.

<table>
<thead>
<tr>
<th>Financials</th>
<th>Subaward</th>
<th>Documents</th>
<th>Snapshots</th>
<th>History</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current All-Period Totals</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Personnel:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries:</td>
<td>$59,452</td>
<td>$59,452</td>
<td>$59,452</td>
<td>$59,452</td>
</tr>
<tr>
<td>Benefits:</td>
<td>$15,608</td>
<td>$15,608</td>
<td>$15,608</td>
<td>$15,608</td>
</tr>
<tr>
<td><strong>General:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td>$50,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>$30,000</td>
<td>$32,448</td>
<td>$33,746</td>
<td>$35,096</td>
</tr>
<tr>
<td>Other</td>
<td>$30,000</td>
<td>$32,448</td>
<td>$33,746</td>
<td>$35,096</td>
</tr>
<tr>
<td>Travel: Domestic</td>
<td>$5,000</td>
<td>$3,000</td>
<td>$2,000</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Subaward(s):</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Direct less Subaward F&amp;A:</td>
<td><strong>$204,452</strong></td>
<td><strong>$156,052</strong></td>
<td><strong>$155,716</strong></td>
<td><strong>$156,447</strong></td>
</tr>
<tr>
<td>Total Direct:</td>
<td><strong>$217,452</strong></td>
<td><strong>$169,052</strong></td>
<td><strong>$168,716</strong></td>
<td><strong>$169,447</strong></td>
</tr>
<tr>
<td>Total F&amp;A:</td>
<td><strong>$80,260</strong></td>
<td><strong>$65,752</strong></td>
<td><strong>$65,544</strong></td>
<td><strong>$65,997</strong></td>
</tr>
<tr>
<td><strong>Project Total:</strong></td>
<td><strong>$297,712</strong></td>
<td><strong>$234,804</strong></td>
<td><strong>$234,260</strong></td>
<td><strong>$235,444</strong></td>
</tr>
</tbody>
</table>

| **F&A Costs (Standard)** |          |           |           |         |
| Start Date: | 7/15/2020 | 7/15/2021 | 7/15/2022 | 7/15/2023 | 7/15/2024 |         |
| End Date: | 7/14/2021 | 7/14/2022 | 7/14/2023 | 7/14/2024 | 7/14/2025 |         |
| Indirect Cost Rate: | 62% | 62% | 62% | 62% | 62% | 62% |
| Indirect Cost Type: | MTDC | MTDC | MTDC | MTDC | MTDC | MTDC |
| Indirect Cost Base: | $129,452 | $106,052 | $105,716 | $106,447 | $106,247 |         |
| Indirect Funds Req.: | $80,260 | $65,752 | $65,544 | $65,997 | $65,873 |         |

The **Financials tab** includes a summary of the budget including direct and indirect totals.

*Note: If the funding proposal has multiple budgets, the view on the budget workspace only shows a summary for that particular budget. A summarized view of multiple budgets can be seen on the funding proposal Financials tab.*

<table>
<thead>
<tr>
<th>Financials</th>
<th>Subaward</th>
<th>Documents</th>
<th>Snapshots</th>
<th>History</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Subaward</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ID</strong></td>
<td>BU00000684</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Name</strong></td>
<td>Sub 1 Budget - Harvard</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SmartForm</strong></td>
<td>[form]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Date Created</strong></td>
<td>7/27/2020 2:07 PM</td>
<td>7/27/2020 6:42 PM</td>
<td>Draft</td>
<td>Include in Totals</td>
</tr>
</tbody>
</table>

The **Subaward tab** shows a summary of all subaward budgets associated with this budget. You can navigate to the subaward budget by clicking on the active Name link.
The **Documents tab** shows any documents that were uploaded to the Attachment SmartForm page. It does not include subaward budgets. For a complete view of funding proposal and budget documents, refer to the Attachment tab on the funding proposal.

The **Snapshots tab** will show a summary of what the budget was when the funding proposal was awarded. Select the view link for a pop-up window with additional details. This tab will not be frequently used.

The **History tab** provides a record of activities executed on the budget. Since less activities will be performed on the budget than on the funding proposal, there often will not be much history to review.

### 4.2 Subaward Budget Workspace

The subaward budget workspace is very similar to the project budget workspace. Refer the Budget Workspace section for more details. This section will focus on the unique aspects of the subaward budget workspace.
The subaward budget will move through the same states as a project budget from Draft, to Under Review, to Active. It will also show a Title and Budget ID. The type will be “Subaward Budget” instead of project budget.

**Organization:** Defaults based on the subawardee institution selected on the SmartForm.

**Budget Detail Level:** Defaults based on the level selected on the SmartForm.

**Funding Proposal:** Active link to the funding proposal.

**Parent Budget:** Active link to the parent budget for the subaward.

On the subaward budget, you can **Edit Budget** to view and update the SmartForm or create a **Printer Version**. Unlike on the project budget, you cannot Create Cost Share or Create a Subaward.

The activities on the subaward budget are very similar to on the project budget.

One key difference is that you cannot “Make a Copy” of the subaward budget like you can on the project budget.

Another difference is that you can “Withdraw” a subaward budget if you determine it is not needed after creating it.
To withdraw a subaward budget, click the **Withdraw activity**. Enter any comments and click OK.

![Withdraw activity interface]

The status of the subaward budget will update to “Archived” and it will no longer be linked to the project budget.

On the Subaward budget, the tabs are similar to on the project budget.

![Table of subaward budget tabs]

The **Financial tab** shows a summary of the per period Totals.

The **Personnel tab** will not be used at Princeton.

Just like on the project budget tabs, the **Snapshots tab** will provide a summary of what the subaward budget was when it was awarded. The **History tab** will record any activities executed on the subaward budget.

### 4.3 Funding Proposal Financials Tab

While each individual budget has its own Financials tab on the budget workspace, the funding proposal also has a Financials tab which summarizes all project budgets if there are multiple (including subaward budgets). This summary does not include cost share budgets.

To view the financials tab, navigate to the funding proposal workspace and select the Financials tab.
The **Financials tab** shows a summary of all sponsor budgets including Personnel Costs, General Costs, Indirects, and Totals.

Please note that this tab will only include budgets where the question “Include in Consolidated Financials?” is marked as yes on the SmartForm. This property should always be marked No for cost share budgets. It should be marked as No for project budgets if they were created as drafts or are erroneous.

### 4.4 Budget PDF

A budget PDF can be created on the funding proposal to share with internal parties (such as key personnel) or sponsors.

To create the PDF, select the Generate Budget PDF activity.

Click OK to generate the PDF.
Navigate to the history tab to view the PDF.

Click the PDF and it will open in another tab.

The PDF can be downloaded and printed as needed.

If there are multiple budgets, the PDF will show a summary budget and each individual budget. It will show a breakdown by sponsor budget and cost share budgets. The budget will also summarize and include any subaward budgets. Note that only sponsor budgets that are marked as “Include in Consolidated Budget” on the Budget SmartForm will be included in the PDF.