AURA – Grants Budget & SF424 Guide

Advanced Editing ........................................................................................................................................................................................ 3
Navigating to Budget Module and F&A Rates Section .............................................................................................................................. 4
How to Update/Add Multiple F&A Rates ........................................................................................................................................... 5
F&B (Fringe Benefit) Rates ......................................................................................................................................................................... 6
New NIH Salary Cap .................................................................................................................................................................................... 8
When Do I Use Cost-Sharing? ................................................................................................................................................................. 9
Where Do I Upload The Cost-Share Memo? .......................................................................................................................................... 9
Creating a Cost-Share Budget ..................................................................................................................................................................... 9
Modular Budgets .......................................................................................................................................................................................... 13
How to Create a Modular Budget in AURA ....................................................................................................................................... 13
Budget Reconciliations ............................................................................................................................................................................... 15
How to Enter Academic/Summer Salary ........................................................................................................................................... 17
Complex Budgets ...................................................................................................................................................................................... 17
How to Select SF424 Forms in AURA ............................................................................................................................................... 18
How to Properly Create SF424 Forms in AURA ..................................................................................................................................... 21
Biosketches ............................................................................................................................................................................................... 21
How to Create SF424 Forms in AURA ............................................................................................................................................. 23
SF424 Workspace ................................................................................................................................................................................... 24
How to Properly Update SF424 Forms ............................................................................................................................................... 25
How Budgets Transfer to SF424 Forms ............................................................................................................................................ 26
R&R Budget .............................................................................................................................................................................................. 26
Modular Budgets ...................................................................................................................................................................................... 30
How to Add Subrecipients to R&R Budgets ....................................................................................................................................... 31
AURA Budgets

What must be completed before creating budget periods?

- PI/Fellow page (2.0a/2.0b)
- If department is waiting to receive endorsed PI status request, skip 2.0a/b and jump to next view

*Tip: Do not enter another PI or Fellow in view 2.0 in order to complete a budget. Errors will occur in the system when you try to remove the old PI for the correct PI after a budget has been created.

Advanced Editing

- Used to enter budget periods that are not contiguous

Answer “Yes” to question 15.1 to unlock advanced editing. You are now able to manually enter start and end dates for each budget period. You will not be allowed to overlap budget periods.
Navigating to Budget Module and F&A Rates Section

From the Funding Proposal workspace select the “Budget Workspaces” tab and then select the working budget.

Select “Edit Budget” to enter the budget grids or “Grid: Inflation and F&A Rates” to update IDC rates for the project.
How to Update/Add Multiple F&A Rates
• Select “Grid: Inflation and F&A Rates”

Enter name you wish to designate to a specific rate. You can add up to 4 different rates.

Select “Rate Type” and enter the percentage for each budget period or select the blue arrow in the first budget period if all proceeding budget periods have the same rate.

Click “OK” when finished

*For most up-to-date information regarding F&A rates visit the Financial Services site at http://finserv.uchicago.edu/award/benefits.shtml
F&B (Fringe Benefit) Rates

- Fringe Benefit rates are employee benefit charges applied to all salaries charged to grants and contracts
- These benefit rates vary according to the type of employee and grant and contract. The rates may change annually

What rate should I use?

- Federal Proposals
  - University of Chicago calculates a rate based on current financial outlook and sends to Department of Human and Health Services for approval
  - No increments are allowed for future years
- Non-federal Proposals
  - The University Budget Office sets the nonfederal fringe benefit rate
  - It would be prudent to budget 0.1% increments of the current non-federal fringe benefit rate each year from the most current rate
  - Keep in mind that the rate can/will change once the new fiscal year starts and updates will need to be made to your budgets in AURA

*For most up-to-date F&B rates visit [http://finserv.uchicago.edu/award/benefits.shtml](http://finserv.uchicago.edu/award/benefits.shtml)
**F&B (Fringe Benefit) Rates**

- How to update F&B Rate on budget grids

### Personnel Costs

<table>
<thead>
<tr>
<th>Total Direct:</th>
<th>$13,335</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total F&amp;A:</td>
<td>$7,601</td>
</tr>
<tr>
<td>Total Project:</td>
<td>$20,936</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Salary Cap:</th>
<th>$199,700</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apply Inflation Period 1</td>
<td>☑</td>
</tr>
<tr>
<td>Inflation Rate:</td>
<td>3%</td>
</tr>
</tbody>
</table>

#### Detailed Budget Grid Data

<table>
<thead>
<tr>
<th>Period 1</th>
<th>Period 2</th>
<th>Period 3</th>
<th>Period 4</th>
<th>Period 5</th>
<th>Total Project Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subawards</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Other</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Total DC Budget (inc. sub. F&amp;A)</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Total F&amp;A Budget</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Total Budget</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

**Fringe Benefit Rates** will be updated directly on the personnel budget grid for each person. A standard rate will automatically show but can be updated manually to a different number if necessary.
New NIH Salary Cap

- New NIH salary cap is now $179,700 for all awards active as of 12/24/2011 as well as all future budget periods

*More detailed information can be found at:


- Show actual Salary in SF424 forms and budget
  - Cap may increase by the time the budget periods become active and we do not want to request less

*Tip – Budget module may create a Cost-Share budget due to salary being over the cap. In these instances, show the cap as the salary in the budget grid but show the actual salary in the SF424 forms.
When Do I Use Cost-Sharing?

- Cost-sharing (matching) are those costs or funds that the awarding agency requires the University to pay or contribute as a condition of the award.
- Each Division may have specific requirements for cost-sharing so it would be prudent to check with your Dean’s/Director’s office.

*For more information regarding cost-sharing and cost-sharing policies visit:
http://researchadmin.uchicago.edu/preparing/budget_development/cost_sharing.shtml

Where Do I Upload The Cost-Share Memo?

- Question 18.2 of the smartform

Creating a Cost-Share Budget

Select one of the 3 types of cost-sharing in question 4.0 of the budget. After clicking “Save” or “Continue”, a cost-share budget will have been created.
Creating a Cost-Share Budget

- Entering Personnel

On the **Personnel Costs** grid in the main budget, enter person(s) who need to show as cost-sharing. You will want to request % Effort greater and Salary Requested (SalReq). E.g. to show 2% cost-sharing the effort will be 2% and the salary requested from the sponsor would be 0%.
Creating a Cost-Share Budget

*Cost-sharing budget workspace is identical to the main budget workspace. Any adjustments to the cost-sharing F&A can be done via the “Grid: Inflation and F&A Rates” link.

New cost-sharing budget will show in Budget Workspaces tab. Select the budget with the “-Cost Sharing” identifier to go to the cost-sharing budget workspace.

*Tip – Ensure that when you are in the cost-share budget to answer question 4.0 as “No”. Answering “Yes” will cause another cost-share budget to be created.
Creating a Cost-Share Budget

Data entered in **Personnel Costs-Cost Sharing** section is identical to the main budget with the exception of the total salary showing.

- All other budget grids will be available in the cost-share budget that are available in the main budget and can be updated as normal (Travel, Animal, Patient, Subawards, General Costs, etc.)
Modular Budgets

What is a modular budget?

- Low Risk grant
- Only allows $250,000 direct costs per year of a project up to a total of $1,250,000 for the entire project
- Must be done in modules (increments) of $25,000
- The $250,000 cap per year only includes direct costs and consortium Direct and F&A costs but not UofC F&A costs
  - UofC F&A costs will be in addition to the amount requested
- Subrecipient F&A is included in total direct costs

How to Create a Modular Budget in AURA

Select “Yes” to question 6.0 in the main proposal budget in order for the Modular Costs grid to show in the budget grids. Click “Continue”. 
How to Create a Modular Budget in AURA

Enter total amount requested for each budget period. After saving, the budget summary grid will update with new proposed amounts. You can see that the total budget for a period is higher than the requested amount due to inclusion of UC F&A.
Budget Reconciliations

- Up to PI and administrator how funds will be distributed on a project
- URA requires that the budget be reconciled $0-$300 below budget
- Key Personnel % Effort must not change in order to cut down budget
  - Accurate effort reporting is crucial for current and pending support report
- $1 trick
  - Follow department standards
  - Used when wanting to quickly reconcile an amount or when trying to enter a large general amount
  - Note: the $1 trick generalizes a budget and substantially removes any reporting that can be done with budget amounts being associated with specific line items

### General Costs

<table>
<thead>
<tr>
<th>Total Direct</th>
<th>$1,250,000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total F&amp;A</td>
<td>$666,700</td>
</tr>
<tr>
<td>Total Budget</td>
<td>$1,916,700</td>
</tr>
</tbody>
</table>

#### Detailed Budget Grid Data

<table>
<thead>
<tr>
<th>Period 1</th>
<th>Period 2</th>
<th>Period 3</th>
<th>Period 4</th>
<th>Period 5</th>
<th>Total Project Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$133,254</td>
<td>$137,117</td>
<td>$141,097</td>
<td>$145,191</td>
<td>$149,413</td>
</tr>
<tr>
<td>Subawards</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
</tr>
</tbody>
</table>

1. Uncheck “Apply Inflation” box
2. Enter $1 as the “Unit Cost”
3. Enter total dollar amount in the “# Units”

Note: the $1 trick generalizes a budget and substantially removes any reporting that can be done with budget amounts being associated with specific line items.
Budget Reconciliations

What about Converted Records?

- No need to reconcile previous budget periods on records that are converted
  - The budget status will show N/A Converted, Authorized (Converted)
- Important to enter effort for PIs and key personnel on current and future budget periods
- Authorized (Converted) vs. Authorized
  - Authorized (Converted) budget period amounts were pulled from the old TRACS system and AURA Grants will not force you to reconcile those budget periods.
  - Authorized budget period amounts are newly entered amounts that require reconciliation before proceeding in the AURA Grants system
How to Enter Academic/Summer Salary

- Divide the total yearly salary by the number of academic or summer months to compute the total salary for that specific time period.
- Enter either the academic or summer month total salary in the Base Salary section.
- Enter % Effort and SalReq as normal.

Complex Budgets

- Includes all training, program, and other similar type budgets.
- AURA Grants does not currently support functionality for complex budgets.
- Put personnel in AURA and bottom line:
  - All PIs who will contribute effort on the project will show in budget grids.
  - One line item for costs with F&A.
  - One line item for costs without F&A.
- Attach internal budget to AURA that breaks down funds.
How to Select SF424 Forms in AURA

- Grant Finder

From the initial user workspace page click on “Check FOA Status” to access AURA’s grant database.
How to Select SF424 Forms in AURA

Enter in Opportunity ID/FOA in the “Opportunity ID” search box. Click “Get Opportunities”. FOA should show and will either have a hyperlink or a Download button showing to access the forms.

Click hyperlink to see if forms are supported by AURA to be submitted S2S (System-to-System).
How to Select SF424 Forms in AURA

**Additional Information**

- NSF requests that all NSF proposals be submitted through FastLane and not grants.gov
- All FOAs not supported to be submitted S2S or not found in the AURA Grants system will be submitted outside of AURA
  - Routed through AURA for approvals
  - You will need to download the Adobe forms from grants.gov
- All other supported federal opportunities will be submitted through AURA Grants

You will be able to know if an FOA is supported to be submitted S2S in AURA if all forms in the Required Forms and Optional Forms are marked “yes”.
How to Properly Create SF424 Forms in AURA

1. Complete Smartform
2. Complete budget grids
3. Upload Key Personnel Biosketches
4. Create/Update SF424 forms activity

Biosketches

- All biosketches for Key Personnel will be uploaded to the SF424 forms via the “Upload Key Personnel Biosketches” activity
- Updates regarding Key Personnel biosketches should be done via the activity and the SF424 forms updated via the “Create-Update SF424” activity
- Primary PI biosketch will NOT be uploaded via the biosketch activity but will be uploaded directly on the SF424 forms
Biosketches

1. Select PI to add biosketch to by clicking “Update” next to PI’s name.

2. Upload file to AURA and enter a Title if you prefer the document name to not show.

3. Click “OK” to upload biosketch. Clicking “Delete” or “Upload Revision” will either remove the document or allow for a newer version to be added.
From the main proposal workspace select the “Create-Update SF424” activity to create/update the SF424 forms.
SF424 Workspace

- To edit the SF424 you will click on “Edit Grant Application”
- You can assign editors to the grant application by adding them via the “Assign Editors and Readers” activity
- You can log comments
- You can import a subawardee’s R&R budget directly to the SF424
How to Properly Update SF424 Forms

**Budget**

- For those applications whose budget transfer to the SF424 forms, we recommend using the budget grids
  - “Create-Update SF424” activity will copy all new budget data to SF424 forms
- Manually entering data into the SF424 forms causes risk of lost data if “Create-Update SF424” activity is executed
  - All old data showing in budget grids will overwrite all manually entered work even if it was saved

**Biosketches**

- Primary PI
  - Update on SF424 forms
- Key Personnel
  - Update via “Upload Biosketch” activity

**Data Copied From Smartforms**

- All information that is copied from the smartforms should be updated in the smartform first then updated in the SF424 forms via activity
- Manually entering data into the SF424 forms causes risk of lost data if “Create-Update SF424” activity is executed
  - All old data showing in smartforms will overwrite all manually entered work even if it was saved
How Budgets Transfer to SF424 Forms

- Not all budgets will transfer to the SF424 forms (e.g. Training grant budgets)
  - For guidance on completing complex budgets in AURA contact your URA manager or the AURA help-desk
- All R&R budgets and modular budgets will be copied to the SF424 forms from the AURA budget grids

R&R Budget

Things to Remember

- Order of personnel on “Personnel Costs Grid” is the order that key personnel will show in the R&R budget page
- AURA will automatically create a cost-share budget if base salary is showing over the “Salary Cap”

Base Salary for primary PI is over the salary cap so the amount needs to be entered manually by un-checking the “Apply Inflation” check box and entering base amount in the “Base” section.
All key personnel with role of PD/PI showing in the Senior/Key Person section and all additional personnel show in the Additional Persons section.

AURA will group similar project roles together as shown for personnel with the Post Doctoral Role.
Similarly, different costs will be grouped into specific sections on the budget.
### R&R Budget

#### Other Costs

- Other Direct Costs
  - Materials and Supplies: $27,000.00
  - Consultant Costs: $10,000.00
  - Equipment or Facility Rental/Use Fee: $25,000.00

#### Indirect Costs

- Indirect Costs Details
  - HHS/NIH (MTDC)
  - Hazardous Material Use, Indirect Cost Rate: 10%
  - Indirect Cost Base: $200,000.00
  - Total Indirect Costs: $114,145.10

#### Total Direct and Indirect Costs

- Total Direct and Indirect Costs: $231,945.10
Modular Budgets

Things to Remember

- Question 6.0 in the “General Budget Information” section must be answered to “Yes”
- Total Direct Costs cannot be in excess of $250,000 per year including subaward F&A

Only high level information will show in the modular budget forms in the SF424 such as Direct Costs, Consortium F&A, Indirect Costs and Total Cost.
How to Add Subrecipients to R&R Budgets

Things to Remember

- Subaward optional forms need to be added to SF424
- R&R forms will be downloaded from AURA and sent to subaward institution to be filled out
- Subaward budget will need to be uploaded via Import Subaward activity

Selecting a Subaward Budget

- Select R&R Subaward Budget Attachment Form on the first page of the SF424
How to Download R&R Subaward Budget Forms

- You will only be able to download the subaward budget forms if you've selected the subaward budget attachment form in the SF424.

Select “Download R&R Subaward Budget forms”. You will be prompted to open the zip file. Once the file is opened you will be able to save a copy to your computer to send the subrecipient(s).
How to Upload R&R Subaward Forms

- Select the number of subawardees in the SF424
- Upload each subawardee separately via the “Import Subaward” activity.

Jump to the “R&R Subaward Budget – Number of Subawards” page in the SF424 and enter the number of subawardees. Click Save and exit the forms. *Note This must be done first before you import the subaward budget.
To import a subaward you will select the "Import Subaward" activity, select the slot for the subaward, and select the file received from the subrecipient to upload.

- Once subawards have been uploaded, the subaward forms in the SF424 will be automatically updated.
Adding PDFs to the SF424 Forms

- You will need to properly name the PDF file in order for the file to open in the AURA system and to not cause any errors during submission
  - The only acceptable characters to use to name your PDF file are: A through Z, a through z, 0 through 9, and underscore (_)
  - Do not use any special characters (example: “&”, “-”, “*”, “%”, “/”, and “#”) or spacing in the file name
    - For word separation use underscore (example: “My_Sample_File.pdf”) in naming the attachments

Example:

- Some.PDF&anotherPDF//1.pdf  WRONG 😞
- Dr_Smith_pdf_form1.pdf  RIGHT 😊

How to Correct Common SF424 errors

- Detailed R&R budget showing “0” in academic/calendar months slots
  - This will not cause an error in Commons or AURA but can be remedied by removing the 0’s showing in those spots
- PDF title of a file exceeds maximum amount
  - The title must be under 50 characters
- More budget periods show in AURA SF424 than entered in budget
  - Go to the page titled “Research & Related Budget – Section A&B, Budget Period 1” and update the number of budget periods in the section titled “Number of Budget Periods”
- If you need to resubmit the application due to correcting errors/updates, be sure to answer question 1.0 on the SF424 (R&R) Cover Form to “Change/Corrected Application” to ensure you do not a submit a duplicate entry.
- Error message due to duplicate file names
  - You must have unique file names for each of your attachments in the SF424
- Errors and warning in AURA are based on the vendors interpretation of the FOA and agency guidelines
  - You may find instances where error/warning message contradicts FOA
    - In these instance contact the AURA Help-Desk (AURA-Help@uchicago.edu) for assistance
- A comprehensive list of common errors can be found at: