



April 2020



FY20 Upgrade Demonstration

Agenda

- When & What Will Change
- Outage Impact
- New User Access & Routing Assignment Module
- Create & Submit a Request
- Review & Approval
- Proposal Development Enhancements
- Personnel Screen
- Budget Tool
- Proposals with 5/25 Deadline
- Reference Materials & Resources



When & What Will Change?

- Upgrade targeted to go-live **Monday, April 20**
- Required to respond to current and future business needs; includes:
 - Moving from NIH form set E to F (FORMS-F)
 - Required for electronic submissions as of 5/25/20
 - New user access and routing assignment module
 - Replaces paper processes for requesting and approving access to PennERA modules
 - Updated user interface
 - Screens will have an updated look and feel with a more intuitive interface
- Terminology change
 - New version uses **SubAward** replacing SubContract or SubAccount

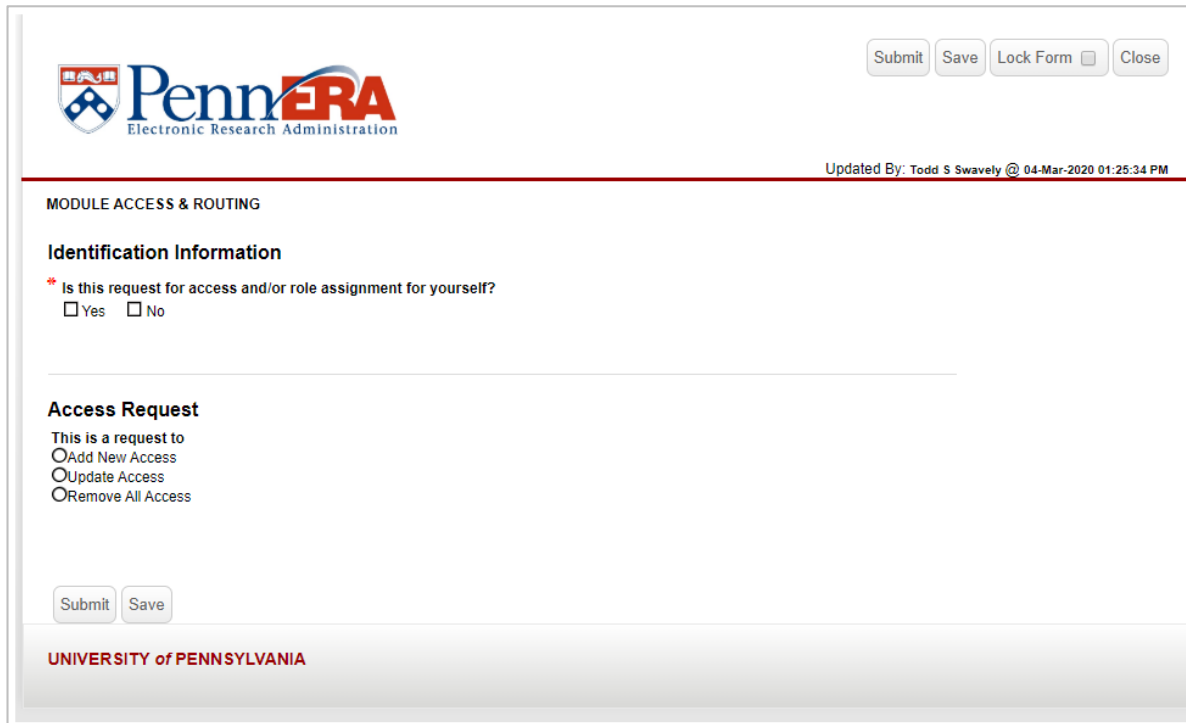


- System expected to be unavailable from Thursday, April 16 at 5:00pm until Monday, April 20 at 8:00am
- All current PennERA, HS-ERA (Human Subjects), and ARIES (Animal Research) users will be affected by the outage:
 - PennERA will be unavailable
 - Data Warehouse Proposals Collection will be available; however:
 - Running with stale PennERA data
 - HS-ERA and ARIES will be available; however:
 - Running with stale PennERA data (as of time of outage)
 - No integrations to or from PennERA will run until upgrade complete
 - As the Research Inventory System (RIS), SHEPHERD, FIDES, and PHS-FITS retrieve data from PennERA:
 - Also running with stale data until upgrade complete
 - May experience intermittent effects as well



New User Access & Routing Assignment Module

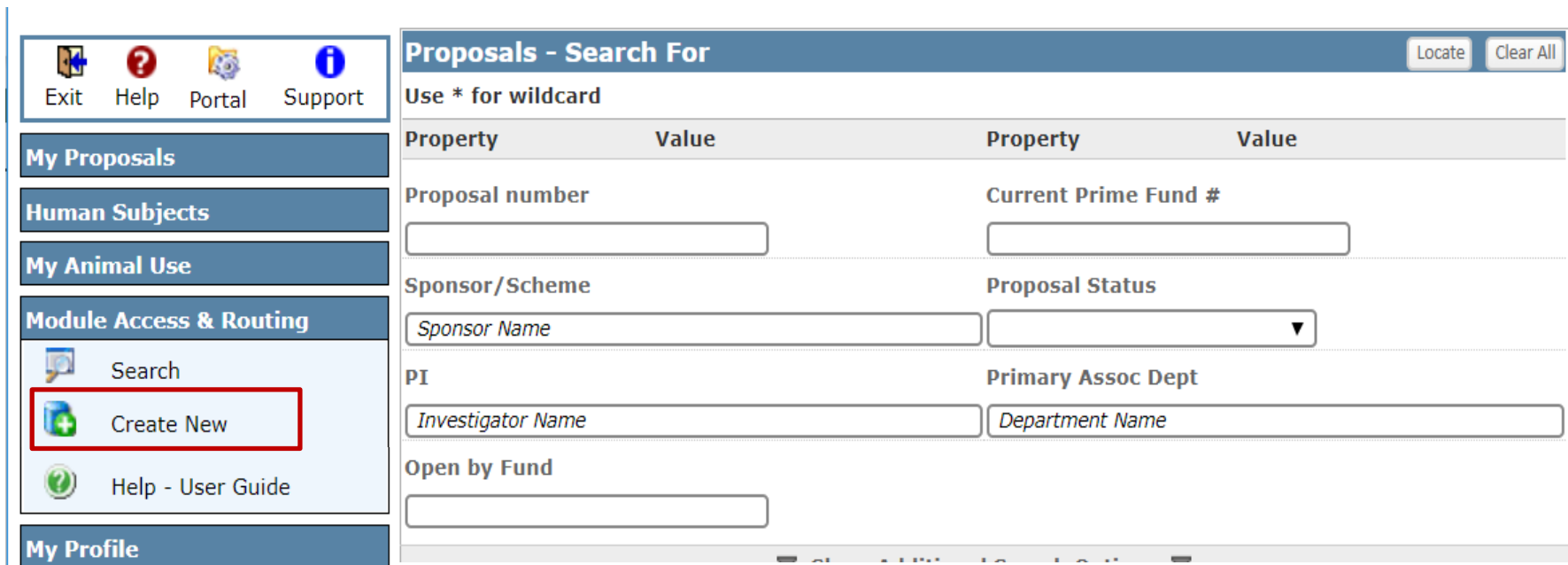
- New dynamic module available to all users (faculty and staff)
- Replaces paper processes for requesting and approving:
 - Secured access to PennERA modules
 - Routing and Approval assignments
- Electronic routing and signatures/PennKey secured



The screenshot shows a web form titled "MODULE ACCESS & ROUTING" from PennERA. At the top left is the PennERA logo. At the top right are buttons for "Submit", "Save", "Lock Form" (with a lock icon), and "Close". Below the logo is the text "Updated By: Todd S Swavely @ 04-Mar-2020 01:25:34 PM". The form content includes a section for "Identification Information" with a required question: "* Is this request for access and/or role assignment for yourself?" with radio buttons for "Yes" and "No". Below that is an "Access Request" section with the text "This is a request to" and three radio button options: "Add New Access", "Update Access", and "Remove All Access". At the bottom left of the form are "Submit" and "Save" buttons. The footer of the form contains the text "UNIVERSITY of PENNSYLVANIA".


Create & Submit a Request

- In the left-hand menu, click “**Module Access & Routing**”
- Click “**Create New**”
- On the Create pop-up screen, click “**Continue**”



The screenshot displays the Penn ERA web application interface. On the left is a navigation menu with the following items: Exit, Help, Portal, Support, My Proposals, Human Subjects, My Animal Use, **Module Access & Routing** (highlighted), Search, **Create New** (highlighted with a red box), Help - User Guide, and My Profile. The main content area is titled "Proposals - Search For" and includes "Locate" and "Clear All" buttons. Below the title is a section for "Use * for wildcard" with a table of search criteria:

Property	Value	Property	Value
Proposal number	<input type="text"/>	Current Prime Fund #	<input type="text"/>
Sponsor/Scheme	<input type="text" value="Sponsor Name"/>	Proposal Status	<input type="text" value="▼"/>
PI	<input type="text" value="Investigator Name"/>	Primary Assoc Dept	<input type="text" value="Department Name"/>
Open by Fund	<input type="text"/>		

- Complete the *Identification Information* section:
 - Choose if this is a request for yourself or another individual and assign the appropriate supervisor
 - The  icon can be used to find an individual if either answer is “No”


Identification Information

* Is this request for access and/or role assignment for yourself?
 Yes No

* Assignee: BITTO, CHRISTIAN
Employee/Student ID 48355711
Department 8760 - Research Services
Email cbitto@upenn.edu

* Are you the Supervisor of the individual for whom this request is being made?
 Yes No

Please select the Supervisor of the individual for whom this request is being made.

* Supervisor: Swavely, Todd S 
Employee/Student ID 10021294
Department 8760 - Research Services
Email tswavely@upenn.edu



- Complete the *Access Request* section:
 - Choose “Add New”, “Update”, or “Remove All” access
 - Select the appropriate Module for assignment

Access Request

* This is a request to

- Add New Access
- Update Access
- Remove All Access

* Please select all Modules for which you are requesting access:

- Proposal Development / Proposal Tracking
- Proposal Routing / Approval Path Inclusion
- Human Subjects
- Lab Animals

Create & Submit a Request

- Complete the *Access Request* section:
 - Click “Add” to add a request line under each selected module
 - Choose the type of request, role, and ORG/ORG Parent

Proposal Development / Proposal Tracking Access Add

Request	Role	ORG/ORG Parent	ORS Use Only	
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Edit PD/View PT ▼	GENE	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Profile Admin ▼	4108	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete

Notes

Proposal Routing & Approval Path Inclusion Add

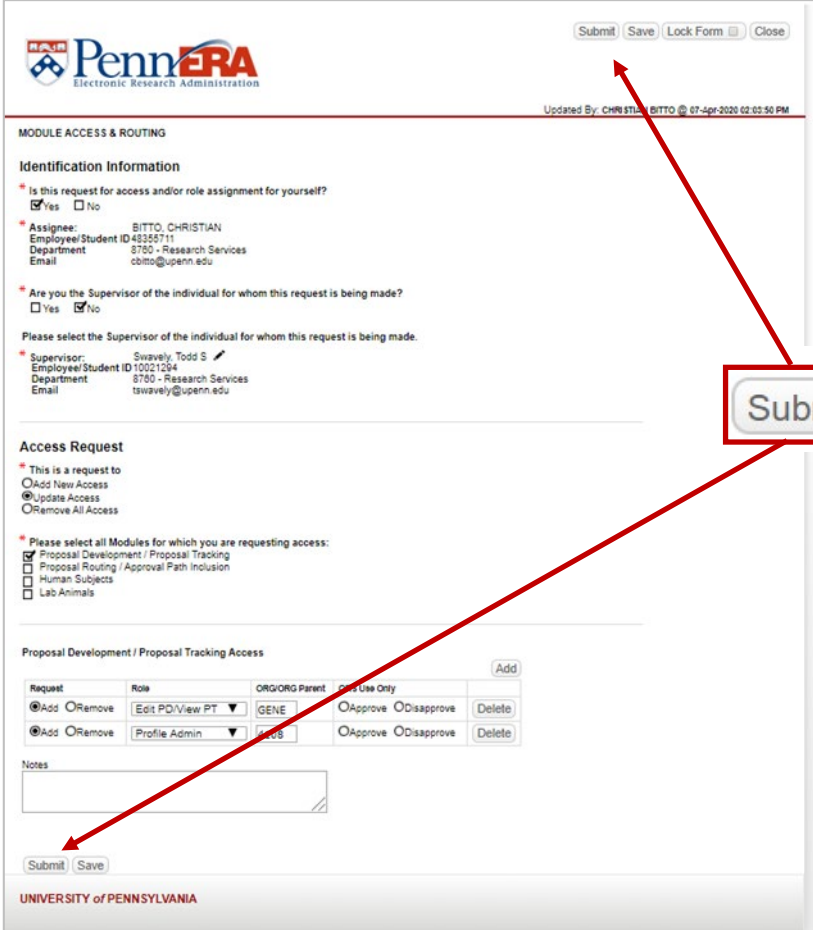
If choosing Department Approver role, please enter individual ORGs.

Request	Role	ORG/ORG Parent	ORS Approval	
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Department Approver ▼	4108	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete
<input type="radio"/> Add <input checked="" type="radio"/> Remove	Department Approver ▼	4124	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete

Notes

Create & Submit a Request

- Once completed, the user can click “Submit” either at the top or bottom of the form



The screenshot shows a web form for PennERA. At the top right, there are buttons for 'Submit', 'Save', 'Lock Form', and 'Close'. A red arrow points from the 'Submit' button at the top to a larger 'Submit' button in the middle of the form, which is highlighted with a red box. Another red arrow points from the bottom 'Submit' button to the same middle 'Submit' button. The form contains sections for 'Identification Information' and 'Access Request'.

MODULE ACCESS & ROUTING

Identification Information

- Is this request for access and/or role assignment for yourself?
 Yes No
- Assignee: BITTO, CHRISTIAN
Employee/Student ID 48358711
Department 8760 - Research Services
Email cbitto@upenn.edu
- Are you the Supervisor of the individual for whom this request is being made?
 Yes No
- Please select the Supervisor of the individual for whom this request is being made.
Supervisor: Swavely, Todd S.
Employee/Student ID 10021294
Department 8760 - Research Services
Email tswavely@upenn.edu

Access Request

- This is a request to
 Add New Access
 Update Access
 Remove All Access
- Please select all Modules for which you are requesting access:
 Proposal Development / Proposal Tracking
 Proposal Routing / Approval Path Inclusion
 Human Subjects
 Lab Animals

Proposal Development / Proposal Tracking Access

Request	Role	ORG/ORG Parent	Org Use Only	
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Edit PO/View PT	GENE	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Profile Admin	GENE	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete

Notes

Submit Save

UNIVERSITY of PENNSYLVANIA

- The review path for access and routing requests includes the following:
 - Supervisor (chosen in the record)
 - School/Center Access Administrator
 - Module Administrator
 - PD/PT
 - Proposals Routing Assignment
 - Human Subjects Management
 - Lab Animals Management
 - PennERA Security Group (where access will be assigned)
- A system notice will be sent to the individual and supervisor upon completion of the review



- Individuals in the review path will receive an approval notice at the following locations:
 - UPenn mailbox (as identified in the person's PennERA profile)
 - PennERA Action Items
 - PennERA Inbox
- The review takes place in the Review Dashboard
 - Process for review is similar to Proposals review in PennERA
- The review is linear and subsequent steps will not send out notifications until the current step is completed



Review & Approval

My Open Action Items

- None Defined -

Access Request - Access Request - New Access Request Created by CHRISTIAN BITTO on 4/1/2020 12:16:10 PM, 4/1/2020 12:16:12 PM

PI: NEY, DONNA (8760 - Research Services)

Title: New Access Request Created by CHRISTIAN BITTO on 4/1/2020 12:16:10 PM, 4/1/2020 12:16:12 PM

Open Action Items: 0

Status: Request Under Review

Submission Type: Access Request

Assigned: 01-Apr-2020 0:17:20 PM

Item Type: Dashboard

From: [PennERA_Admin](#)
To: [Bitto, Christian](#)
Subject: Module Access and/or Routing Request - MISS DONNA M NEY - 8760 - Research Services
Date: Wednesday, April 1, 2020 12:17:24 PM

A new access and/or routing request for MISS DONNA M NEY , 8760 - Research Services has been submitted for your approval. You have been identified as the supervisor for this individual and should review the request at the link below.

To review, approve or disapprove this request click: [Reviewer Dashboard](#).

■ Review Dashboard

- Reviewers can access the request form via a link in the dashboard
- Changes can be made to the form by unchecking the “Lock Form” box
- Once changes are made, the form should be locked back down before exiting

Access Request - Access Request

Number: [118](#)

Title: New Access Request Created by CHRISTIAN BITTO on 4/1/2020 12:16:10 PM, 4/1/2020 12:16:12 PM

Submitted: 01-Apr-2020 12:17:17 PM

Form/Document	Document Type	Submitted	
Module Access & Routing Assignment Request	Access Request	01-Apr-2020 12:17:18 PM	PDF



Lock Form Close

Updated By: CHRISTIAN BITTO @ 01-Apr-2020 12:16:48 PM

MODULE ACCESS & ROUTING

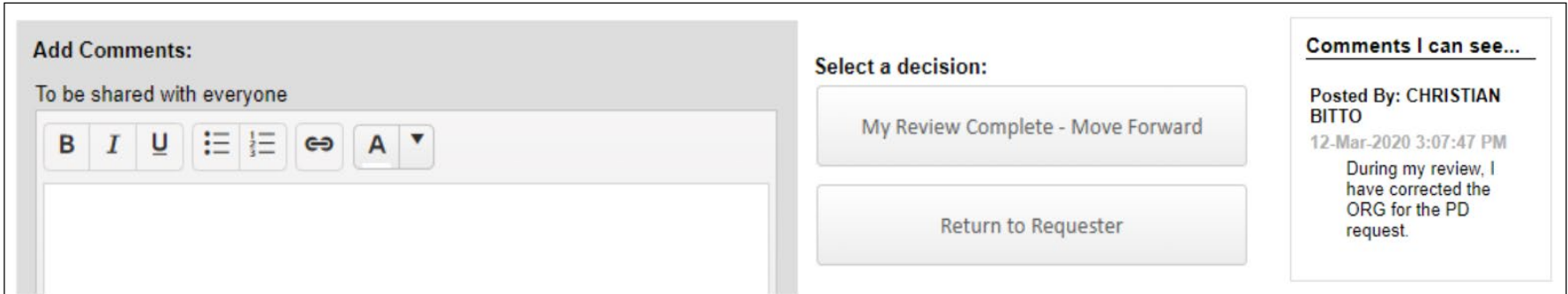
Identification Information

* Is this request for access and/or role assignment for yourself?

Yes No

■ Review Dashboard

- After reviewing the form, the reviewer can make comments and select their decision:
 - **My Review Complete – Move Forward** will complete the review step and notify the next step
 - **Return to Requester** will notify the individual that the review will not continue; the individual can then either delete the request or make changes and resubmit for review
- At the completion of all review steps, the PennERA team will assign the appropriate system roles



The screenshot displays a web interface for reviewing a request. It is divided into three main sections:

- Add Comments:** A text area with a rich text editor toolbar (bold, italic, underline, list, link, unlink, text color) and a dropdown menu. The text "To be shared with everyone" is visible above the editor.
- Select a decision:** Two buttons are present: "My Review Complete - Move Forward" and "Return to Requester".
- Comments I can see...:** A box showing a comment posted by "CHRISTIAN BITTO" on "12-Mar-2020 3:07:47 PM". The comment text reads: "During my review, I have corrected the ORG for the PD request."

- Improved Proposal Development Budget Tool
 - More streamlined budget entry
 - Only a single completion step is required to lock the entire budget

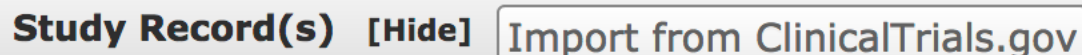
- Predictive text searches
 - Alpha-split picklists have been replaced with predictive text in many places

- Multiple budget versions can be saved to the PD record
 - Each version of the detailed budget data may be exported to Excel
 - Facilitates planning scenarios

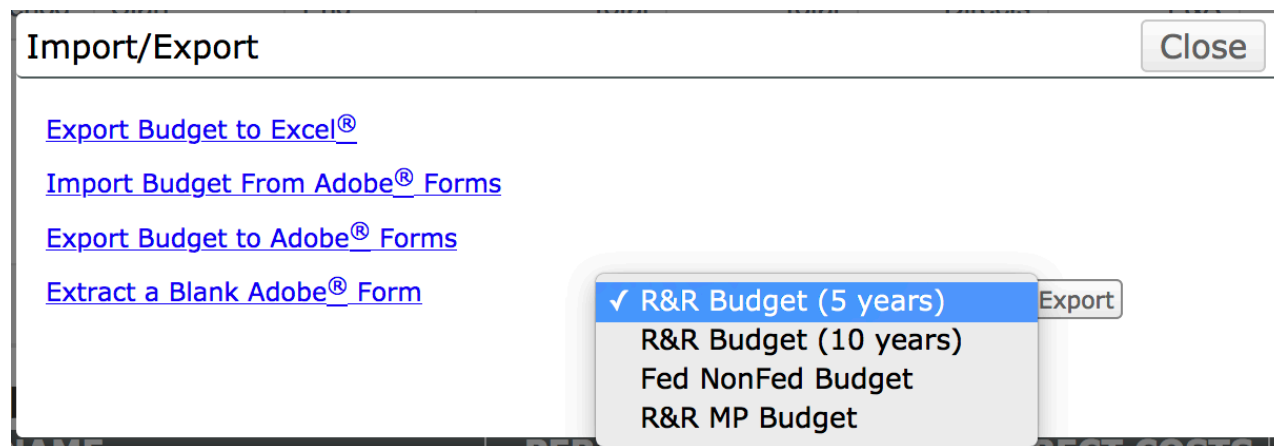
- Updated screens
 - Layout and process for creating and completing a proposal largely the same



- Human Subjects/CT form can connect with ClinicalTrials.gov
 - Study record forms can be created and populated if the study is registered at ClinicalTrials.gov



- Blank Adobe budget forms can be extracted from a PD record to send to SubAwardees



The screenshot shows a dialog box titled "Import/Export" with a "Close" button in the top right corner. Inside the dialog, there are four blue hyperlinks: "Export Budget to Excel®", "Import Budget From Adobe® Forms", "Export Budget to Adobe® Forms", and "Extract a Blank Adobe® Form". A dropdown menu is open over the "Extract a Blank Adobe® Form" link, showing a list of budget types: "R&R Budget (5 years)" (which is selected and has a checkmark), "R&R Budget (10 years)", "Fed NonFed Budget", and "R&R MP Budget". An "Export" button is visible to the right of the dropdown menu.



- Single point of entry to begin Personnel and SubAwards
 - All Penn, SubAward, and External personnel may be added from the Personnel screen
- SubAwards can be initiated from the Personnel screen
 - Click “Proposal Structure” to add
 - SubAward budget detail may be imported in Budget OR manually entered in Personnel and Budget sections

Add Personnel [hide]

✓ Prime

SubAward: 7017036

Personnel Type

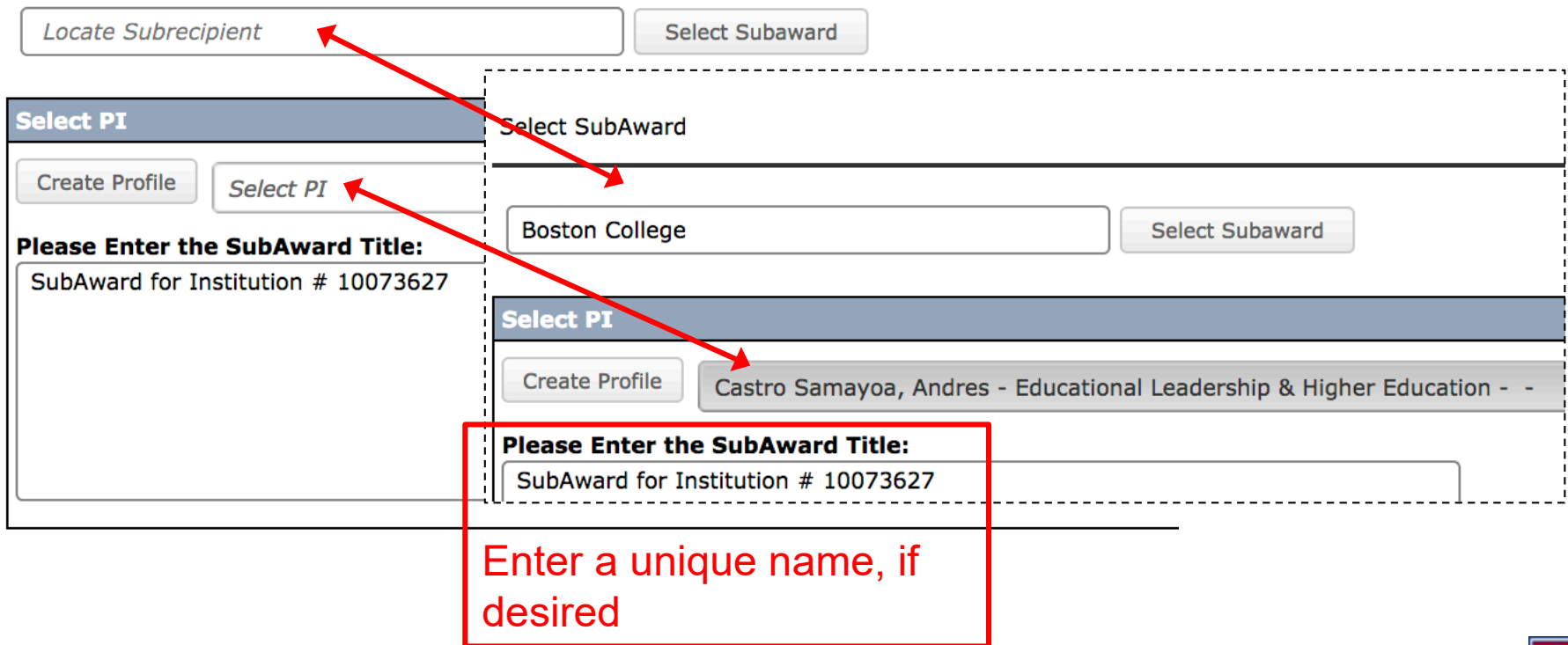
Proposal Structure

- Proposal Structure includes the Prime (Penn) and SubAward Elements
 - Second-tier SubAwards may now be added to first-tier SubAwards
 - Click “Add SubAward” in the appropriate Element

Element	Institution Number	Project ID	Organization	PI	PI Department	Associated Budget/Award Increments				Add Element	Remove
						Period	Type	Start Date	Active		
Prime	10073627	1	University of Pennsylvania	Ford, Evelyn	8760 - Research Services	Requested Period 1	Budget Period *	01-Oct-2020	<input checked="" type="checkbox"/>	Add Subproject Add SubAward	
						Requested Period 2	Budget Period *	01-Oct-2021	<input checked="" type="checkbox"/>		
						Requested Period 3	Budget Period *	01-Oct-2022	<input checked="" type="checkbox"/>		
						Requested Period 4	Budget Period *	01-Oct-2023	<input checked="" type="checkbox"/>		
						Requested Period 5	Budget Period *	01-Oct-2024	<input checked="" type="checkbox"/>		
SubAward	7017036	2	Children's Hospital of Philadelphia	Ginsberg, Jill	Oncology	Requested Period 1	Budget Period *	01-Oct-2020	<input checked="" type="checkbox"/>	Add SubAward	Remove
						Requested Period 2	Budget Period *	01-Oct-2021	<input checked="" type="checkbox"/>		
						Requested Period 3	Budget Period *	01-Oct-2022	<input checked="" type="checkbox"/>		
						Requested Period 4	Budget Period *	01-Oct-2023	<input checked="" type="checkbox"/>		
						Requested Period 5	Budget Period *	01-Oct-2024	<input checked="" type="checkbox"/>		

- On the Select SubAward screen:
 - Locate an entity and associated PI by predictive text searching
- Complete SubAward data entry in Personnel and/or Budget

Select SubAward



The screenshot shows the 'Select SubAward' interface. At the top, there is a search bar labeled 'Locate Subrecipient' and a 'Select Subaward' button. Below this is a 'Select PI' section with a 'Create Profile' button and a 'Select PI' button. A red arrow points from the 'Locate Subrecipient' search bar to the 'Select PI' button. Below the 'Select PI' section is a text input field for the 'SubAward Title' containing the text 'SubAward for Institution # 10073627'. A second red arrow points from the 'Select PI' button to this text input field. Below the text input field is a 'Select Subaward' button. Below this is another 'Select PI' section with a 'Create Profile' button and a dropdown menu showing 'Castro Samayoa, Andres - Educational Leadership & Higher Education - -'. A red arrow points from the dropdown menu to the 'SubAward Title' text input field. A red box highlights the 'SubAward Title' text input field, and a red text box below it contains the instruction: 'Enter a unique name, if desired'.

- Select Prime (Penn) or SubAward element to add personnel

Add Personnel [hide]

✓ Prime
SubAward: 7017036

- Select Personnel Type, then locate existing staff
 - Add new staff to be hired from Create Profile

Add Personnel [hide]

Prime

Personnel Type

Name (Last, First) Role

Locate existing staff through predictive text searching

- Multiple Personnel Types are available for selection
- All types may be used for either Prime or SubAward personnel

Personnel Type












Key
Non-Key
Other Significant Contributor
Consultant - Key
Consultant - Non-Key
External Consultant - Key
External Consultant - Non-Key
External Consultant - Other Significant Contributor

Personnel Screen






- Personnel are displayed with an identifying Legend key
 - Add Personnel fields may be hidden to view the Personnel list **Add Personnel [hide]**
- Personnel email may be directly accessed to notify of needed PennERA Profile updates

Add Personnel [show] % Effort



Senior/Key

	PI	NAME/ROLE	MAIL	ALERT	ORGANIZATION / DEPARTMENT	% EFFORT	CV/BIOSKETCH	CURRENT/PENDING SUPPORT	REM
		 John E. Begud <i>PD/PI *</i>			TOPU - TOP Epidemiology	<input type="text" value="10%"/>			
:		 Jill Phillips Ginsberg <i>SubAward PI</i>			Children's Hospital of Philadelphia Oncology	<input type="text" value="0%"/>			

Non-Key







	PI	NAME/ROLE	MAIL	ALERT	ORGANIZATION / DEPARTMENT	% EFFORT	CV/BIOSKETCH	CURRENT/PENDING SUPPORT	REM
:		 JOHN JONES <i>Graduate Student</i>			University of Pennsylvania 2100 - Health System	<input type="text" value="100%"/>			

Legend:

-  **Prime**
-  **SubAward - 7017036 (Jill Ginsberg)**

- Entries can be reordered by drag-and-drop

Senior/Key

	PI	NAME/ROLE	MAIL	ALERT
		 Evelyn J Ford <i>PD/PI *</i>		
		 Jill Phillips Ginsberg <i>SubAward PI</i>		

Drag-and-drop selection
to re-order entries

Legend:



Prime



SubAward - 7017036 (Jill Ginsberg)



- Multiple rigid entry processes streamlined to one flexible method
- Overall performance improvement

v15 (on-prem) test FORMS-F PA-FO-R01 no CT
Evelyn J Ford - 8760 - Research Services (NATIONAL INSTITUTES OF HEALTH) Proposal 10073603

Budget View Mode

Project Period: 01-Dec-2020 to 30-Nov-2024 Source View: Sponsor Rollup subprojects: Proposal Structure Import/Export Build PDF Un-Complete Budget

Year/Period	Periods [hide]		Sponsor [show]	Cost Sharing [...]	Project [hide]		
	Start	End	Total	Total	Directs	F&A	Total
1	01-Dec-2020	30-Nov-2021	405,520.83	-	250,000.00	155,520.83	405,520.83
2	01-Dec-2021	30-Nov-2022	406,250.00	-	250,000.00	156,250.00	406,250.00
3	01-Dec-2022	30-Nov-2023	406,250.00	-	250,000.00	156,250.00	406,250.00
4	01-Dec-2023	30-Nov-2024	406,250.00	-	250,000.00	156,250.00	406,250.00
			\$ 1,624,270.83	\$ 0.00	\$ 1,000,000.00	\$ 624,270.83	\$ 1,624,270.83

Personnel [Hide]

NAME	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	DIRECT COSTS
Detail Ford, Evelyn PD/PI	-	-	-	-	\$ 0.00
Detail NEY, DONNA Faculty	-	-	-	-	0.00
Subtotal Personnel:	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

Non-Personnel [hide]


CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	DIRECT COSTS
Detail Other Costs	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 1,000,000.00
Subtotal Non-Personnel:	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 1,000,000.00


SubAwards [Show]

Subprojects [Show] Import as Subproject

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	TOTAL COSTS
Modular Budget Transaction:	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Total Sponsor Direct Costs:	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 1,000,000.00
Sponsor F&A:	155,520.83	156,250.00	156,250.00	156,250.00	624,270.83
Total Sponsor Costs:	\$ 405,520.83	\$ 406,250.00	\$ 406,250.00	\$ 406,250.00	\$ 1,624,270.83

- All budget screens may be accessed in any order
 - Screens do not need to be marked “Completed” when navigating from one to another
- Budget components may be expanded to view Budget Periods (click “+”)

 Budget	+
SubAwards (1)	+
F&A	
Cost Sharing	
Justifications	
Versions	
Setup	

 Budget	—
Period 1	+
Period 2	+
Period 3	+
Period 4	+
Modular Budget	
F&A	
Cost Sharing	
Justifications	
Versions	
Setup	

Budget Tool – Budget Screen

- Functions are available on the Budget screen to:
 - View budget summaries (Source View)
 - Project, Sponsor, Institution cost-sharing, and Unallowable expense
 - View Proposal Structure (Prime/Penn and SubAwards)
 - Export budget detail to Adobe forms or extract a blank form for SubAward collaborators
 - Build a PDF of the budget (S2S records only)
 - “Complete Budget” to lock



The screenshot shows the 'Source View' dropdown menu with the following options: Project (checked), Sponsor, Institution, and Unallowable. To the right of the dropdown is a 'Rollup subprojects:' section with a 'Not Rollup' dropdown menu. Further right are four buttons: 'Proposal Structure', 'Import/Export', 'Build PDF', and 'Complete Budget'. Below these elements is a table with columns for 'Sponsor [show]', 'Cost Sharing [show]', and 'Project [hide]'. The table content is partially obscured by the dropdown menu.

Budget Tool – Budget Screen

- Select Import/Export to perform several activities:

Import/Export Close

[Export Budget to Excel®](#)

[Import Budget From Adobe® Forms](#)

[Export Budget to Adobe® Forms](#)

Export for Grants.gov Opportunity #:
 Search

Export as: RR_Budget_1_4-V1.4 Export

This Document will require Adobe Reader 8 or Higher.
Please make sure you have Adobe Reader Installed or your
Viewing environment is configured to use Adobe Reader.
For further support, go to
www.adobe.com/support/products/acrreader.html

[Extract a Blank Adobe® Form](#)



Budget Tool – Budget Screen

- Expense Type sections can be hidden to reduce screen clutter or shown to display all entries

Personnel [Hide]							
	NAME		PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	DIRECT COSTS
<input type="button" value="Detail"/>	Ford, Evelyn	PD/PI	-	-	-	-	\$ 0.00
<input type="button" value="Detail"/>	NEY, DONNA	Faculty	-	-	-	-	0.00
Subtotal Personnel:			\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

Non-Personnel [hide]							
	CATEGORY		PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	DIRECT COSTS
<input type="button" value="Detail"/>	Other Costs		\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 1,000,000.00
Subtotal Non-Personnel:			\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 1,000,000.00

SubAwards [Show]						
		PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	TOTAL COSTS
<i>Modular Budget Transaction:</i>		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Total Sponsor Direct Costs:		\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00	\$ 1,000,000.00
Sponsor F&A:		155,520.83	156,250.00	156,250.00	156,250.00	624,270.83
Total Sponsor Costs:		\$ 405,520.83	\$ 406,250.00	\$ 406,250.00	\$ 406,250.00	\$ 1,624,270.83

Budget Tool – Budget Screen

- Key and Non-Key Personnel added on the Personnel screen will be displayed here
- Click the “Detail” button by each person to access the expense entry screen (see next slide)

Personnel [Hide]

	NAME		PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS	
<input type="button" value="Detail"/>	Begud, John	PD/PI	\$ 19,845.00	\$ 20,440.35	\$ 20,440.35	\$ 20,440.35	\$ 20,440.35	\$ 101,606.40	
Subtotal Personnel:			\$ 19,845.00	\$ 20,440.35	\$ 20,440.35	\$ 20,440.35	\$ 20,440.35	\$ 101,606.40	

- Prime/Penn Key and Non-Key Personnel with effort may also be added on this screen
 - Locate existing personnel through predictive text searching
 - Add staff to be hired at a later time from Add New Profile
 - Other external personnel without effort and not associated with a SubAward **must** be entered on the Personnel screen



Budget Tool – Budget Screen

- In the Detail view for each person, PD will automatically calculate future years' values
 - Enter Base Salary and Effort in Period 1 and escalation % in Period 2
 - Select Fringe Benefit rate
- Note the ability to enter Cost Sharing for each expense item

Detail
Appointments
Justifications
Cost Sharing
Effort Periods

Committed Effort
Save and Close
Save
Close

Costs by Budget Period Effort Show Calculation Details

PERIOD	ROLE		BASE SALARY	EFFORT	SALARY	FRINGE BENEFITS	TOTAL
1	PD/PI		150,000.00	10.000	15,000.00	<i>Full-Time Fed...</i> 4,845.00	\$ 19,845.00
2	PD/PI	3.00 %	154,500.00	10.000	15,450.00	<i>Full-Time Fed...</i> 4,990.35	20,440.35
3	PD/PI	%	154,500.00	10.000	15,450.00	<i>Full-Time Fed...</i> 4,990.35	20,440.35
4	PD/PI	%	154,500.00	10.000	15,450.00	<i>Full-Time Fed...</i> 4,990.35	20,440.35
5	PD/PI	%	154,500.00	10.000	15,450.00	<i>Full-Time Fed...</i> 4,990.35	20,440.35
Total					\$ 76,800.00	\$ 24,806.40	\$ 101,606.40

Budget Tool – Budget Screen

- Adding Non-Personnel Expense – single entry:
 - Select Budget Category, then click “Add Item”
 - Click “Detail” to access expense entry screen

Non-Personnel [Hide]

	CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS	
<input type="button" value="Detail"/>	Equipment (Purchased)	-	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 60,000.00	<input type="button" value="Delete"/>
Subtotal Non-Personnel:		\$ 0.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 60,000.00	

Equipment (Purchased) <input type="button" value="Add Item"/>
Equipment (Purchased)
Facility or Equipment Rental/User Fees
Fee

Budget Tool – Budget Screen

- In the Detail view:
 - Add descriptive text in **Description**
 - Enter expense in Period 1 and escalation % in Period 2, if desired
 - Future years will be automatically calculated or may be individually edited
- Note the ability to enter Cost Sharing for each expense item

Costs by "Budget Period" Annual Inflation *Manual Entry*

PERIOD	START DATE	END DATE		TOTAL	
1	01-Oct-2021	30-Sep-2022		10,000.00	Remove
2	01-Oct-2022	30-Sep-2023	<input checked="" type="checkbox"/> 3.00 %	10,300.00	Remove
3	01-Oct-2023	30-Sep-2024	<input checked="" type="checkbox"/> 3.00 %	10,609.00	Remove
4	01-Oct-2024	30-Sep-2025	<input checked="" type="checkbox"/> 3.00 %	10,927.27	Remove
5	01-Oct-2025	30-Sep-2026	<input checked="" type="checkbox"/> 3.00 %	11,255.09	Remove
Total				\$ 53,091.36	

Budget Tool – Budget Screen

- Adding Non-Personnel Expense – Bulk Entry:
 - Click “Add Bulk Entry”

Non-Personnel [Hide]								Add Bulk Entry
	CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS	
<input type="button" value="Detail"/>	Equipment (Purchased)	-	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 60,000.00	<input type="button" value="Delete"/>



Budget Tool – Budget Screen

- In the Bulk Entry screen for each expense item:
 - Select Budget Category and enter Description
 - Choose Inflation option (manual or a specific value; manual is shown)
 - Enter expense Amount for Period 1 and Inflation % for Period 2
 - Future years will be automatically calculated

Non-Personnel Costs

Bulk Entry

	INFLATION	AMOUNT
Select Budget Category	Period 1 <input type="text"/> %	<input type="text" value="\$ 0"/>
Description: <input type="text"/>	Period 2 <input type="text"/> %	<input type="text" value="\$ 0"/>
Inflation: <input type="text" value="Manual Entry"/>	Period 3 <input type="text"/> %	<input type="text" value="\$ 0"/>
	Period 4 <input type="text"/> %	<input type="text" value="\$ 0"/>
	Period 5 <input type="text"/> %	<input type="text" value="\$ 0"/>
Select Budget Category	Period 1 <input type="text"/> %	<input type="text" value="\$ 0"/>
Description: <input type="text"/>	Period 2 <input type="text"/> %	<input type="text" value="\$ 0"/>
Inflation: <input type="text" value="Manual Entry"/>	Period 3 <input type="text"/> %	<input type="text" value="\$ 0"/>
	Period 4 <input type="text"/> %	<input type="text" value="\$ 0"/>
	Period 5 <input type="text"/> %	<input type="text" value="\$ 0"/>

Add New Row

Click to Add all items when entry is finished

Add additional expense sections as needed

Budget Tool – Budget Screen

- SubAwards added in Personnel will already be listed in Budget

- Budget** -
- Period 1 +
- Period 2 +
- Period 3 +
- Period 4 +
- Period 5 +
- SubAwards (1)** +
- F&A
- Cost Sharing
- Justifications
- Versions
- Setup

Project Period: 01-Oct-2021 to 30-Sep-2026

Source View: Sponsor

Rollup sub: Not Rollup

Periods [hide]			
Year/Period	Start	End	
1	01-Oct-2021	30-Sep-2022	
2	01-Oct-2022	30-Sep-2023	
3	01-Oct-2023	30-Sep-2024	
4	01-Oct-2024	30-Sep-2025	
5	01-Oct-2025	30-Sep-2026	

Personnel [Show]

Non-Personnel [Show]

SubAwards [Hide]

	INST/CONTRACTOR NAME	SUBAWARD NUMBER	PI
:	Detail	Boston College	7017037 Castro Samayoa, Andres
Subtotal:			

Click "Detail" to Import or manually add expense

Budget Tool – Budget Screen

- SubAward budget screens function similarly to the Prime (Penn) Budget
 - Each SubAward has its own Cost Sharing and Justifications screens
- Select Import to insert Adobe Forms data from your subcontractor to enter expense
- See the PennERA Quick Reference Guide for Subcontract Import on our website (see last slide)
 - Use the Import/Export function on the Budget screen to extract a blank Adobe Forms document to send to your subcontractor



The screenshot displays the PennERA Budget Tool interface. On the left, a sidebar shows a tree view with 'Budget' (+), 'SubAwards (1)' (-), 'Boston College' (-), and 'Period 1' (+). The main area shows 'Project Period: 01-Oct-2021 to 30-Sep-2026' and 'Source View: Sponsor'. Below this is a table with columns for 'Year/Period', 'Start', 'End', 'Sponsor [show]', 'Total', and 'Cost Sharing'. On the right, a 'Proposal Structure' table is visible, with an 'Import/Export' button highlighted in a dashed box. A red double-headed arrow labeled 'Edit Mode' connects this button to another 'Import/Export' button in the top right corner of the interface.

Budget Tool – Budget Screen

- SubAward budget detail may be manually entered if Adobe forms are not available
 - Follow the same steps for entering Personnel and Non-Personnel expense as in the Prime (Penn) budget
 - Imported data may also be manually edited
- F&A is manually entered at the bottom of the SubAward screen
 - Amount is automatically calculated after entering Rate and Base

F&A Breakdown							
PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT	
<input checked="" type="checkbox"/> 1	01-Oct-2021	30-Sep-2022	MTDC	51.000	29,876.00	15236.76	Clear
<input checked="" type="checkbox"/> 2	01-Oct-2022	30-Sep-2023		0.000	0.00	0.00	Clear
<input checked="" type="checkbox"/> 3	01-Oct-2023	30-Sep-2024		0.000	0.00	0.00	Clear
<input checked="" type="checkbox"/> 4	01-Oct-2024	30-Sep-2025		0.000	0.00	0.00	Clear
<input checked="" type="checkbox"/> 5	01-Oct-2025	30-Sep-2026		0.000	0.00	0.00	Clear
Total					\$ 29,876.00	\$ 15,236.76	

Budget Tool – F&A Screen

- Each item of expense is displayed, showing actual Direct cost, Base used to calculate F&A, and Requested F&A

Personnel Costs						
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Begud, John						
Sponsor Directs	19,845.00	20,440.35	20,440.35	20,440.35	20,440.35	101,606.40
Sponsor F&A Base	19,845.00	20,440.35	20,440.35	20,440.35	20,440.35	101,606.40
Requested F&A	12,403.13	12,775.22	12,775.22	12,775.22	12,775.22	63,504.00
Directs & F&A Total	\$ 32,248.13	\$ 33,215.57	\$ 33,215.57	\$ 33,215.57	\$ 33,215.57	\$ 165,110.40
Non-Personnel Costs						
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Equipment (Purchased)						
Sponsor Directs	0.00	15,000.00	15,000.00	15,000.00	15,000.00	60,000.00
Sponsor F&A Base	0.00	0.00	0.00	0.00	0.00	0.00
Requested F&A	0.00	0.00	0.00	0.00	0.00	0.00
Directs & F&A Total	\$ 0.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 60,000.00
SubAwards						
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Children's Hospital of Philadelphia						
Sponsor Directs	4,000.00	4,120.00	4,243.60	4,370.91	4,502.04	21,236.55
Sponsor F&A Base	4,000.00	4,120.00	4,243.60	4,370.91	4,502.04	21,236.55
Requested F&A	2,500.00	2,575.00	2,652.25	2,731.82	2,813.78	13,272.84
Directs & F&A Total	\$ 6,500.00	\$ 6,695.00	\$ 6,895.85	\$ 7,102.73	\$ 7,315.82	\$ 34,509.39

Budget Tool – F&A Screen

Budget +	F&A	Edit Mode																			
SubAwards (1) +		Source View: Sponsor ▾																			
F&A		Calculation rate method Institution Base/Target Scheme																			
Cost Sharing		<input type="radio"/> Prevailing <input checked="" type="radio"/> Blended																			
Justifications		<table><tr><td>Base Show</td><td>Rate</td><td>Effective</td><td><input type="text" value="\$135,711.50"/></td></tr><tr><td>Research ▾</td><td>Research (on campus) ▾</td><td>62.500</td><td><input type="text" value="\$135,711.50"/></td></tr><tr><td colspan="3"></td><td><input type="text" value="Drift"/> ▾</td></tr><tr><td colspan="3"></td><td><input type="text" value="\$0.00"/></td></tr></table> <table><tr><td><input type="button" value="Apply"/></td><td><input type="button" value="Manual F&A"/></td></tr></table>			Base Show	Rate	Effective	<input type="text" value="\$135,711.50"/>	Research ▾	Research (on campus) ▾	62.500	<input type="text" value="\$135,711.50"/>				<input type="text" value="Drift"/> ▾				<input type="text" value="\$0.00"/>	<input type="button" value="Apply"/>
Base Show	Rate	Effective	<input type="text" value="\$135,711.50"/>																		
Research ▾	Research (on campus) ▾	62.500	<input type="text" value="\$135,711.50"/>																		
			<input type="text" value="Drift"/> ▾																		
			<input type="text" value="\$0.00"/>																		
<input type="button" value="Apply"/>	<input type="button" value="Manual F&A"/>																				

- F&A is autocalculated for federal proposals

- Autocalculation options are available for federal proposals that do not use a rate in the Penn-negotiated rate agreement

Base Show	Rate	Rate	Effective	<input type="button" value="Apply"/>	<input type="button" value="Manual F&A"/>
Research ▾	Manual Entry ▾	8	62.500		

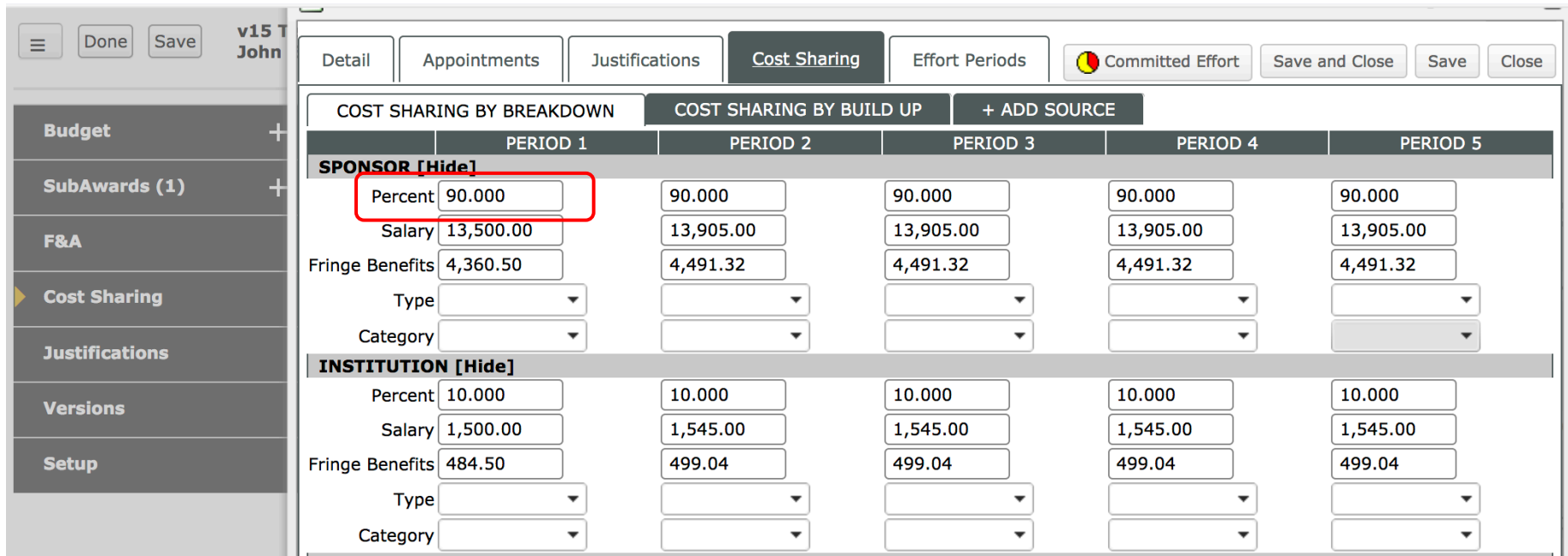
Budget Tool – F&A Screen

- Manual entry is used for generic records
 - Manual entry is now completed on one screen
 - After entering a Rate, PD automatically calculates the F&A
 - The Base may also be manually edited

F&A Breakdown							
PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT	
<input checked="" type="checkbox"/> 1 Detail	01-Oct-2021	30-Sep-2022	MTDC	10.000	23,845.00	2,384.50	Clear
<input checked="" type="checkbox"/> 2 Detail	01-Oct-2022	30-Sep-2023	MTDC	10.000	24,560.35	2,456.04	Clear
<input checked="" type="checkbox"/> 3 Detail	01-Oct-2023	30-Sep-2024	MTDC	10.000	24,683.95	2,468.40	Clear
<input checked="" type="checkbox"/> 4 Detail	01-Oct-2024	30-Sep-2025	MTDC	10.000	24,811.26	2,481.13	Clear
<input checked="" type="checkbox"/> 5 Detail	01-Oct-2025	30-Sep-2026	MTDC	10.000	24942.39	2,494.24	Clear

Budget Tool – Cost Sharing Screen

- Cost sharing may be entered for each expense item as added in the Budget screen or recorded from the Cost Sharing screen
 - The PD Budget Tool now automatically calculates values after a Percent value has been entered in Period 1
 - Different values may be entered in future periods if desired



COST SHARING BY BREAKDOWN		COST SHARING BY BUILD UP				
		PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
SPONSOR [Hide]						
Percent	90.000	90.000	90.000	90.000	90.000	90.000
Salary	13,500.00	13,905.00	13,905.00	13,905.00	13,905.00	13,905.00
Fringe Benefits	4,360.50	4,491.32	4,491.32	4,491.32	4,491.32	4,491.32
Type						
Category						
INSTITUTION [Hide]						
Percent	10.000	10.000	10.000	10.000	10.000	10.000
Salary	1,500.00	1,545.00	1,545.00	1,545.00	1,545.00	1,545.00
Fringe Benefits	484.50	499.04	499.04	499.04	499.04	499.04
Type						
Category						

Budget Tool – Justifications Screen(s)

SubAwards (1)	—
LOS ALAMOS NATIONAL LABORATORY	—
Period 1	+
Period 2	+
Period 3	+
Period 4	+
Period 5	+
Cost Sharing	
Justifications	
F&A	
Cost Sharing	
▶ Justifications	

- Upload Form
- Use Database

Original PDF **Remove**



UPLOAD "BUDGET JUSTIFICATION" DOCUMENTATION

Browse...

No file selected.

Upload

- Justifications screens are available for both the Prime/Penn and SubAward Elements



Budget Tool – Versions Screen

- Versions allows multiple budgets to be created and exported to Excel spreadsheets
- The initial version of the budget is noted as Active and is available for download to an Excel spreadsheet
 - The name can be edited

Budget +

SubAwards (1) +

F&A

Cost Sharing

Justifications

Versions

Setup

Versions Edit Mode

Version Name:

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	<input type="text" value="Initial"/>	HAHN, BEATRICE H	4/8/2020 9:12:11 AM	<input checked="" type="radio"/>	Download	4,408,455.28	Remove

V	NAME	V
	<input type="text" value="Initial incl equipment"/>	HA H

Budget Tool – Versions Screen

- Create additional versions:
 - Enter a unique name for the new version in Version Name
 - Click “Add New Version”
 - Make the new version “Active”
- Switch versions displayed in the Budget section by designating a particular version as “Active”
- Any version may be download to an Excel spreadsheet

Versions

Version Name:

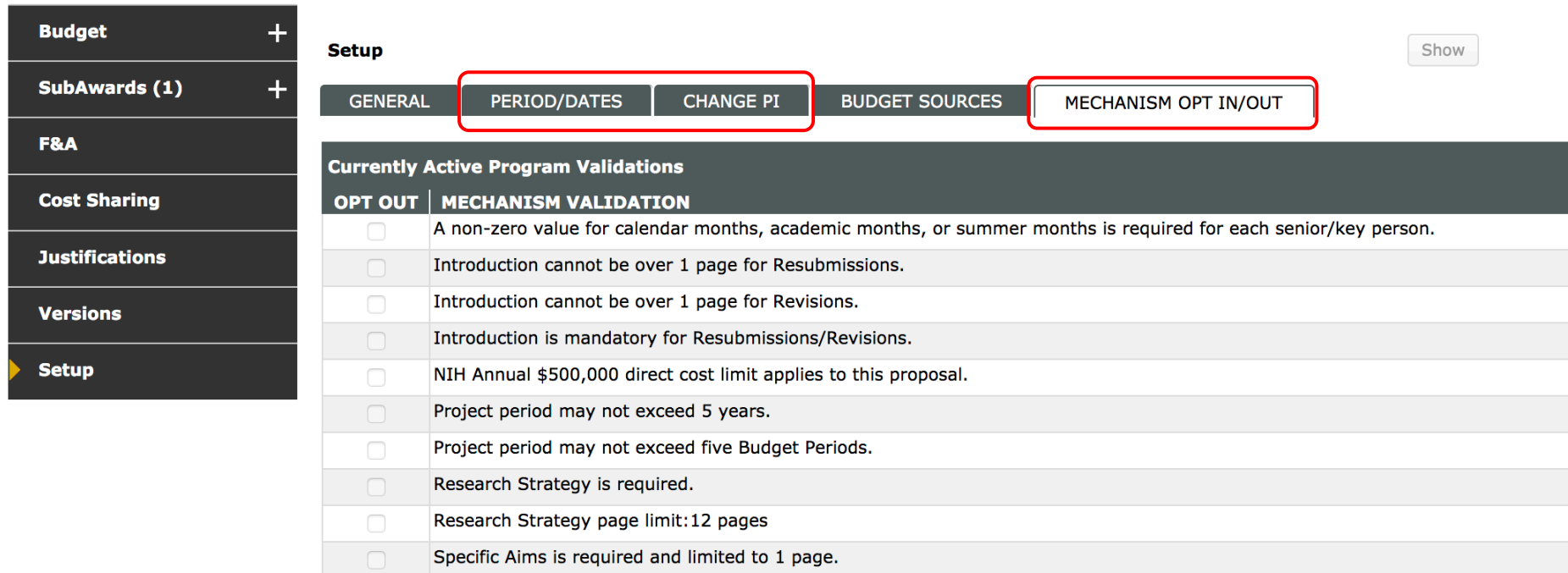
Add New Version

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	<input type="text" value="Initial incl equipment"/>	HAHN, BEATRICE H	4/8/2020 9:12:11 AM	<input type="radio"/>	Download	4,062,325.89	Remove
1	Show	<input type="text" value="2 add faculty"/>	Ford, Evelyn J	4/8/2020 10:34:56 AM	<input type="radio"/>	Download	4,408,616.93	Remove
2	Show	<input type="text" value="3 less sequencing"/>	Ford, Evelyn J	4/8/2020 10:39:18 AM	<input checked="" type="radio"/>	Download	4,297,320.70	Remove



Budget Tool – Setup Screen

- Setup Screen functions include:
 - Adding/removing Budget Periods and changing dates
 - Changing the PI
 - Opting in/out of mechanism validations (when available)



The screenshot shows the 'Setup' screen of the Budget Tool. On the left is a navigation menu with options: Budget (+), SubAwards (1) (+), F&A, Cost Sharing, Justifications, Versions, and Setup (selected with a yellow arrow). The main content area is titled 'Setup' and has a 'Show' button in the top right. Below the title is a horizontal menu with tabs: GENERAL, PERIOD/DATES, CHANGE PI, BUDGET SOURCES, and MECHANISM OPT IN/OUT. The 'PERIOD/DATES' and 'MECHANISM OPT IN/OUT' tabs are highlighted with red boxes. Below the tabs is a section titled 'Currently Active Program Validations' which contains a table with two columns: 'OPT OUT' and 'MECHANISM VALIDATION'. The table lists ten validation rules, each with an unchecked checkbox in the 'OPT OUT' column.

OPT OUT	MECHANISM VALIDATION
<input type="checkbox"/>	A non-zero value for calendar months, academic months, or summer months is required for each senior/key person.
<input type="checkbox"/>	Introduction cannot be over 1 page for Resubmissions.
<input type="checkbox"/>	Introduction cannot be over 1 page for Revisions.
<input type="checkbox"/>	Introduction is mandatory for Resubmissions/Revisions.
<input type="checkbox"/>	NIH Annual \$500,000 direct cost limit applies to this proposal.
<input type="checkbox"/>	Project period may not exceed 5 years.
<input type="checkbox"/>	Project period may not exceed five Budget Periods.
<input type="checkbox"/>	Research Strategy is required.
<input type="checkbox"/>	Research Strategy page limit:12 pages
<input type="checkbox"/>	Specific Aims is required and limited to 1 page.

Important reminders about adding personnel and subcontractors:

- **Always** contact PennERAhelp@lists.upenn.edu in the following situations:
 - Existing Penn personnel cannot be located after searching
 - SubAward entity cannot be located after searching
 - Sponsor cannot be located
- **DO NOT** create profiles for existing Penn personnel
- **DO NOT** use a “placeholder” entity for a SubAwardee
- **ALWAYS** provide a valid Department name when adding SubAward personnel
 - “TBD”, “N/A”, and Penn ORG #s are not valid Department names
 - SubAward entity name and Department name cannot be changed later: Entry will have to be deleted
 - Create a new profile for an existing SubAward person if a valid Department name cannot be located



- FORMS-F Funding Opportunity Announcements (FOAs) required
 - For NIH submissions with a deadline date of May 25, 2020 or later
- FORMS-E FOAs must continue to be used
 - For NIH submissions with deadlines prior to May 25, 2020
- **Note:** It's not the date the proposal is submitted that's relevant; it's the proposal due date that matters
- To avoid rework it's always better to wait until after the PennERA upgrade is complete to begin creating Proposal Development records for NIH deadlines on or after May 25
- Testing shows that records created by choosing FORMS-E FOAs can be converted by reselecting the appropriate FORMS-F FOA, but some previously entered data may require re-entry
 - For example – Study Records and Inclusion Enrollment Report forms



- Updated reference materials will be available on the PennERA website upon rollout:
 - [PennERA Proposal Development Reference Materials](#)
 - [Proposal Development User's Guide](#)
 - **Quick Reference Guides**
 - See list at our reference materials website link
- New reference materials for the new functionality will also be available
- Resources:
 - PennERA Website: <https://www.pennera.upenn.edu/>
 - PennERA Email: pennerahelp@lists.upenn.edu



This guide provides an abbreviated overview of the Personnel and Budget components of a PennERA record, along with “quick steps” for completing major data entry functions.

Please review the [PD User’s Guide](#) for detailed instructions and check the [PennERA reference website](#) for additional guidance.

Personnel Screen Overview

All personnel may be entered from the Personnel screen; effort, salary and fringe expense, and cost-sharing are added in the Budget section.

- Subdivided into sections based on Personnel Type selected, e.g., Key, Non-Key (see screen shot below).
- SubAwards (subcontracts) may be created here and expense manually added or imported in the Budget section.
 - SubAward personnel may be directly entered if not imported from an Adobe forms package.
- External personnel not part of a subaward can be separately entered.

Budget Section Overview

The Budget section opens a new window and consists of screens that may be accessed and edited in any order.

Budget – Project budget totals are summarized on this screen, and data for all expense can be entered here.

- When all data entry is finished, this screen is marked “Completed” to lock the budget.

- In S2S records, a PDF of the budget form can be built.
- Subdivided into Personnel, Non-Personnel, and SubAward sections.
 - Key and Non-Key Personnel entered on the Personnel screen are automatically listed here.
 - Subcontract Adobe forms can be imported or exported from the SubAwards section.
- SubAwards** – This section provides alternate access to create and edit SubAward (subcontract) expense.
- F&A** – F&A is automatically calculated or manually entered.
- Cost Sharing** – Cost sharing is displayed here if any cost sharing has been entered for expense items in “Budget”, but it may also be manually entered here.
- Justifications** – Upload justification narrative when required.
- Versions** – Create multiple versions of the budget and export to Excel.
- Setup** – Verify and update miscellaneous budget settings.
 - Add/remove Periods and change Project/Period Dates.
 - Change PI.
 - Opt out of validations that may not be appropriate for a specific application, such as budget limits.

Always contact PennERAhelp@lists.upenn.edu for these issues:

- » A sponsor or subcontractor is not available for selection; the PennERA team will add to the database.
 - » An existing Penn staff name is not available for selection; the person may have an expired appointment.
- DO NOT** use “placeholder” or incorrect selections and **DO NOT** create new profiles for existing staff.

NOTE: Most searches use predictive text: Begin by using the least common term in the name, but you may also just begin typing the name to see if it is available.

1. Add all personnel who are not part of a subcontract.

- » Use for all Penn personnel (existing and TBD), Other Significant Contributors, and External Consultants who are not associated with a specific subcontract.

STEPS

- Personnel screen > select Prime proposal element (Penn is the Prime).
- Select Personnel Type.
- Locate existing staff by typing in Name field.

OR

- Click for TBDs for names not located (**never** use for existing Penn personnel).
 - External Consultants also require identifying an external institution.

ALTERNATE STEPS for Key and Non-Key Personnel with Effort

- Budget section > Budget screen > Personnel heading.
- Begin typing (as shown) to locate the name of existing personnel.

OR

- Click for TBDs or names not located (**never** use for existing Penn personnel).

- Select Type and Role, then click “Add Person”.

Add Personnel [hide]

Prime

Personnel Type

- Key
- Non-Key
- Other Significant Contributor
- Consultant - Key
- Consultant - Non-Key
- External Consultant - Key
- External Consultant - Non-Key
- External Consultant - Other Significant Contributor

2. Create subcontracts.

» Subcontracts (SubAwards) can be initiated from the Personnel screen even if Adobe forms provided by the subcontractor will be imported (see Item 6 to initiate the import process).

STEPS

- Personnel screen > click to open the Budget Structure screen.
- Click **Add SubAward** to the Prime or Subaward element [*do not select Add Subproject*]
- Adding a SubAward to an existing SubAward creates a second-tier subcontract, *i.e.*, a subcontract on a subcontract.
- Begin typing to locate a SubAward entity and then an associated PI.
- If the PI's name is not already available for selection, click .

ALTERNATE STEPS

- Budget section > Budget screen > SubAwards heading (click **[Show]** if this section is hidden).

3. Add all SubAward personnel.

» if the subcontract is being imported from Adobe forms, see Item 6 below to initiate the import process.

STEPS

- Personnel screen > select SubAwards element of the Proposal Structure.
- Locate staff previously entered in PennERA by typing in Name field
- OR
- Click to add TBDs or named staff not already available for selection.

NOTE: While entering data on the Budget screen, individual sections may be expanded **[Show]** or hidden **[Hide]** to assist in viewing only those sections being actively used for data entry.

4. Add Penn Personnel expense details.

STEPS

- Budget section > Budget screen > Personnel heading.
- Click for each person to add expense details – salary, benefits, effort, cost-sharing.
- Enter Base Salary in Period 1, inflation amount in Period 2, then select Fringe Benefits from next to the heading.

PERIOD	ROLE	BASE SALARY	EFFORT	SALARY	FRINGE BENEFITS	TOTAL
1	PD/PI	30,000.00	35.00%	10,500.00	Full-Time Fed...	\$ 13,891.50
2	PD/PI	30,900.00	35.00%	10,815.00	Full-Time Fed...	14,308.25

5. Add Penn Non-Personnel expense.

STEPS

- Budget section > Budget screen > Non-Personnel heading.
- Begin typing or click to locate a Budget Category on click down arrow to view list.
- Click to create Detail screen to enter expense and cost-sharing.
- Enter value in Period 1, then inflation value in Period 2; PD will automatically calculate the remaining periods' values.

PERIOD	START DATE	END DATE	TOTAL
1	01-Oct-2020	30-Sep-2021	100,000.00 <input type="button" value="Remove"/>
2	01-Oct-2021	30-Sep-2022	3.00% 103,000.00 <input type="button" value="Remove"/>

OR

- Enter specific values in each Period.

6. Add SubAward expense details.

STEPS

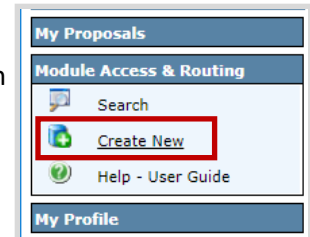
- Budget section > Budget screen > SubAwards heading.
- Click to open SubAward screens.
- Click (upper right) to import Adobe forms. See [Quick Ref Guide for Importing Subcontracts](#) for steps.
- OR
- Manually add and enter expense details using the same steps described above for Penn budget data entry.
 - Enter F&A Breakdown at the bottom of the screen.

Overview

By default, University research staff can access PennERA with their PennKey. This access, however, is limited to records for which a user is PI. Users needing expanded access/roles in the PennERA application can request this access via the **Module Access & Routing Assignment Request** form, available in PennERA.

Creating and Submitting an Access & Routing Request Form

- After logging into PennERA with your PennKey, click “Module Access & Routing” from the left-hand menu.
- Click “Create New”.
- On the Create screen, click “Continue”.



Identification Information

In this section, users will identify the assignee of the access as well as that individual’s supervisor. To select someone other than yourself for either role, answer “No” and use the icon to select the appropriate person.

Access Request

In this section, users will choose the type of request (Add, Update, Remove) and the module to be updated.

- In each Module section, users must click **Add** to create a request line, then choose the **Request**, **Role**, and **ORG/ORG Parent**. A *Notes* field is present if further explanation is needed.
- In *Proposal Development/Proposal Tracking*, *Human Subjects Management*, and *Lab Animals Management*, users will choose the desired access level.
- In *Proposal Routing & Approval Path Inclusion*, users will choose the desired approval role.

Note: The Department Approver role must be assigned at the ORG level. Please specify individual ORGs.

Proposal Development / Proposal Tracking Access **Add**

Request	Role	ORG/ORG Parent	ORS Use Only	
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Edit PD/View PT ▾	GENE	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Profile Admin ▾	4108	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete

Notes

Proposal Routing & Approval Path Inclusion **Add**

Request	Role	ORG/ORG Parent	ORS Approval	
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Department Approver ▾	4108	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete
<input checked="" type="radio"/> Add <input type="radio"/> Remove	Department Approver ▾	4124	<input type="radio"/> Approve <input type="radio"/> Disapprove	Delete

Notes

- Once the form is completed, users must click **Submit** to submit the form for review.
- The review consists of the assignee’s supervisor (identified on the form), the School/Center Access Administrator (identified by each School and maintained by the PennERA team), and the appropriate Module Administrator(s) based on the request (ORS, IRB, OAW).
- Once the review is complete and all approved roles have been assigned, the assignee and supervisor will receive an automated system message notifying them of the completed processing of the request.

For assistance, please contact PennERA Help PennERAhelp@lists.upenn.edu.

Overview

Review and approval of access requests take place fully electronically within PennERA. The review consists of the following:

- Assignee Supervisor (chosen in the request form)
- School/Center Access Administrator
- Module Administrator for the specified request (PD/PT, Routing Assignment, HSM, LAM)
- The PennERA Security Administration team

Reviewing and Approving an Access & Routing Request

The review for a request takes place in the Review Dashboard, similar to a proposal review.

- Once a request is submitted for review, a notification is sent to the first reviewer. This notification is received 3 ways: an email to the individual's UPenn address (as identified in their PennERA profile), an internal message to their PennERA Inbox, and an open Action Item in PennERA. All messages contain a link to the Review Dashboard.
- The review is linear and subsequent steps will not send out notifications until the current step has completed.

Review Dashboard

- During the review process, the reviewer may make changes to the request by clicking the link to the form in the dashboard.

Access Request - Access Request

Number: [62](#)

Title: New Access Request Created for CHRISTIAN BITTO on 2/20/2020 10:08:53 AM

Submitted: 20-Feb-2020 10:12:44 AM

Form/Document	Document Type	Submitted	
Module Access & Routing Assignment Request	Access Request	20-Feb-2020 10:12:44 AM	PDF

- Once in the form, users can edit by unchecking the **Lock Form** button. The button should be re-checked once any edits are completed.
Note: Information on the functionality of the form can be found in the Quick Reference Guide for Creating and Submitting an Access & Routing Assignment Request, available on our reference website.
- On the "Review" tab of the dashboard, users can make comments and select a decision. Previous comments appear on the right side of the screen.

Add Comments:

To be shared with everyone

B I U [List Icons] [Undo] **A** ▼

Select a decision:

Comments I can see...

Posted By: CHRISTIAN BITTO

12-Mar-2020 3:07:47 PM

During my review, I have corrected the ORG for the PD request.

- To move the request forward in the review path, please click the "My Review Complete – Move Forward" button. This will alert the next step and complete your review.
- To stop the review, please click the "Return to Requester" button. This will alert the individual for whom the access is requested that the review has been cancelled and will unlock the form for them to make edits or delete the request. Any new review will begin at the first step.
- The current route status can be found on the "Route" tab of the dashboard.

For assistance, please contact PennERA Help PennERAhelp@lists.upenn.edu.

PennERA - Proposal Development



Converting Existing PD Records to NIH FORMS-F

Interest Areas: NIH S2S Submissions

Effective Date: For Deadline Dates on or after 5/25/20. Review [NOT-OD-20-077](#) for a complete discussion of how to determine which package (FORMS-E or FORMS-F) to select. **It's about the Deadline Date, not the planned submission date.**

If no data entry has been done in the existing record, we recommend a new record be created, selecting the correct FOA that uses FORMS-F; be sure to delete the old record. If you opt to convert your existing record, please follow the steps below.

If problems are encountered during the conversion process, **please don't attempt to repeat steps or try to fix the record.** Contact the [PennERA Help Desk](#) for assistance. **Do not select "placeholder" submission packages if you're uncertain about the correct choice:** Contact the [PennERA Help Desk](#) for assistance.

- NIH Notice NOT-OD-20-077: complete information about this change, including determining which package and FOA to use, <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-077.html>.
- Summary of changes: <https://grants.nih.gov/grants/electronicreceipt/files/high-level-form-change-summary-FORMS-F.pdf>.
- NIH annotated form sets: <https://grants.nih.gov/grants/how-to-apply-application-guide/resources/annotated-form-sets.htm>
- [NIH FORMS-F Application Forms Update video](#) (YouTube video created by NIH).
- NIH FORMS-F instructions: <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-f/general-forms-f.pdf>.

1. Prior to converting the record:

- As a precaution, save to your local drive any data entered (screen print PDFs) or documents uploaded on the screens noted below. Data entered and uploads will be lost to forms that are changed; usually unchanged forms don't experience any degradation.

PHS Assignment Request	Other Project Info	HS/CT Form and any associated Study Records
------------------------	--------------------	---

- Make note of opted-out validations.
 - Log out of PennERA, clear your browser's cache, then quit the browser.
 - Check our [website](#) for information on clearing your browser cache.
 - Relaunch the browser, then open the record that needs to be updated.
2. Navigate to Setup Questions and click [Get Opportunity Number](#).
3. Search for and select the appropriate FORMS-F package, then Save.
- To convert to FORMS-F setup, the opportunity **must be re-selected** and a FORMS-F package selected, even if the FOA number has not changed.
 - If a **non-Parent** FOA is not reissued, the number will remain the same and a FORMS-F package will be available for selection for Deadline Dates on or after May 25, 2020.
 - Parent Announcements will be reissued with only FORMS-F packages. Existing and new FOA numbers for these Parent Announcements can be located at: https://grants.nih.gov/grants/guide/parent_announcements.htm.

Step 1: Continued

PAR-19-018 S2S Search

Opportunity Number	CFDA Number	Competition ID	Competition Title	PackageID	S2S	Open Date	Agency	Title	
PAR-19-018 Select		FORMS-E	Use for due dates on or before May 24, 2020	PKG00245412	<input checked="" type="checkbox"/>	04-Feb-2019	National Institutes of Health	Mechanisms of Disparities in Etiology and Outcomes of Lung Cancer in the U.S.: The Role of Risk and Protective Factors (R01 Clinical Trial Not Allowed)	SPIN
PAR-19-018 Select		FORMS-F	Use for due dates on or after May 25, 2020	PKG00259388	<input checked="" type="checkbox"/>	04-Feb-2019	National Institutes of Health	Mechanisms of Disparities in Etiology and Outcomes of Lung Cancer in the U.S.: The Role of Risk and Protective	SPIN

4. Let the screen refresh, then check answers on Setup Questions to be sure they are correct and complete.
- If you previously opted out of any validations, please check the list: You may need to opt out again.
 - **The location for validations opt-out has changed in the new v15 version of the PennERA software.** Locate it in Budget > Setup > **MECHANISM OPT IN/OUT**.
 - Change Deadline Date to the next Federal business day if it falls on a weekend or Federal holiday.

5. Check proposal setup on Setup Questions.
 - Please do not attempt to fix the proposal if you have questions about the setup.
 - Check that Competition ID and Forms Version are both FORMS-F.
 - Check the list of forms and versions (changes noted below), as well as available screens, to ensure that all appropriate forms/screens are present.
 - Not all forms or screens are present in every funding opportunity.

Competition ID	FORMS-F
Competition Title	Use for due dates on or after May 25, 2020
Form Version	FORMS-F

Changes due to PennERA v15 upgrade are noted in green.

Setup Questions

- V15 change: No longer asks if there are subcontractors. See [PennERA Personnel and Budget upgrade documentation](#) for details.

SF424 (R&R)

No changes.

Other Project Info

No changes.

Human Subjects/CT

(Human Subjects and Clinical Trial Information)

Should be v2.0 on Setup Questions list of forms.

- Reworked landing page to require an answer and supporting explanation (if applicable) for the question “Does any of the proposed research in the application involve human specimens and/or data?” for all applications.
- V15 change: New function available to create and populate data for a Study Record by importing from a registered clinical trial at ClinicalTrials.gov.

Study Record

Several Forms-F related changes. See [NIH High-Level Summary of Changes](#)

PHS Inclusion Enrollment Report

No changes.

PHS398 Assignment Request

- Should be v3.0 on Setup Questions list of forms.
- Changed several field labels.
- Removed fields
 - Do Not Assign to Awarding Components
 - Do Not Assign to Study Sections
- Added “Rationale for assignment suggestions” text box.

S2S Forms

- Any forms on this screen may still be marked “Completed” after conversion to FORMS-F, but the data and/or uploads may need to be re-entered/uploaded.

Performance Sites

No changes.

PHS398 Research Plan

No changes.

Personnel

No FORMS-F changes.

- V15 change: New Personnel data entry screen. See [PennERA Personnel and Budget upgrade documentation](#) for details.

Budget

- V15 change: New Personnel data entry screen. See [PennERA Personnel and Budget upgrade documentation](#) for details.

Approvals

No changes.

PHS398 Cover Page Supplement

- Should be v5.0 on Setup Questions list of forms.
- Added new Human Fetal Tissue Section.

Finalize

No changes.

PHS Research Training Program Plan

- V15 change: Total funds requested is now linked to the SF424 R&R fund requested section.

PHS Career Development Supplemental Form

- Added new attachment titled “Description of Candidate’s Contribution to Program Goals” to the Environment and Institutional Commitment to Candidate Section.

PHS Fellowship Supplemental Form

- Added new attachment titled “Description of Candidate’s Contribution to Program Goals” to the Institutional Environment and Commitment to Training Section.

For assistance, please contact PennERA Help PennERAhelp@lists.upenn.edu.

This section is intended for experienced users, or those who have some familiarity with PennERA. New users may also find it helpful.

Expanded and more detailed instructions are included in the PennERA Proposal Development User’s Guide:

- Step-by-step instructions with screen shots.
- Helpful for all user levels but especially for newer users.

All actions to add Penn and SubAward personnel and to create SubAwards can be initiated from the Personnel screen.

Budget details for Personnel, Non-Personnel, and SubAwards (subcontracts) are added from the Budget section.

Overview and Basic Data Entry Steps: Personnel Screen

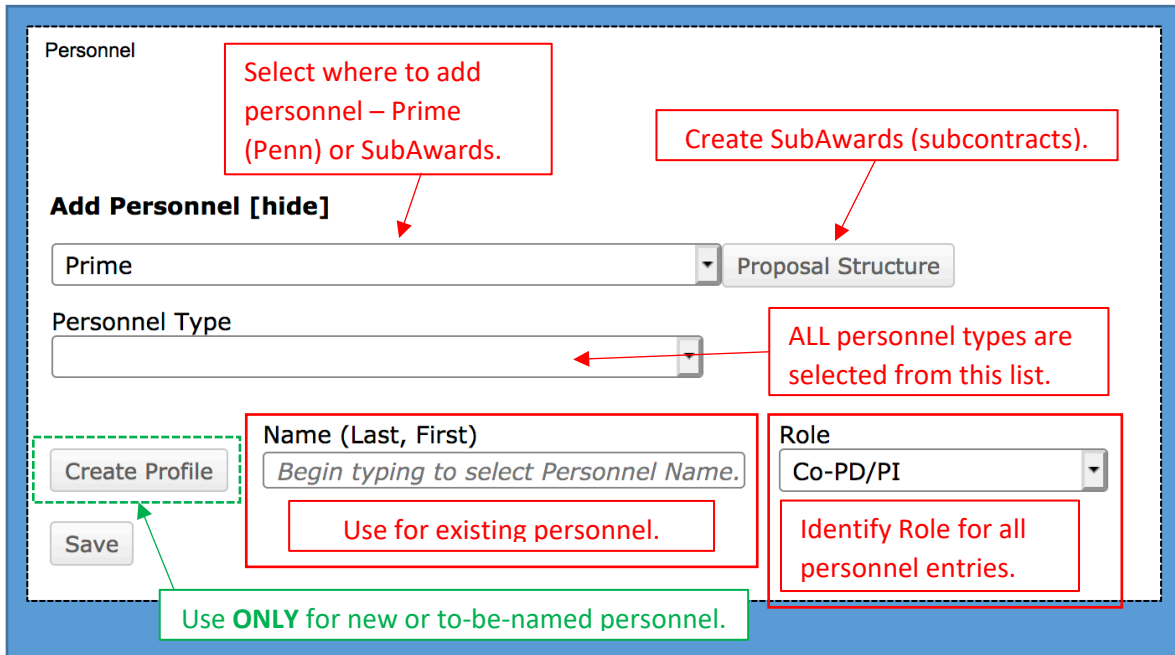
This section provides a high-level overview of the Personnel screen and Budget section.

All actions to add Penn and SubAward personnel and to create SubAwards can be initiated from the Personnel screen.

Budget details for Personnel, Non-Personnel, and SubAwards (subcontracts) are added from the Budget section.

NOTE: Penn Key and Non-Key Personnel and SubAwards may also be added in the Budget section.

Personnel Screen Basic Data Entry



2. Proposal Structure

- The elements of the Proposal Structure are Prime (Penn) and SubAwards.
- Use the drop-down list to select where to add personnel, either on the Prime (Penn) or SubAward budgets.

✓ Prime
SubAward: 7017036

- Click **Proposal Structure** to add SubAwards (subcontracts) and view the elements in the proposal record.

Budget Structure		Master/Child Structure				Associated Budget/Award Increments						
Element	Institution Number	Project ID	Organization	PI	PI Department	Period	Type	Start Date	Active	Add Element	Remove	
Prime	10073627	●	University of Pennsylvania	F	E	Requested Period 1	Budget Period *	01-Oct-2020	✓	Add SubProject Add SubAward		
								01-Oct-2021	✓			
								01-Oct-2022	✓			
								01-Oct-2023	✓			
								01-Oct-2024	✓			
SubAward	7017036	●	Children's Hospital of Philadelphia			Requested Period 1	Budget Period *	01-Oct-2020	✓	Add SubAward	Remove	
								01-Oct-2021	✓			
								01-Oct-2022	✓			
								01-Oct-2023	✓			
								01-Oct-2024	✓			

- **IMPORTANT NOTE:** Always contact PennERAhelp@lists.upenn.edu if a SubAward entity is not available for selection. Do **NOT** select a “placeholder” entity.

3. Personnel Type – list of values

- Use the drop-down list to select.
NOTE: Key and Non-Key Personnel may also be added from the Budget section.

Personnel Type

- Key
- Non-Key
- Other Significant Contributor
- Consultant - Key
- Consultant - Non-Key
- External Consultant - Key
- External Consultant - Non-Key
- External Consultant - Other Significant Contributor

4. Name (First, Last) – data entry field

- Use this field to enter the name of existing staff for either Penn or SubAward personnel already included in the subcontractor database.
- This is a predictive search field: Begin typing either first or last name to locate existing names.

5. Create Profile – action

- This action is used to add personnel who are not available from the list of existing people.
- **Do not use** this option to add existing Penn personnel who are not located during the locate step above.
 - Contact PennERAhelp@lists.upenn.edu if existing staff are not available for selection.

6. Role – list of values

- Use the drop-down list to select from a list of commonly used Roles.
- Use “Other (*specify*)” or “Other Professional” to provide customized user-defined descriptions.

Personnel Screen Data Display

Warning flag for missing required data. Click to view missing items. Click on Name to view/edit.

Click and hold to re-order personnel using drag-and-drop.

Click to upload.

Legend provides proposal structure identifiers for all personnel, either Prime or SubAward.

Enter contact BA information.

PI	NAME/ROLE	MAIL	ALERT	ORGANIZATION / DEPARTMENT	% EFFORT	CV/BIOSKETCH	CURRENT/PENDING SUPPORT	REMOVE
1	Evelyn J Ford PD/PI *	✉		University of Pennsylvania 8760 - Research Services	35%	📎	📎	🗑️
2	Jill Phillips Ginsberg SubAward PI	✉	⚠️	Children's Hospital of Philadelphia	0%	📎	📎	🗑️
1	Soraya Abbasi Other Significant Contributor	✉		Child Neon		📎	📎	🗑️
1	DONNA M NEY Consultant	✉		Univ 8760		📎	📎	🗑️
1	ELIZABETH D PELOSO Co-Investigator	✉		Univ 8760		📎	📎	🗑️
1	Todd S Swavely Co-PI	✉		Univ 8760		📎	📎	🗑️
1	CHRISTINE SUTTO Graduate Student	✉		University of Pennsylvania 8760 - Research Services	0%	📎	📎	🗑️

Legend:
 1 Prime
 2 SubAward - 7017036 (Jill Ginsberg)

Internal Administrative Contact (this information does not go to the sponsor)
 Responsible Business Administrator: Susan B. Anthony
 Resp BA phone: 215-898-0000
 Resp BA email: anthony@s.upenn.edu

Personnel listings are grouped by the selected Personnel Type (screen shot above shows only two Types – Senior/Key and Non-Key).

- Click on individual names to view PennERA Profile details.
 - **Always** update detail from within the PennERA Profile.
 - Click on the ✉ icon to send a message requesting the selected person to update his/her Profile.
- Upload required documents for Senior/Key Personnel in S2S applications that must provide a Senior/Key Person form.
- Individual listings may be re-ordered by clicking and holding ⋮ to enable drag-and-drop at the beginning of each entry.
- Personnel are identified by a proposal structure icon 1, either as Prime (Penn) or SubAward.
- Effort is shown as entered in the Budget section.

Overview and Basic Data Entry Steps: Budget Section

This section is intended for experienced users, or those who have some familiarity with PennERA. New users may also find it helpful.

Expanded and more detailed instructions are included in the PennERA Proposal Development User's Guide:

- Step-by-step instructions with screen shots.
- Helpful for all user levels but especially for newer users.

All actions to add Penn and SubAward personnel and to create SubAwards can be initiated from the Personnel screen.

Budget details for Personnel, Non-Personnel, and SubAwards (subcontracts) are added from the Budget section.

NOTE: Penn Key and Non-Key Personnel and SubAwards may also be added in the Budget section.

Budget Section

This section provides a high-level overview of the Budget section.

The Budget section consists of several screens.

- Budget opens in a separate window; all other record screens may still be accessed from the record's browser window separately from this section.
- Screens may be accessed and edited in any order.
- Each screen can be accessed from the list in the left frame or from the primary "Budget" screen.
- Click + at the end of each screen item to expand and view additional screens within a Period or SubAward. This is an alternate method to accessing directly from "Budget".

Budget

- Data entry for all types of expense is entered and edited from the primary "Budget" screen.
- This screen is subdivided into Personnel, Non-Personnel, and SubAward sections.
- Subcontract Adobe forms can be imported or exported here.
- Budgets may be exported to Excel spreadsheets.
- Budget totals for the entire project are summarized on this screen and may be viewed by Project, Sponsor, Institution (cost-sharing) or UnAllowable Costs.
- A PDF of the relevant S2S budget forms can be built and viewed.
- When all data entry is finished, this screen is marked "Completed" to lock the budget.

SubAwards

- This section provides an alternate method for creating and editing SubAward (subcontract) expense.

Budget	–
Period 1	–
F&A	
Cost Sharing	
Period 2	+
Period 3	+
Period 4	+
Period 5	+
SubAwards (1)	–
Children's Hospital of + Philadelphia	
F&A	
Cost Sharing	
Justifications	
Versions	
Setup	

- Each SubAward is also listed and can be accessed from this link and expanded to view/edit each Period, Cost Sharing, and Justification.

F&A

- F&A is either calculated or manually entered on this screen.
- Summary F&A Breakdown information is available, as well as detail for each expense item.

Cost Sharing

- Cost sharing is displayed here if any cost sharing has been entered for expense items in "Budget".
- Cost sharing may also be manually entered here for each expense item.

Justifications

- Upload justification narrative when required.

Versions

- Create multiple versions of the overall budget.
- Download an Excel spreadsheet of any version.

Setup

GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECHANISM OPT IN/OUT
---------	--------------	-----------	----------------	----------------------

- Miscellaneous settings can be edited in this section, including:
 - Period/Dates – Add/remove Periods and change Project/Period Dates.
 - Change PI.
 - Mechanism Opt In/Out – Opt out of miscellaneous high-level validations when appropriate, such as budget limits.

Budget Screen Display

The Budget screen displays funds requested from the Sponsor (Source View) as the default view but may be changed to show Project totals.

Penn does not use subprojects; leave at "Not Rollup."

Export to Adobe forms or Excel spreadsheet.

Project Period: 01-Oct-2020 to 30-Sep-2025

Source View: Sponsor

Rollup subprojects: Not Rollup

Buttons: Proposal Structure, Import/Export, Build PDF, Complete Budget, Edit Mode

View budget elements (Prime/Penn and SubAwards).

Only S2S records.

Lock budget.

Year/Period	Start	End	Total	Cost Sharing [show]		Project [hide]		
				Total	Directs	F&A	Total	
1	01-Oct-2020	30-Sep-2021	75,248.41	-	61,741.50	13,506.91	75,248.41	
2	01-Oct-2021	30-Sep-2022	91,283.47	-	77,789.83	13,493.64	91,283.47	
3	01-Oct-2022	30-Sep-2023	93,097.99	-	79,381.84	13,716.15	93,097.99	
4	01-Oct-2023	30-Sep-2024	94,962.31	-	81,018.76	13,943.55	94,962.31	
5	01-Oct-2024	30-Sep-2025	96,877.85	-	82,701.89	14,175.96	96,877.85	
			\$ 451,470.03	\$ 0.00	\$ 382,633.82	\$ 68,836.21	\$ 451,470.03	

Personnel [Show]

Non-Personnel [Show]

SubAwards [Show]

Click [Show] to display entries for each heading; headings may be hidden again by clicking [Hide].

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL COSTS
Total Sponsor Direct Costs:	\$ 61,741.50	\$ 77,789.83	\$ 79,381.84	\$ 81,018.76	\$ 82,701.89	\$ 382,633.82
Total Direct Costs less Subaward F&A**:	\$ 61,741.50	\$ 77,789.83	\$ 79,381.84	\$ 81,018.76	\$ 82,701.89	\$ 382,633.82
Sponsor F&A:	13,506.91	13,493.64	13,716.15	13,943.55	14,175.96	68,836.21
Total Sponsor Costs:	\$ 75,248.41	\$ 91,283.47	\$ 93,097.99	\$ 94,962.31	\$ 96,877.85	\$ 451,470.03

**Not included in the Grand Totals

1. Source View

- The budget defaults to the Sponsor View, that is, the funds being requested from the Sponsor.
 - Users can change the view to select one of the other options to view expense entry.

2. Rollup subprojects

- Penn does not use the subprojects component of Proposal Development; leave this set to "Not Rollup".

Rollup subprojects:

Not Rollup

3. Proposal Structure

- The elements of the Proposal Structure are Prime (Penn) and SubAwards.
- SubAwards added on Personnel will already appear here, but may also be initiated in this section of Budget.

Budget Structure		Master/Child Structure				Save		Close				
Element	Institution Number	Project ID	Organization	PI	PI Department	Associated Budget/Award Increments				Add Element	Remove	
						Period	Type	Start Date	Active			
Prime	10073627	4	University of Pennsylvania	F	E	1	Requested Period	Budget Period *	01-Oct-2020	<input checked="" type="checkbox"/>	Add Subproject Add SubAward	
						2			01-Oct-2021	<input checked="" type="checkbox"/>		
						3			01-Oct-2022	<input checked="" type="checkbox"/>		
						4			01-Oct-2023	<input checked="" type="checkbox"/>		
						5			01-Oct-2024	<input checked="" type="checkbox"/>		
SubAward	7817036	5	Children's Hospital of Philadelphia	F	E	1	Requested Period	Budget Period *	01-Oct-2020	<input checked="" type="checkbox"/>	Add SubAward	Remove
						2			01-Oct-2021	<input checked="" type="checkbox"/>		
						3			01-Oct-2022	<input checked="" type="checkbox"/>		
						4			01-Oct-2023	<input checked="" type="checkbox"/>		
						5			01-Oct-2024	<input checked="" type="checkbox"/>		

Click Add SubAward in Prime to create a subcontract.

Click Add SubAward in SubAward to add a second-tier subcontract.

4. Import/Export

- Export budgets:
 - ...to an Excel spreadsheet for internal use.
 - ...to Adobe Forms to send to a collaborating institution if Penn is a subcontractor.

Import/Export Close

[Export Budget to Excel®](#)

[Import Budget From Adobe® Forms](#)

[Export Budget to Adobe® Forms](#)

[Extract a Blank Adobe® Form](#)

- Import a budget from Adobe Forms if this is a generic record and you have already completed this package.

NOTE: Since data entry in PennERA is simpler and most calculations are automated, it is recommended that users complete a detail budget in a PennERA generic record, then *export* that information to Adobe Forms.

NOTE: This is *not* the location for importing SubAward budgets from Adobe Forms. That step is completed in individual SubAward budgets.

- Extract a blank Adobe Form to send to collaborating institutions who will be SubAwardees on this application. It is completed and returned for importing in the SubAward budget.

5. Build PDF

- In S2S records, the budget may be built to display a PDF of the completed budget form.

Build PDF

6. Complete Budget

- Click this option to lock the budget when all data entry is completed.

Edit Mode

Complete Budget

Budget Screen Basic Data Entry

Personnel **[Hide]**

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Key Personnel						
Detail Ford, Evelyn PD/PI	\$ 2,610.28	\$ 2,610.28	\$ 2,610.28	\$ 2,610.28	\$ 2,610.28	\$ 13,051.40
Non-Key Personnel						
Detail BITTO, CHRISTIAN Co-Investigator	26,102.79	26,102.79	26,102.79	26,102.79	26,102.79	130,513.95 Remove
Subtotal Personnel:	\$ 28,713.07	\$ 28,713.07	\$ 28,713.07	\$ 28,713.07	\$ 28,713.07	\$ 143,565.35

Add New Profile -- Select Type -- -- Select Role -- Add Person

Non-Personnel [Show] Add Bulk Entry

SubAwards **[Show]**

1. Personnel, Non-Personnel, and SubAwards headings
 - All expense is entered in one of these three sections.
 - Click **[Hide]** to hide the information in that section and leave only the heading visible.
 - Once hidden, click **[Show]** to redisplay the section.
2. Personnel
 - Personnel identified as Key or Non-Key added on the Personnel screen will be displayed here.
 - Only personnel with effort are listed on the Budget screen.
 - Click Detail to enter salary, effort, fringe benefits, and cost sharing detail.
 - See the detailed instructions to add Key and Non-Key Personnel directly in this section.
3. Non-Personnel – single-item expense entry

Add Item

- Begin typing to select a Budget Category.

Add Item

- Alteration and Renovations
- Computer Automated Data Processing Services
- Consultant Services
- Equipment (Purchased)
- Facility or Equipment Rental/User Fees

- Click "Add Item".

	CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Detail	Equipment (Purchased)	-	\$ 15,000.00	-	-	-	\$ 15,000.00 Delete

- Click Detail to enter amounts for each Period.

4. Non-Personnel – bulk expense entry

Non-Personnel [Hide]								Add Bulk Entry
	CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS	
Detail	Equipment (Purchased)	-	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 60,000.00	Delete

- Click "Add Bulk Entry" to begin.
- In the Bulk Entry screen for each expense item:
 - Select Budget Category and enter Description.
 - Choose Inflation option (manual or a specific value; manual is shown).
 - Enter expense Amount for Period 1 and Inflation % for Period 2.
 - Future years will be automatically calculated.

Non-Personnel Costs

Bulk Entry

Add
Close

	INFLATION	AMOUNT
Select Budget Category	Period 1 %	\$ 0
Description:	Period 2 %	\$ 0
Inflation: Manual Entry	Period 3 %	\$ 0
	Period 4 %	\$ 0
	Period 5 %	\$ 0

Select Budget Category	Period 1 %	\$ 0
Description:	Period 2 %	\$ 0
Inflation: Manual Entry	Period 3 %	\$ 0
	Period 4 %	\$ 0
	Period 5 %	\$ 0

Add New Row

Click to Add all items when entry is finished.

Add additional expense sections as needed.

5. SubAwards

SubAwards [Hide]										
	INST/CONTRACTOR NAME	SUBAWARD NUMBER	PI	SHORT FORM	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Detail	Boston College	7017036	Castro Samayoa, Andres		-	-	-	-	-	\$ 0.00
Subtotal SubAwards:					\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

Begin typing to select a Subaward Institution name Begin typing to select a subawardPI Add SubAward Import

- SubAwards entered in Personnel will already be displayed here, but additional SubAwards may be added.
- Click Detail to manually enter budget details for each SubAward or to import from Adobe Forms.
- Each SubAward screen displays with a "watermark" to aid in identifying that this is a SubAward budget data entry screen.

PennERA v15 Budget Overview and Basic Data Entry

Project Period:
01-Oct-2021 to 30-Sep-2026

Source View:
Sponsor

Proposal Structure

Import/Export

Year/Period	Periods [hide]		Sponsor [show]	Cost Sharing [show]		Project [hide]		
	Start	End	Total	Total	Directs	F&A	Total	
1	01-Oct-2021	30-Sep-2022	-	-	-	-	-	
2	01-Oct-2022	30-Sep-2023	-	-	-	-	-	
3	01-Oct-2023	30-Sep-2024	-	-	-	-	-	
4	01-Oct-2024	30-Sep-2025	-	-	-	-	-	
5	01-Oct-2025	30-Sep-2026	-	-	-	-	-	
			\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

Personnel [Hide]

NAME	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Detail Castro Samayoa, Andres <i>SubAward PI</i>	-	-	-	-	-	\$ 0.00
Subtotal Personnel:		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

Add New Profile Begin typing to select Personnel Name... -- Select Type -- -- Select Role -- Add Person

Non-Personnel [Show]

SubAwards [show]

Add Bulk Entry

- The data entry sections and method are identical to entering information in the Prime/Penn budget screens; those instructions may be followed to manually complete the information.

OR

- Click on Import/Export to Import budgets provided on Adobe Forms by SubAwardees.
- After locating the Adobe Form to import:
 - Map each Budget Period appropriately.
 - Identify a valid Department Name for each person – “N/A”, “None”, and Penn ORG #s are **NOT** valid Department Names.
 - Select an appropriate budget Category, if necessary – not always needed.
 - Click Process.
- Imported budgets are fully editable, if changes are needed.

	Requested Periods				
	1	2	3	4	5
University of Pennsylvania					
Copy Budget	1 ▾	2 ▾	3 ▾	4 ▾	5 ▾

Personnel Mapping	
Name <small>(First Person in the list below will replace subaward PI selected during subaward setup)</small>	Department (optional)
THOMAS, STEVEN A Add New ▾	Educational Leadership & Higher Education ▾
BETLEY, JOHN N Add New ▾	Educational Leadership & Higher Education ▾
LEE, VIRGINIA M Add New ▾	Educational Leadership & Higher Education ▾
Research Associate Add New ▾	Educational Leadership & Higher Education ▾
Research Specialist Add New ▾	Educational Leadership & Higher Education ▾

Period 1	
Direct Cost	Sponsor Budget Category
Other Costs	Other Costs ▾
Period 2	
Direct Cost	Sponsor Budget Category

F&A Screen Basic Data Entry

F&A Source View: Sponsor

Calculation rate method
 Prevailing Blended

Institution Base/Target Scheme
 \$96,686.10
 \$96,686.10

Base [Show](#)
 Research

Rate
 Research (on campus)

Effective
 62.500

Drift
 \$0.00

- F&A is automatically calculated for proposal records using federal sponsors.
 - PennERA defaults to the current F&A rate for Research projects and calculates all future years based on the negotiated rate agreement.
 - The rate may also be adjusted for those federal proposals that have other negotiated rates or a mandated rate listed in the Funding Opportunity Announcement.
 - Typical examples are NIH training grants (T's) and Career Development Awards (K's), which use 8%.

Base [Show](#)
 Research

Rate
 Manual Entry

Rate
 8.000

Effective
 8.000

- Generic records using non-federal sponsors requiring manual data entry.
 - Click Manual F&A to begin manual data entry.

Base [Show](#)
 Research

Rate
 Research (on campus)

Effective
 62.500

- Totals may be manually entered for each expense item – recommended if the TDC is not the same as Modified Total Direct Cost (MTDC or F&A Base) – or entered as lump sum values in the F&A Breakdown section.

Prime**

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Begud, John - 10073627						
Sponsor Directs	150,000.00	150,000.00	150,000.00	150,000.00	150,000.00	750,000.00
Sponsor F&A Base	150,000.00	150,000.00	150,000.00	150,000.00	150,000.00	750,000.00
Requested F&A	93,187.50	93,750.00	93,750.00	93,750.00	93,750.00	468,187.50
Directs & F&A Total	\$ 243,187.50	\$ 243,750.00	\$ 243,750.00	\$ 243,750.00	\$ 243,750.00	\$ 1,218,187.50
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Direct Cost Totals	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 750,000.00
F&A Base Totals**	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 750,000.00
F&A Totals	\$ 93,187.50	\$ 93,750.00	\$ 93,750.00	\$ 93,750.00	\$ 93,750.00	\$ 468,187.50
Grand Totals	\$ 243,187.50	\$ 243,750.00	\$ 243,750.00	\$ 243,750.00	\$ 243,750.00	\$ 1,218,187.50

***Not included in Grand Totals*

F&A Breakdown

PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT	
1 Detail	01-Oct-2020	30-Jun-2021	Research	62.000	112,500.00	69,750.00	<input type="button" value="Clear"/>
Detail	01-Jul-2021	30-Sep-2021	Research	62.500	37,500.00	23,437.50	<input type="button" value="Clear"/>
2 Detail	01-Oct-2021	30-Sep-2022	Research	62.500	150,000.00	93,750.00	<input type="button" value="Clear"/>
3 Detail	01-Oct-2022	30-Sep-2023	Research	62.500	150,000.00	93,750.00	<input type="button" value="Clear"/>
4 Detail	01-Oct-2023	30-Sep-2024	Research	62.500	150,000.00	93,750.00	<input type="button" value="Clear"/>
5 Detail	01-Oct-2024	30-Sep-2025	Research	62.500	150,000.00	93,750.00	<input type="button" value="Clear"/>
Total					\$ 750,000.00	\$ 468,187.50	

Cost Sharing Screen Basic Data Entry

Non-Personnel Costs

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Other Costs						
Sponsor	150,000.00	150,000.00	150,000.00	150,000.00	150,000.00	750,000.00
Institution	0.00	0.00	0.00	0.00	0.00	0.00
Unallowable	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal Non-Personnel:	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 750,000.00

1. Cost sharing may be entered for each expense item during Budget data entry, or may be individually entered in Cost Sharing.
2. Click **Detail** to access the cost-sharing data entry screen for each expense item from this location.

COST SHARING BY BREAKDOWN		COST SHARING BY BUILD UP			+ ADD SOURCE
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
SPONSOR [Hide]					
Percent	100.000	100.000	100.000	100.000	100.000
Cost	150,000.00	150,000.00	150,000.00	150,000.00	150,000.00
Type					
Category					
INSTITUTION [Hide]					
Percent	0.000	0.000	0.000	0.000	0.000
Cost	0.00	0.00	0.00	0.00	0.00
Type					
Category					

3. Enter a Percent value in either the Sponsor or Institution section, and PennERA will automatically recalculate the Percent for the future years and for the other funding source.

COST SHARING BY BREAKDOWN		COST SHARING BY BUILD UP			+ ADD SOURCE
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
SPONSOR [Hide]					
Percent	90.000	90	90.000	90.000	90.000
Cost	135,000.00	135,000.00	135,000.00	135,000.00	135,000.00
Type					
Category					
INSTITUTION [Hide]					
Percent	10.000	10.000	10.000	10.000	10.000
Cost	15,000.00	15,000.00	15,000.00	15,000.00	15,000.00
Type					
Category					

Justifications Upload Screen

Upload a narrative justifications document if required by the sponsor, or if one is being sent with the application, even if not required.

Budget	Justifications
F&A	<input checked="" type="radio"/> Upload Form <input type="radio"/> Use Database
Cost Sharing	Original PDF Remove <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
Justifications	UPLOAD "BUDGET JUSTIFICATION" DOCUMENTATION Browse... No file selected. Upload
Versions	
Setup	

Versions Screen Basic Data Entry

Budget +

SubAwards (1) +

F&A

Cost Sharing

Justifications

Versions

Setup

Versions Edit Mode

Version Name:

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	Initial	HAHN, BEATRICE H	4/8/2020 9:12:11 AM	<input checked="" type="radio"/>	Download	4,408,455.28	Remove

Version Name:

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	Initial incl equipment	HAHN, BEATRICE H	4/8/2020 9:12:11 AM	<input type="radio"/>	Download	4,062,325.89	Remove
1	Show	2 add faculty	Ford, Evelyn J	4/8/2020 10:34:56 AM	<input type="radio"/>	Download	4,408,616.93	Remove
2	Show	3 less sequencing	Ford, Evelyn J	4/8/2020 10:39:18 AM	<input checked="" type="radio"/>	Download	4,297,320.70	Remove

- Versions allows multiple budgets to be created and exported to Excel spreadsheets.
- The initial version of the budget is noted as Active and is available for download to an Excel spreadsheet.
 - The name can be edited.
- Create additional versions:

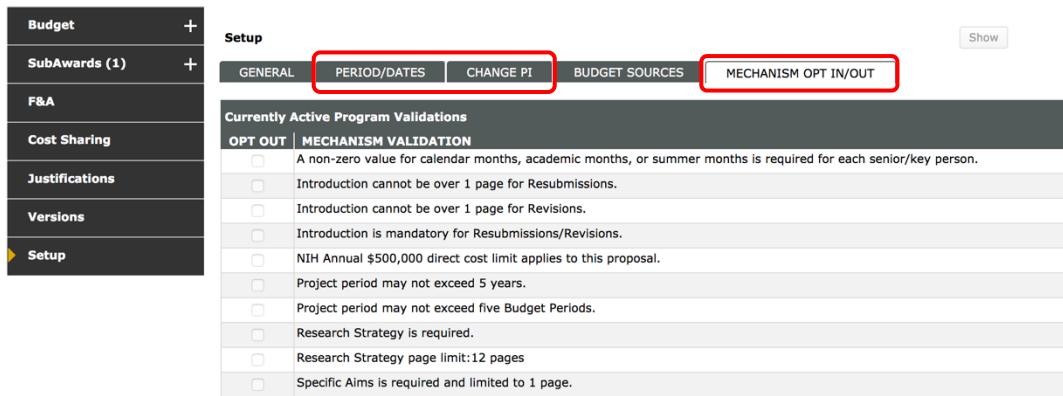
Versions

Version Name:

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	Initial incl equipment	HAHN, BEATRICE H	4/8/2020 9:12:11 AM	<input type="radio"/>	Download	4,062,325.89	Remove
1	Show	2 add faculty	Ford, Evelyn J	4/8/2020 10:34:56 AM	<input type="radio"/>	Download	4,408,616.93	Remove
2	Show	3 less sequencing	Ford, Evelyn J	4/8/2020 10:39:18 AM	<input checked="" type="radio"/>	Download	4,297,320.70	Remove

- Enter a unique name for the new version in Version Name.
- Click "Add New Version".
- Make the new version "Active".
- Switch versions displayed in the Budget section by designating a particular version as "Active".
- Any version may be download to an Excel spreadsheet.

Setup Screen Basic Data Entry



1. Consult PennERAhelp@lists.upenn.edu for questions about the General screen.
2. Periods/Dates
 - Add or remove Budget Periods.
 - Change Project Period and/or Budget Period Dates.
3. Change PI
 - Change the PI here if the correct PI was not identified during proposal creation.
4. Consult PennERAhelp@lists.upenn.edu for questions about Budget Sources.
5. Mechanism Opt In/Out
 - This screen is shown in the screen shot above and was previously located on Setup Questions.
 - Opt out of any validations that may not be appropriate for this application.
 - These will only opt out of validations in the PennERA record. Electronic warning/error messages may still appear upon submission and ***should not be ignored.***

I. Quick Steps: Personnel Screen and Budget Section

This section provides recommended quick steps for basic functions in the Personnel and Budget sections.

Always contact PennERAhelp@lists.upenn.edu for these issues:

- » A sponsor or subcontractor is not available for selection.
- » An existing Penn staff name is not available for selection.

DO NOT use “placeholder” or incorrect selections or create new profiles for existing staff.

1. Add all personnel who are not part of a subcontract.
 - » Use for all Penn personnel (existing and TBD), Other Significant Contributors, and External Consultants who are not associated with a specific subcontract.

STEPS

- Personnel screen > select Prime proposal element (Penn is the Prime).
- Select Personnel Type.
- Locate existing staff by typing in Name field .

OR

- Click for TBDs or names not located (never use for existing Penn personnel).
 - External Consultants also require identifying an external institution.

2. Create subcontracts.
 - » Subcontracts (SubAwards) can be initiated from the Personnel screen even if Adobe forms provided by the subcontractor will be imported.

STEPS

- Personnel screen > click to open the Budget Structure screen.
- Click Add SubAward to the Prime or another first-tier SubAward element.
- Select SubAward entity and associated PI.

3. Add all SubAward personnel if the subcontract is not being imported from Adobe forms (see below for import quick steps).

STEPS

- Personnel screen > select SubAward element of the Proposal Structure.
- Locate staff previously entered in PennERA by typing in the Name field. .

OR

- Click to add TBDs or named staff not previously entered.

4. Add Penn Personnel expense details.

STEPS

- Budget section > Budget screen > Personnel heading.
 - Click for each person to add expense details – salary, benefits, effort, cost-sharing.
- NOTE:** The Personnel, Non-Personnel, and SubAwards headings may be hidden or shown to reduce screen “clutter” when working in one of the other expense sections.

5. Add Penn Non-Personnel expense.

STEPS

- Budget section > Budget screen > Non-Personnel heading.
- Select Budget Category > Click to create Detail screen to enter expense and cost-sharing.

6. Add SubAward expense details.

STEPS

- Budget section > Budget screen > SubAwards heading.
- Click to open SubAward screens
- Click to import Adobe forms.

OR

- Manually add and enter expense details in the same way Penn budget data is entered.