

# UNIVERSITY *of* PENNSYLVANIA



## **Proposal Development User's Guide**

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## **General Overview of PennERA**

### **Section Overview**

Electronic Research Administration (ERA) is the term used to describe the methods of conducting research administration in an integrated and automated environment. In its broadest definition, it encompasses both pre- and post-award processes that involve the administrative and regulatory aspects of sponsored projects. PennERA includes the following (items in **Bold** are included in the current Proposal Development phase):

#### **Pre-Award**

- Identification of funding opportunities
- Proposal development
- Institutional and faculty profiles
- Approval routing (including regulatory and other approvals)
- Budget development
- Cost sharing information
- Subcontracts tracking

#### **Submission of Proposals to Sponsors**

- Electronic (to sponsors who have the capability)

#### **Electronic Notification of Award Notices**

- Automatic notification
- Automated project setup

#### **Post Award Management**

PennERA feeds this information to other Penn systems, such as the Data Warehouse, for:

- Project financial management
- Sponsor invoicing
- Project closeout and reporting
- Effort reporting

#### **Data Reporting for Management**

- Timely and accurate reporting at all phases of the project life cycle
- Ability to slice and dice information

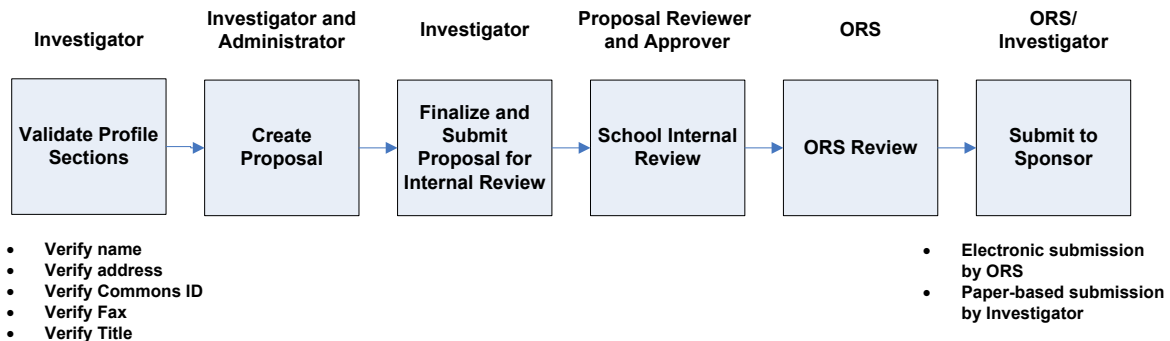
## System Features and Process Overview

The Proposal Development application provides tools that will improve efficiency and enhance Penn's ability to obtain funding from sponsors. The Proposal Development application features include:

- Ability to create proposals electronically
- Ability to electronically assemble proposals
- Ability to route proposals through the approval hierarchy
- Ability to electronically review and approve proposals
- Ability to electronically submit proposals to the sponsor
- System-wide reusability of Profile and department information
- Automatic population of University-wide information (e.g., DUNS#, FWA#)
- Application support of Sponsor-specific form sets
- Ability to track the progress of proposals through the internal review and approval process

The Proposal Development process consists of 6 major tasks:

### Proposal Development Process Overview



A complete list of the funding mechanisms that can be prepared and submitted as electronic system-to-system (S2S) proposals via Proposal Development can be found on the PennERA website: <https://researchservices.upenn.edu/document/system-to-system-mechanisms/>.

- Most competitive proposals that cannot be prepared as S2S submissions via the Proposal Development application are processed in PD as generic template records.

## Getting Started with Proposal Development

In order to get started with your Proposal, make sure you have verified and/or updated your Profile information in PennERA:

- Ensure that your name appears as you prefer it to appear on proposals.
- Verify that your email address is present and correct.
- Verify and, if necessary, correct your NIH Commons ID.
- Verify and, if necessary, correct/enter your **FAX #, Title, and County**.

An investigator's name in his/her PennERA Profile is the same as it appears in Penn Community (typically how the name appears in Payroll). However, the name an investigator uses in the sponsored research community may be different. If an investigator prefers to use his/her professional name on proposals, s/he should manually change the name in the PennERA profile.

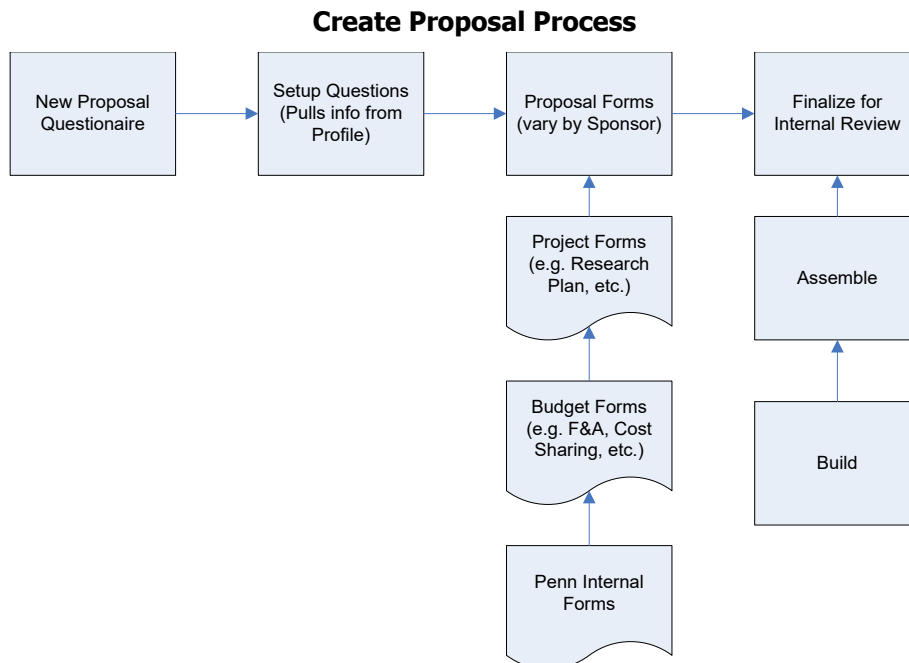
***Note:** For all NIH submissions through Grants.gov, your NIH Commons ID and name must be exactly the same as it appears in the NIH Commons. Be sure to check capitalization, as this information is case sensitive.*

Investigators should make any changes to their Profile information before they begin using PennERA to create proposals, so that the information will be incorporated into any proposals created.

### Create Proposals – Process Overview

Creating a Proposal using the Proposal Development application requires that you complete a series of questions and forms. The Proposal Development application will lead you through the proposal development process and generate the appropriate questionnaires and forms based on the Sponsor you select. The Proposal Development application validates the information you enter and alerts you to any errors or incomplete items.

Once you have completed the various parts of the Proposal, you can assemble the proposal and prepare it for internal review.





## How to Get Help with Training

This User's Guide is designed to let you access any or all of the components listed in the Table of Contents. You can advance through all the sections sequentially or you can jump around from section to section.

If you experience difficulty using any of the training materials, send an email to [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu) with a brief explanation of the problem.

## How to Get Help after Training (End-User Support)

If you experience a problem or have a question once you have finished training and begin using the Proposal Development application, please take the following steps:

- Use the Support link in the PD application to contact the PD Support Group.
- Send an email with your question or a description of the problem to [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu).

## Institution Number and What It Means

The Institution Number (or Proposal Number) is an automatically generated number specific to PennERA. This number will help users track a proposal throughout its University of Pennsylvania life cycle.

## Security

Security within PennERA is role-based. Principal Investigators will have access to any proposal for which s/he is the Principal Investigator. Administrative staff will have access based on pre-defined security roles determined by their Organization.

## Delegating Authority

A user may grant another user certain access rights and authority. By doing so, that user may act on your behalf to either view or edit proposals.

- Go to "Profile" and select the "Delegation" function and select the person to whom you are delegating authority.

















## Functions by Role

Depending on your role within the Organization, you will have the ability to perform certain tasks within the Proposal Development application. Access to proposal records and the review process may be requested in **Module Access & Routing** in the **Left Sidebar**. A description of the request process is available at <https://researchservices.upenn.edu/areas-of-service/pennera/access-and-forms/>.

## Navigation Features

The Proposal Development application has been designed with navigation features that are common in many Windows and Web applications. Read and follow instructions on the screen display. Common navigational conventions are used throughout the application; some examples are described below:

### Common Icons

	Done	Located on the top left of a Proposal page, closes the proposal that you're working on. It is important to click <b>[Done]</b> when finished working with a specific proposal to avoid blocking access by other users. While multiple users may view and edit different sections within a proposal, only one person may edit a specific proposal page at a time.
	Save	Located on the top left of a Proposal page, saves your changes on the current page. This option is available only if you have been assigned Edit access. The system will prompt you to save your changes if you edit a page and fail to use the <b>[Save]</b> button when exiting the page.
 Exit	Exit	Located in the Portal Toolbar, exits you from the module or the PennERA Portal.
 Help	Help	Located in the Portal <b>Left Sidebar</b> , points you to InfoEd help modules for general system help.
 Support	Support	Located in the Portal <b>Left Sidebar</b> , opens to web form where you can request help from PennERA End-User Support providers.
 Edit	Edit	Opens the corresponding form or page in edit format, security level permitting.
 Del	Delete	Deletes the corresponding item, security level permitting.
 View	View	Opens the corresponding form or page in view format, security level permitting.
 In Use	In Use	Indicates that you or someone else is currently working in the proposal.
	Upload	Uploads an attachment located after browsing your directories.
	Replace	Opens the corresponding window in which to replace an existing document with a newer version.
	Add or Remove CV/Biosketch	Removes an uploaded CV (biosketch) and other Personnel-related uploads on the Personnel screen.
	Remove	Removes an item from the current list or location within a record.
Completed 	Completed	Designates a tab (section) that when checked has been completed.
	Open	Opens the corresponding report, query, access log, or history session.
	Access Log	Shows past history of who has accessed a particular section of the proposal.
	Envelope	Indicates if a PennERA site mail message has been opened or not opened. The yellow envelope indicates a message that has not been read. An open white envelope is a message that has been read. In <b>Personnel</b> , this icon links to email to send a message to associated personnel.

## Logging into PennERA Proposal Development

Log in to PennERA Proposal Development from the PennERA home page at <https://www.pennera.upenn.edu/>.

You will need your PennKey and Password to authenticate and enter the application. Information on PennKey can be found at <http://www.upenn.edu/computing/pennkey/>.

The screenshot shows the top navigation bar with the Penn ORS logo (Office of Research Services) on the left, and 'Login' and 'Menu' buttons on the right. Below the navigation bar is a breadcrumb trail: 'Home / Areas of Service / PennERA'. The main content area features a dark blue banner with the text 'Log In to PennERA' and 'Electronically manage the stages of your sponsored research project.' A prominent blue 'Log In' button with a right-pointing arrow is centered in the banner. Below the banner is an 'Additional Information' section with a list of links: 'Access and Forms', 'Online Reporting', 'Proposal Development Reference Materials', 'Requesting Help', and 'SPIN/SMARTS', each with a right-pointing arrow. At the bottom of this section is an 'About Us' link.

- In the Log In to PennERA section, click the [**Log In**] button.
- Type your PennKey and Password to authenticate.

The screenshot shows the Penn WebLogin page. At the top is the Penn University of Pennsylvania logo. Below the logo is the heading 'Penn WebLogin'. The page contains the following text: 'Enter your credentials to initiate a 10-hour Penn WebLogin session.' and 'The session provides single sign-on access to many protected University web resources.' There are two input fields: 'PennKey' and 'Password'. Below the input fields are two links: 'About Penn WebLogin' and a blue 'Log in' button.

# PennERA Portal

The PennERA Portal Page is the point of entry into the PennERA Proposal Development system.

The screenshot shows the PennERA Portal interface. At the top, a blue header bar contains the PennERA logo (2), a 'Find Funding' button (1), and user information 'Logged In User: Evelyn Ford'. Below the header, a navigation toolbar (2) includes 'Exit', 'Help', 'Portal', and 'Support'. A left sidebar (3) lists 'My Proposals', 'Human Subjects', 'My Animal Use', 'Module Access & Routing', and 'My Profile'. A right sidebar (8) contains 'My Action Items' with 'Open' and 'Completed' buttons, and 'My Messages' (9). The main content area (6) displays 'Records found: 206. Displaying page 1 of 3' and a table of 'My Open Action Items' with columns for 'Status', 'Submission Type', 'Assigned', and 'Item Type'. A specific record is highlighted with callout 7, showing details like 'PI: BEA...', 'CATEGORY (4245 - DM-Hematology/Oncology)', and 'Title: The Precision Promise Clinical Trial Consortium (CTC)'. A 'Powered By infoEd' logo is in the top right corner.

- The PennERA logo at the top of the PennERA Portal Page is embedded in the **Toolbar**. The **Toolbar** is only available on the Portal Page.
- The **Sidebar**s on the left and right sides of the screen are used to access the different PennERA modules.
- When you click any one of the **Toolbar** links or the **Sidebar**s, the system displays that page.

## Header

- **Find Funding** – Opens the SPIN (funding opportunities) database, enabling easy access to new funding opportunities.

## Toolbar

- **Exit** – Exits you from PennERA.  
**Help** – InfoEd documentation (not Penn-specific).  
**Portal** – Returns user to main screen.  
**Support** – Redirects to PennERA home page and support and help information.

## Left Sidebar

- **My Proposals** – Create new proposals, search for existing proposals, and context-sensitive, vendor-supplied (non-Penn specific) help guides. Open InfoEd Proposal Development and Proposal Tracking User Guides.
- **Human Subjects** – Create new and search for existing Human Subjects. Open InfoEd Human Subject Development and Management User Guides.
- **My Animal Use** – Create new and search for existing Human Subjects. Open InfoEd Lab Animal Development and Management User Guides.
- **Module Access & Routing** – Request new and modified existing access to PennERA and inclusion in routing and review process.
- **My Profile** – All PennERA users have a profile with basic address and contact information provided from the Penn Community directory that you should verify and update. See also "[Getting Started with Proposal Development](#)" for additional information. SMARTS (funding opportunities email alert service) Access Settings to customize your PennERA screens.

## Right Sidebar

- **My Action Items** – Items requiring user action, for example, review and approval of proposals. "My Open Action Items" are automatically displayed when the portal screen is first displayed after login.
- **My Messages** – Messages received from the PennERA internal messaging system.

## Working in the PennERA Portal

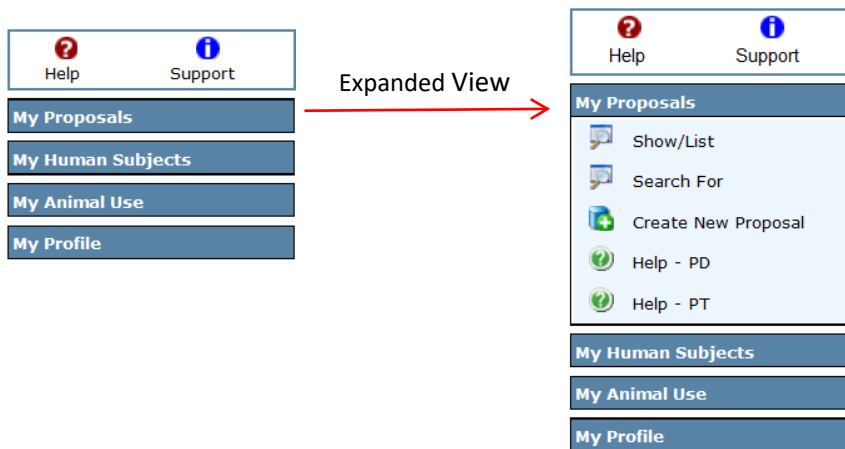
### Overview

After logging into the application, the Main Menu, referred to as the **Left and Right Sidebars**, are located on the left and right sides of your screen.

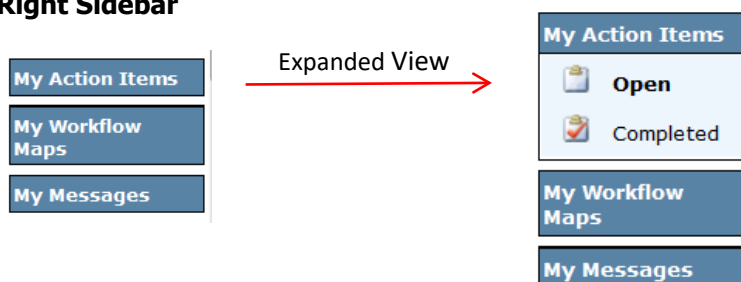
### Features

- To expand a Menu Option, click on the menu item.
- Additional submenu items are displayed.
- Navigate to proposals from either Show/List or **Search For** in **My Proposals**.

### Left Sidebar



### Right Sidebar




## My Action Items and My Messages

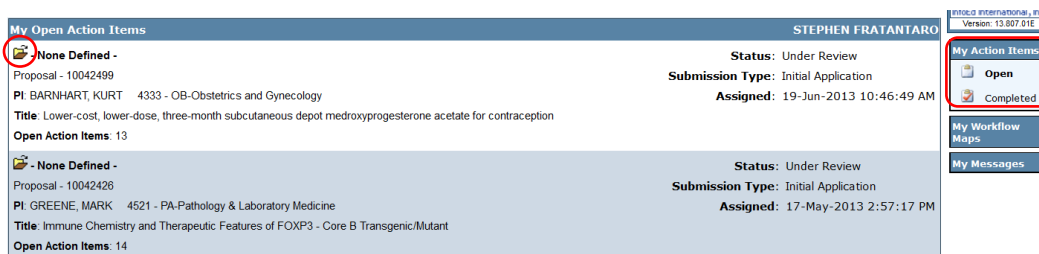
PennERA messages are site mail or messages sent within the PennERA application. Users who are required to approve a proposal will be sent a University e-mail and may access the proposal to be approved through My Messages or My Action Items. Users may message other PennERA users using site mail as well as respond to proposals routed for approval/review via the messaging system.


## My Action Items

### Overview

When you enter PennERA, you are in the **My Action Items** module. Action Items are items awaiting the user's review and/or approval, such as proposals.

- At any time, you can access Action Items by clicking on **[My Action Items]** to open the Review Dashboard.
- Click on the  **Open** icon to review a specific item.
- Previously reviewed and completed items may be viewed by clicking on **[Completed]** under **My Action Items**.



My Open Action Items		STEPHEN FRATANTARO
 - None Defined - Proposal - 10042499 PI: BARNHART, KURT 4333 - OB-Obstetrics and Gynecology Title: Lower-cost, lower-dose, three-month subcutaneous depot medroxyprogesterone acetate for contraception Open Action Items: 13	Status: Under Review Submission Type: Initial Application Assigned: 19-Jun-2013 10:46:49 AM	<b>My Action Items</b> Open Completed My Workflow Maps My Messages
 - None Defined - Proposal - 10042426 PI: GREENE, MARK 4521 - PA-Pathology & Laboratory Medicine Title: Immune Chemistry and Therapeutic Features of FOXP3 - Core B Transgenic/Mutant Open Action Items: 14	Status: Under Review Submission Type: Initial Application Assigned: 17-May-2013 2:57:17 PM	

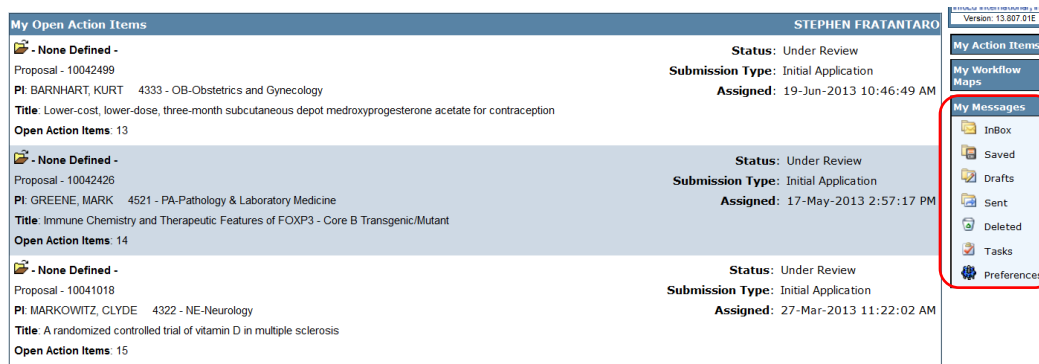
## My Messages




### Overview

PennERA has internal messaging or site mail. Each user has a mailbox within PennERA that allows the user to send/receive messages to other users within the PennERA community.

In certain instances, PennERA will automatically generate a PennERA message as well as send a University e-mail:

- When a proposal has been routed to an individual for review or approval.
- If a proposal is returned to you for changes or correction.



My Open Action Items		STEPHEN FRATANTARO
 - None Defined - Proposal - 10042499 PI: BARNHART, KURT 4333 - OB-Obstetrics and Gynecology Title: Lower-cost, lower-dose, three-month subcutaneous depot medroxyprogesterone acetate for contraception Open Action Items: 13	Status: Under Review Submission Type: Initial Application Assigned: 19-Jun-2013 10:46:49 AM	<b>My Messages</b> InBox Saved Drafts Sent Deleted Tasks Preferences
 - None Defined - Proposal - 10042426 PI: GREENE, MARK 4521 - PA-Pathology & Laboratory Medicine Title: Immune Chemistry and Therapeutic Features of FOXP3 - Core B Transgenic/Mutant Open Action Items: 14	Status: Under Review Submission Type: Initial Application Assigned: 17-May-2013 2:57:17 PM	
 - None Defined - Proposal - 10041018 PI: MARKOWITZ, CLYDE 4322 - NE-Neurology Title: A randomized controlled trial of vitamin D in multiple sclerosis Open Action Items: 15	Status: Under Review Submission Type: Initial Application Assigned: 27-Mar-2013 11:22:02 AM	

## Features

Below is an example of an "Approval Needed" message. At the top of the message are icons that will allow you to manage your messages. In the body of the message are links to view the proposal, or open the reviewer dashboard to approve or disapprove the proposal.

Reply Reply All Forward Next Close

From: **Mr. Swavely, Todd S** Received: **20-Oct-2010**  
To: **Ford, Evelyn J - 8760 - Research Services**  
CC:  
Subject: **Approval Needed - 10023443 - 8760 - Research Services**

Proposal 10023443 submitted by ORG 8760 - Research Services for STEPHEN FRATANTARO from 8760 - Research Services requires your approval. Your prompt attention to this request is appreciated. If you have any concerns about the proposal, please contact your departmental administrator.

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

Attachments:

**10023443**  
For Review  
**Proposal**

Open Reviewer Dashboard to enter decision (if an approver).

Open Proposal (security rules determine who can access).

## My Profile

### Overview

Your PennERA profile can be used to manage a variety of information including: biosketch, employment and education history, etc. Select the appropriate menu option to open screens that allow you to add/update this information.

### My Profile > General

#### Overview

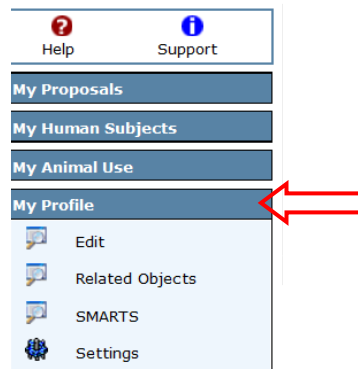
All PennERA users have a profile with address and contact information that is initially set up from their Penn Community information and continues to be updated nightly from the online directory. Changes to your profile's general information should be made through the online directory whenever possible.

*Note: Making a change directly to your PennERA profile will disable the nightly update from Penn Community.*

#### You may also edit your profile:

**REQUIRED fields** – Address, city, state, country, email, and phone information are required fields for submission of electronic proposals.

*Note: Title, fax, and county are no longer required for NIH electronic submissions. However, it is recommended that users supply information for all the fields in their profiles, as these validations may change and also may be required as other sponsors are included in the electronic submission process through Proposal Development.*



General

Salutation

First STEPHEN

Middle

Last FRATANTARO

Suffix

Degrees

Title Associate Director

Email pennera\_notifications@lists.upenn.edu

Email Format Multipart

Phone 2155732555

Fax 2158989708

Employee/Student ID 10251774

General Advisees (0)  
Backups  
Biosketch  
Certifications  
Classification Co  
Collaborators (0)  
Courses Taught (0)  
Creative Activities  
Custom Category  
Delegates (0)  
Education (0)  
Employment (0)  
Honors and A  
Languages (0)  
MD Informati  
Memberships  
Other Information  
Patents (0)

Click on any field to make changes to Name and Contact information.

Click on [Full Profile] to view. (See illustration below.)

You may also edit by Clicking on [General].

Print Profile Close Profile

Last Updated: 06-Jan-2012

**STEPHEN FRATANTARO**

University of Pennsylvania  
8760 - Research Services

Office of Research Services  
3451 Walnut Street, Suite P-221  
County of PHILADELPHIA  
PHILADELPHIA, Pennsylvania 19104-6205 6205  
U.S.A.

Title: Associate Director  
Email: pennera\_notifications@lists.upenn.edu  
Phone: 2155732555  
Fax: 2158989708  
Status: Active Employee  
Publishing Name - First: STEPHEN  
Publishing Name - Last: FRATANTARO

- Click **[Save]** to save any changes you have made to your profile in the PennERA system.



## My Profile > Biosketch

### Overview

This screen allows you to create your biosketch from information you enter within your profile.

**STEPHEN FRATANTARO**  
*Associate Director*  
**4423 - PS-Mental Health Services**

Office of Research Services  
3451 Walnut Street, Suite P-221  
PHILADELPHIA, PA 19104-6205

Phone#: 2155732555  
Fax#: 2158989708  
Email: pennera\_notifications@lists.upenn.edu

- General
- Advisees (0)
- Backups
- Biosketch**
- Certifications
- Classification Codes
- Collaborators (0)
- Courses Taught (0)
- Creative Activities (0)
- Custom Category (0)
- Delegates (0)
- Education (0)
- Employment (0)
- Honors and Awards (0)
- Languages (0)
- MD Information
- Memberships (0)
- Other Information
- Patents (0)
- Portal Preferences
- Professional Assn. and Soc. (0)
- Professional Lic. and Cert. (0)
- Publications (0)
- Resources
- Research Interests (0)
- Reviewed Works (0)
- Sponsor Credentials (2)
- Sponsored Funding (0)

**Existing Biosketches**

CVBio Name	Original	Word	PDF	Rebuild	Replace	Edit Name	
BioSketch from 10010936							
BioSketch from 10015189							<input type="checkbox"/>
BioSketch from 10030781							<input type="checkbox"/>
BioSketch from 10049377							<input type="checkbox"/>

**Biosketch Templates**

[PHS 398/2590 Template](#) [NIH SF424 Template](#) [Create New Personal Template](#)

### Features

- Fill out information pertaining to your Education, Employment, Publications, etc., in the appropriate submenu options.
- Select one of the Biosketch templates (**[PHS398/2590]**, **[NIH SF424]**, or **[Create New Personal]**) to create your Biosketch from the information entered.
- View the PDF, replace, edit or delete (click radio button then **[Delete]**) existing Biosketches.
- **[Upload New]** Biosketch information from existing files.

## My Profile > Delegates

### Overview

The Delegation menu option allows the user to delegate access to his/her items to another individual within PennERA. This function is particularly useful when the user is out of the office for a long period of time.

Office of Research Services  
3451 Walnut Street, Suite P-221  
PHILADELPHIA, PA 19104-6205

Phone#: 2155732555  
Fax#: 2158989708  
Email: pennera\_notifications@lists.upenn.edu

- Conferences (0)
- Courses Taught (0)
- Creative Activities (0)
- Custom Category (0)
- Delegates (0) ←
- Education (0)
- Employment (0)
- Honors and Awards (0)
- Languages (0)
- MD Information
- Memberships (0)
- Other Information
- Patents (0)
- Portal Preferences
- Professional Assn. and Soc. (0)
- Professional Lic. and Cert. (0)
- Publications (0)
- Resources
- Research Interests (0)
- Reviewed Works (0)

Individuals who may access STEPHEN FRATANTARO's items

No access has been granted

User accounts STEPHEN FRATANTARO can access

No access has been granted

Add

### Features

- Click **[Add]** to create delegates from the PennERA community.
- From the alpha-split list choose the name of the person you wish to grant access.
- Delegate the appropriate level of authority:
  - View or Edit proposals.
  - View, Edit, Add, and/or Delete items from the Calendar.
- Click **[Save]** to save changes.

## My Profile > Education

### Overview

NSF (FastLane) requires information about an investigator's highest degree and year it was awarded. This information is not required in submissions to most other agencies but can be entered if desired.

PHILADELPHIA, PA 19104-6205

Phone#: 2155732555  
Fax#: 2158989708  
Email: pennera\_notifications@lists.upenn.edu

- Creative Activities (0)
- Custom Category (0)
- Delegates (0)
- Education (0)**
- Employment (0)
- Honors and Awards (0)
- Languages (0)
- MD Information
- Memberships (0)
- Other Information
- Patents (0)
- Portal Preferences
- Professional Assn. and Soc. (0)
- Professional Lic. and Cert. (0)
- Publications (0)
- Resources
- Research Interests (0)
- Reviewed Works (0)
- Sponsor Credentials (2)
- Sponsored Funding (0)

Education Add New

Navigate to the Education section link and click **[Add New]** to add a degree or click the **Edit** icon to change existing information.

Education Detail Save and Return

Year Conferred

Degree Abbreviation

Degree

Institution Name

Institution Location

Field of Study

sponsored funding (0)

Education Add New

Enter information and click **[Save and Return]**.

Report to Grants.gov	Year Conferred	Degree	Institution/Location/Field of Study	Edit / View	Delete
<input type="checkbox"/>					

Click **[Report to Grants.gov]** so that the information will populate records created later.

## My Profile > Resources

### Overview

This section allows users to enter Resource information directly into their profiles. When creating proposals, information entered here may be used in the Resources form (if applicable). Common practice is to upload Resources information as Word documents that will be converted into PDF forms.

---

Publications (0)  
**Resources** ←  
Research Interests (0)  
Reviewed Works (0)  
Sponsor Credentials (2)  
Sponsored Funding (0)

**Resource Information**

Laboratory

Clinic

Animal

Computer

Office

Other

## My Profile > Sponsor Credentials

### Overview

NIH (eRA Commons), NSF (FastLane), and DOD-CDMRP proposals require certain identities in order to submit proposals. This information can be entered in this section and will be automatically populated in any proposal records created after the Profile is updated.

- Any existing credentials are listed at the bottom of the screen and may be edited. You may also add new credentials.

Publications (0)  
Resources  
Research Interests (0)  
Reviewed Works (0)  
Sponsor Credentials (2) ←  
Sponsored Funding (0)

**Sponsor Credentials** Add New

Credential	Credential Type	Sponsor	Edit / View	Delete
SFRATANTARO	NIH Commons ID	NATIONAL INSTITUTES OF HEALTH		<input type="checkbox"/>
	NSF FastLane ID	NATIONAL SCIENCE FOUNDATION		<input type="checkbox"/>

Click **[Add New]** to add another Credential Type or click the **Edit** icon to change existing information.

**Sponsor Credentials Detail** Save | Close

Credential

Credential Type

Sponsor

Select a Credential Type and enter the Credential identity; click **[Save]**.

## My Profile > Settings

### Overview

This section allows the user to modify some display options.

### Features

- **Portal Login** – Only “New” portal view is now available in PennERA.
- **Results per Page** – Choose the maximum number of items to be displayed in search results.
- **Web Portal Tabs** – By default, “My Projects”, “My Contacts”, and “My Calendar” are not visible as these functions are not currently used. Users may also turn off other portal tabs they are not using.
- **Color Schemes** – Choose the browser window color scheme.
- Click **[Save]** to save any changes you make to the Settings.

Portal Preferences

General Dynamic Tabs

Portal Login:  New Portal  Old Portal

Results per page:  25  50  75  100

Sort Action Items:  Newest to Oldest  Oldest to Newest

My Projects  My Proposals  My Animal Use  My Calendar  
 My Messages  My Workflow Maps  My Contacts  Find Funding  
 Collaborate

Default Colors  Deep Blues  Brick  Purple   
Pumpkin  Olive  Slate  Brown   
Light Blue

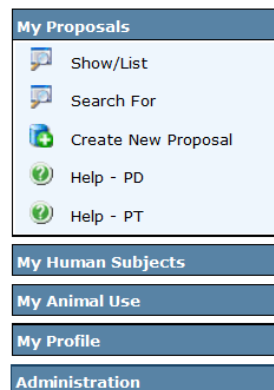
Save

## Working in PennERA My Proposals

### Overview

This section provides links to search for, view, and edit existing proposals and to create new proposals. It also provides access to InfoEd help.


- **Show/List** – Displays a list of all proposals for which the current user is the PI.
- **Search For** – Displays various search options to locate proposals.
- **Create New Proposal** – Start new records.
- **Help** – Online User Guides provided by InfoEd (not Penn-specific).





### My Proposals > Show List

Click on this link to display a list of all proposals for which the current user is the Principal Investigator.

#### Features

- The information in the results lines displayed is the same as the **Sample Results** presented in the **Search For** details (see next section).
- Mouse over the **Open** icon  to access features to open Proposal Development in the Edit or View modes.

10049377 PENNERADEV v13.803.03E Scenario 1 R21 using simple modular budget FRATANTARO, STEPHEN			
	PD Edit View	PT Edit View	Fwd Del 01-Jul-2015 - 30-Jun-2017 NATIONAL INSTITUTES OF HEALTH 4423 - PS-Mental Health Services
10049377-01 PENNERADEV v13.803.03E Scenario 1 R21 using simple modular budget FRATANTARO, STEPHEN			
	Non-Competing Continuation /		01-Aug-2015 - 31-Jul-2017 NATIONAL INSTITUTES OF HEALTH 4423 - PS-Mental Health Services

### My Proposals > Search For

Click this link to display a search screen.

#### Features

- Frequently searched fields are initially displayed.
- Click **[Show Additional Search Options]** to display more search fields.
- Can use wildcards (\*) in most fields.
- In most text fields, there is the option to enter information or select from a picklist.
- All column headings for results may be sorted in ascending or descending order. Default sort is by Title.
- Results lines contain information about the proposal, either displayed or available in "mouseover" icons.

Proposals - Search For Locate Clear All

Use \* for wildcard

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"/>
PI	<input type="text" value="Investigator Name"/>	Primary Assoc Dept	<input type="text" value="Department Name"/>
Open by Fund	<input type="text"/>		

▼ Show Additional Search Options ▼

Proposals - Search For Locate Clear All

Use \* for wildcard

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"/>
PI	<input type="text" value="Investigator Name"/>	Primary Assoc Dept	<input type="text" value="Department Name"/>
Open by Fund	<input type="text"/>		

**Additional Search Fields**

Title	<input type="text"/>	Project Status	<input type="text"/>
Sponsor Type	<input type="text" value="Sponsor Type"/>	Deadline	<input type="text"/>
Sponsor Program #	<input type="text"/>	Requested Start Date	<input type="text"/>
PI Department	<input type="text" value="Department Name"/>	Requested End Date	<input type="text"/>
Key Personnel	<input type="text" value="Investigator Name"/>	Awarded Start Date	<input type="text"/>
Key Personnel Dept.	<input type="text" value="Department Name"/>	Awarded End Date	<input type="text"/>
Award Number	<input type="text"/>	Award Date	<input type="text"/>
Protocol Number	<input type="text"/>	Grants.gov ID #	<input type="text"/>
Proposal Type	<input type="text"/>	Sub Contractor #	<input type="text"/>
Approval Date	<input type="text"/>	Originating Sponsor	<input type="text" value="Sponsor Name"/>
Activity Code	<input type="text"/>		

▲ Hide Additional Search Options ▲

## Sample Results

Results Showing Page 1 of 1 (3 Proposals Found)

Institution Number	Title (PI)	Current Prime Fund # / Award Number	Requested Period Awarded Period	Sponsor Department	Info
10049376	finding a cure FRATANTARO, STEPHEN	/	05-Jun-2015 - 31-Jul-2016	National Cancer Institute/NIH/DHHS 4423 - PS-Mental Health Services	
10049377	PENNERADEV v13.803.03E Scenario 1 R21 using simple modular budget FRATANTARO, STEPHEN	/	01-Jul-2015 - 30-Jun-2017	NATIONAL INSTITUTES OF HEALTH 4423 - PS-Mental Health Services	
10049385	Student On-Your-Own Subaward to Penn FRATANTARO, STEPHEN	/	01-Apr-2013 - 31-Mar-2017	CHILDREN'S HOSPITAL OF PHILADELPHIA 8760 - Research Services	

Showing Page 1 of 1 (3 Proposals Found)

Results Showing Page 1 of 1 (3 Proposals Found)

Institution Number	Title (PI)	Current Prime Fund # / Award Number	Requested Period Awarded Period	Sponsor Department	Info
10049376	finding a cure FRATANTARO, STEPHEN	/	05-Jun-2015 - 31-Jul-2016	National Cancer Institute/NIH/DHHS 4423 - PS-Mental Health Services	Proposal Status: <b>Under Development</b> Status Date: <b>03-Jun-2015</b>
10049377	PENNERADEV v13.803.03E Scenario 1 R21 using simple modular budget FRATANTARO, STEPHEN	/	01-Jul-2015 - 30-Jun-2017	NATIONAL INSTITUTES OF HEALTH 4423 - PS-Mental Health Services	
10049385	Student On-Your-Own Subaward to Penn FRATANTARO, STEPHEN	/	01-Apr-2013 - 31-Mar-2017	CHILDREN'S HOSPITAL OF PHILADELPHIA 8760 - Research Services	

Showing Page 1 of 1 (3 Proposals Found)

10048009 Kresge Foundation Challenge Grant GASMAN, MARYBETH

New Project		Source	Incr. Date	Account #	
	Main PT			565124	-2018 -2018 KRESGE FOUNDATION 3236 - GSE Higher Education Division
	PT	320.3236.4.565124.3000.7320.0007			(3 Proposals Found)
	Source	Incr. Date	Account #		
	PT		KRESGE		
	PT	04-Sep-2014	N/A		
	AT	Summary	AWD-10048009		
	AT	04-Sep-2014	AWD-10048009		

me data to Mozilla so that we can improve your experience.

Ch



## My Proposals General Features

The following are some General Features used when working on a proposal.

---

### Buttons, Drop-Down Boxes, Links, Etc.

**Action buttons** allow you to process within the screen. Click on the button to initiate the appropriate action.

Remove

Browse...

Upload

---

**Save**, an Action button, located at the top left of the screen, is only available once you are in a Proposal record and should always be used to save work done on the proposal.

Done

Save

**Done**, an Action button, located at the top left of the screen, is only available once you are in a Proposal record and is used to exit the proposal.

---

**Radio buttons** are for unique selections. Click on the button to select an item or answer a question.

Yes  No  View

---

**Drop-down boxes** are for selection. To use a drop-down box, move the cursor over the inverted triangle and click to allow drop-down selections to appear. Click to select the appropriate item.

-- Select Type --

---

**Links** are used to open/edit sections of the proposal, to add or remove sections, to upload attachments, etc.

[Get Opportunity Number](#)

[PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu)

[Change](#)

---

**Intuitive/predictive search** is used to locate Proposals, PI names, and staff information. Start typing the search term in the box and all options appear. Highlight the desired entry and click to select.

Primary Assoc Dept	877
	<a href="#">5877 - NBC Communications</a>
	<a href="#">8770 - Risk Management</a>

---

**Alpha-split lists** are used to locate Proposals, PI names, and staff information.

A <a href="#">B</a> <a href="#">C</a> <a href="#">D</a> <a href="#">E</a> <a href="#">F</a> <a href="#">G</a> <a href="#">H</a> <a href="#">I</a> <a href="#">J</a> <a href="#">K</a> <a href="#">L</a> <a href="#">M</a> <a href="#">N</a> <a href="#">O</a> <a href="#">P</a> <a href="#">Q</a> <a href="#">R</a> <a href="#">S</a> <a href="#">T</a> <a href="#">U</a> <a href="#">V</a> <a href="#">W</a> <a href="#">X</a> <a href="#">Y</a> <a href="#">Z</a>			
AABERG, REBECCA J	(0312 - The College - 0312)	83607144	<a href="#">Select</a>
Search for a particular entry		Filter by Position	
<input type="text"/>	<input type="text"/>		

Select a letter; use the drop-down box or search for a particular entry by typing the person's name. Highlight the desired entry and click **[Select]**.

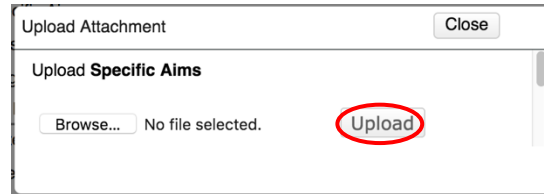
.....

## Upload Documents, Warnings, Etc.

### Upload Documents

You will be required to upload documents at various points in the Proposal Development process. Below are instructions for completing a document upload:

- Click [**Browse...**].
- Find the appropriate file on your computer.
- Change document name if that option is available (not available for all uploads).
- Click [**Upload**].



The successfully uploaded document can be viewed in the Original format or as the converted PDF, and can be Removed.



***Note:** Documents uploaded to Proposal Development are stored in Original and PDF format. View your uploaded documents to ensure special characters, figures, pictures, etc., are captured correctly.*

.....

## Warning and Error Message Boxes

The application dynamically checks your entries and alerts you to items that are incorrectly entered or items that you fail to enter but that are required.

Period	Start	Directs	Indirect	Project Total
1 PT View	01-Jul-2015	\$ 125,000.00	\$ 75,000.00	\$ 200,000.00
2 PT View	01-Jul-2016	150,000.00	90,000.00	240,000.00
	01-Jul-2015	\$ 275,000.00	\$ 165,000.00	\$ 440,000.00

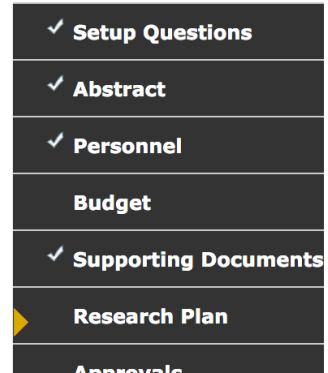
  

Budget Category	Period 1	Period 2	Total
Labor	-	-	\$ 0.00
Other Costs	125,000.00	150,000.00	275,000.00
Indirect Costs	75,000.00	90,000.00	165,000.00
	\$ 200,000.00	\$ 240,000.00	\$ 440,000.00

.....

### Completing Each Section of the Proposal

- As you complete each section of the Proposal, click the **[Save]** button in the upper left corner of the screen. This will save all data entered onto that form or page.
- After saving the data, check the box in the upper right corner. Completed
- Check marks appear next to the completed sections on the **Left Sidebar Menu**. This check mark indicates these sections or forms have been completed and "checked in" to the application.
- To edit a previously completed form, the form must be "checked out". Select that form from the **Left Sidebar Menu**, click to uncheck the **Completed** box, and make edits as necessary. It will be necessary to **[Save]** and **Complete** the form again.



***Note:** Be patient when saving data or completing the form. Make sure the application has completed the last action and has finished refreshing the screen before moving to the next step.*

.....

### Exiting a Proposal Record

- When finished working with a proposal click the **[Done]** button on the top left of the screen.
- The Proposal Development application will allow concurrent edit access to more than one person, although only one person at a time can edit a particular screen.

***Note:** It is very important to exit when finished working with a specific proposal so that others may gain edit access to the entire proposal if you are no longer actively working in the record.*

*Do not open multiple proposals at once. Work on one proposal at a time. Save and Close it before opening another proposal.*

.....

## Create New Proposal

### Section Overview

The Proposal Development application will generate the appropriate forms based on the Sponsor you select. The **Sidebar Menu**, displayed once in a proposal, will display the forms that are needed for the type of proposal you want to create. Below is an example of how the **Sidebar Menu** changes based on sponsor:

NIH SF424 Navigation Menu	NSF SF424 Navigation Menu	Penn-Specific Generic Sponsor Formset Navigation Menu
<ul style="list-style-type: none"> <li>▶ Setup Questions</li> <li>SF424 (R&amp;R)</li> <li>PHS 398 Cover Page Supplement</li> <li>Other Project Info</li> <li>Personnel</li> <li>Budget</li> <li>Performance Sites</li> <li>PHS 398 Research Plan</li> <li>Human Subjects/CT</li> <li>Approvals</li> <li>Internal Documents</li> <li>Finalize</li> </ul>	<ul style="list-style-type: none"> <li>▶ ✓ Setup Questions</li> <li>SF424 (R&amp;R)</li> <li>S2S Forms</li> <li>Other Project Info</li> <li>Personnel</li> <li>Budget</li> <li>Performance Sites</li> <li>Approvals</li> <li>Internal Documents</li> <li>Finalize</li> </ul>	<ul style="list-style-type: none"> <li>▶ Setup Questions</li> <li>Abstract</li> <li>Personnel</li> <li>Budget</li> <li>Supporting Documents</li> <li>Research Plan</li> <li>Approvals</li> <li>Internal Documents</li> <li>Finalize</li> </ul>

### Features

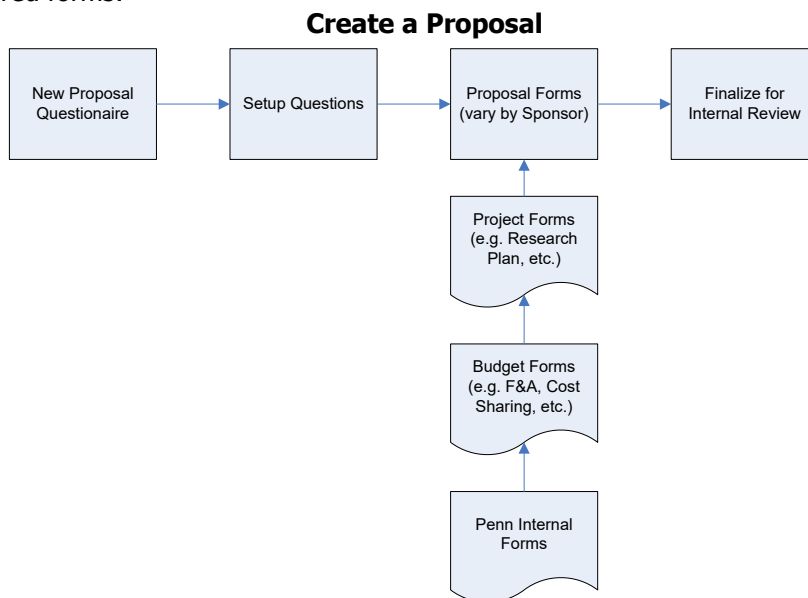
- The Proposal Development application will lead you through the steps that are necessary to satisfy the requirements specified by the sponsor. The **Sidebar Menu** represents those defined steps. Different sponsors have different requirements. The **Sidebar Menu** changes based on the sponsor.
- Each submenu must be completed in order to "Finalize" the proposal, but the forms *do not* have to be completed in sequential order.

## My Proposals > Create New Proposal

My Proposals		Results				
Showing Page 1 of 1 (3 Proposals Found)		Institution Number	Title (PI)	Current Prime Fund # / Award Number	Requested Period / Awarded Period	Sponsor Department
<a href="#">Show/List</a> <a href="#">Search For</a> <a href="#">Create New Proposal</a> <a href="#">Help - PD</a> <a href="#">Help - PT</a>		10049376	finding a cure	FRATANTARO, STEPHEN	05-Jun-2015 - 31-Jul-2016	National Cancer Institute - PS-M
		10049377	PENNERADEV v13.803.03E Scenario 1 R21 using simple modular budget	FRATANTARO, STEPHEN	01-Jul-2015 - 30-Jun-2017	NATIONAL INSTITUTE OF HEALTH - PS-M

### Process Overview

The "Create a Proposal" process consists of four basic steps, with the addition of the appropriate Sponsor-required forms:



In order to get started with your Proposal, you need to do the following tasks:

- Profile Update:
  - Verify and/or update your Profile information in PennERA (especially **NIH Commons, NSF Research.gov/FastLane**, and **CDMRP** credentials, name, address, city, state, country, phone, email).
  - *See also [Profile](#) for more information.*
- Begin preparing Word or PDF documents that will be uploaded to the proposal. Required documents will vary by sponsor and may include some or all of the following:
 

<ul style="list-style-type: none"> <li>• Project Summary</li> <li>• Human Subjects and/or vertebrate animals</li> <li>• CVs/biosketches and/or Other Support for Key Personnel</li> </ul>	<ul style="list-style-type: none"> <li>• Project Narrative</li> <li>• Facilities and Other Resources</li> <li>• Major Equipment</li> <li>• References Cited</li> <li>• Additional attachments as needed</li> </ul>
---	--

**Note:** If your document uses symbols or complex graphics, it is wise to convert the document to PDF format before uploading to ensure that these elements are correctly converted.

## New Proposal Questionnaire – Steps 1-7

### Overview

When creating a new proposal, you are prompted through a series of seven setup questions that enable you to launch into the proposal creation process. After completing those seven steps, you will not be able to return to this form again, but you will be able to change the information on other screens.

### Steps 0, 1 – Determine PI, Initiate Proposal Creation

#### Features

- Change the PI.
- Create a new proposal.

The screenshot shows the 'New Proposal Questionnaire' interface. At the top, the title 'New Proposal Questionnaire' is displayed. Below the title, there are two steps:

- Step 0:** 'Confirm you intend for the PI of this proposal to be Ford, Evelyn J'. To the right of the name is a blue 'Change' link.
- Step 1:** 'Create a "New" Proposal'. Below this step is a button labeled 'Create a New Proposal'.

At the bottom left of the form area, there is a 'Continue' button.

#### Change PI

- The "PI" defaults to the user.
  - If creating a proposal for someone else, click the **Change** link next to the PI's name.
  - Begin typing the new PI's name, choose from the search results and click **[Select]**.
- If you are creating a proposal for another PI, you cannot "Submit" the proposal.
- PIs must submit proposals under their name.

#### Create a New Proposal

- Click **[Continue]**.

## Step 1, Continued... – Find Funding Opportunity

### Features

- Allows access to SPIN funding database, if necessary.

New Proposal Questionnaire

Step 0: *Confirm you intend for the PI of this proposal to be* Swavely, Todd S Change

Step 1: "New" Create a New Proposal

Step 1: *Continued*

✓ Select from Grants.Gov Opportunities  
Select from all SPIN Opportunities  
Setup Proposal Manually

Search

- Select from the drop-down box "Select from Grants.Gov Opportunities".
- Click **[Continue to Next Step]** to continue to Step 2.

*Note: There is a [Back] button on each screen within the questionnaire. Use [Back] to go back one or more steps if you need to change a previous answer.*

### Select from Grants.Gov Opportunities

#### Features

- Allows search of the Grants.Gov funding database using keyword search criteria from the full program, title, or funding opportunity number.

*Note: Although there are several options for locating the Funding Opportunity Announcement, the method presented here is recommended.*

**Funding Opportunity Numbers should not be retrieved for non-S2S Federal proposal records set up as generic records.**

New Proposal Questionnaire

Step 0: *Confirm you intend for the PI of this proposal to be* Swavely, Todd S Change

Step 1: "New" Create a New Proposal

Step 1: *Continued*

Select from Grants.Gov Opportunities

PA-19-056 S2S

Search

- Type in the search criteria. Examples:
  - Funding Opportunity Announcement Number: "Parent R01".
  - Part of the Opportunity Title: "Parent R01".
  - Can also enter keywords.
  - "S2S" is selected by default.
- Click **[Search]**.

*Wait for the screen to refresh with the program information.*

Step 1: *Continued*

Select from Grants.Gov Opportunities

PA-19-056 S2S  Search

Opportunity Number	CFDA Number	Competition ID	Competition Title	PackageID	S2S	Opening Date	Agency	Title
PA-19-056		FORMS-E	Use for due dates on or before May 24, 2020	PKG00246083	<input checked="" type="checkbox"/>	05-Jan-2019	National Institutes of Health	Research Project Grant (Parent R01 Clinical Trial Not Allowed)

**Select**

- Click **[Select]** below the appropriate Opportunity Number.

## Step 2 – Select Proposal Type

New Proposal Questionnaire Back

Step 0: *Confirm you intend for the PI of this proposal to be* Swavely, Todd S [Change](#)

Step 1: "New" Create a New Proposal

Program Number	Program Name	Competition Title	Competition ID	PackageID	Sponsor
PA-19-056	Research Project Grant (Parent R01 Clinical Trial Not Allowed)	Use for due dates on or before May 24, 2020	FORMS-E	PKG00246083	NATIONAL INSTITUTES OF HEALTH

Step 2: *Please Select a Proposal Type*

- New Project
- Competing (Renewal)
- Revision
- Supplemental
- Non-Competing Continuation
- Change of Grantee Inst
- CTA - Early review
- CTA/SRA - Amendment
- Pre-Proposal

- Review the information displayed in Step 1 for the selected Program Number.
- Determine if this proposal is a New Competing or Competitive Renewal.
- Click **[Continue]** to continue to Step 3.

## Step 3 – Select a Sponsor

Automatically completed based on Grants.Gov information. Review for accuracy.

New Proposal Questionnaire Back

Step 0: *Confirm you intend for the PI of this proposal to be* Swavely, Todd S [Change](#)

Step 1: "New" Create a New Proposal

Program Number	Program Name	Competition Title	Competition ID	PackageID	Sponsor
PA-19-056	Research Project Grant (Parent R01 Clinical Trial Not Allowed)	Use for due dates on or before May 24, 2020	FORMS-E	PKG00246083	NATIONAL INSTITUTES OF HEALTH

Step 2: *Proposal Type* New Project

Step 3: *Select a Sponsor*

Alternate sponsors listed in SPIN for this Opportunity

--OR--

- Click **[Continue]** to continue to Step 4.



## Step 4 – Tracking Number of Proposal Number

This will be automatically numbered by the system once the setup questionnaire has been completed.

**Note:** If you are requested to manually enter a Proposal Number, please stop, click **[Back]** to go to **Step 2** and repeat. If manual input is again requested, stop and send email to [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu).

## Step 5 – Enter the Proposal's Title

- Enter the title of your proposal.
- Click **[Continue]**.

New Proposal Questionnaire

---

Step 0: Confirm you intend for the PI of this proposal to be Swavely, Todd S [Change](#)

Step 1: "New" Create a New Proposal

Program Number	Program Name	Competition Title	Competition ID	PackageID	Sponsor
PA-19-056	Research Project Grant (Parent R01 Clinical Trial Not Allowed)	Use for due dates on or before May 24, 2020	FORMS-E	PKG00246083	NATIONAL INSTITUT HEALTH

Step 2: Proposal Type New Project

Step 3: Selected Sponsor NATIONAL INSTITUTES OF HEALTH


Mechanism Research Project

Step 4: "Tracking" Number or "Proposal" Number This proposal will be automatically numbered.

**Step 5: Proposal's Title**

Test proposal for use in PD User Guide

## Step 6 – Enter Project Dates

- Enter the project dates using a MMDDYY format (e.g., "080109": system changes date format to DD-Mon-YYYY) or select the date from the calendar  tool.

Step 6: What are the project start and end dates?

From

To

**Note:** Some Proposal types validate date information based on Sponsor Mechanism Type.

- Click **[Continue]**.

## Step 7 – Confirm Budget Periods, Create Proposal

### Features

- Confirm the number of budget periods based on the Project Start and End Dates from Step 6.
- Create the proposal.

Step 7: How many years and/or budget periods would you like?

**\*NOTE:** If you need additional years/periods beyond 7, you may add them as needed once inside the proposal.

### How many years and/or budget periods would you like?

- Confirm the number of budget periods you are requesting.
- Click [**Continue**].

New Proposal Questionnaire Back

Step 0: Confirm you intend for the PI of this proposal to be Swavely, Todd S [Change](#)

Step 1: "New" Create a New Proposal

Program Number	Program Name	Competition Title	Competition ID	PackageID	Sponsor
PA-19-056	Research Project Grant (Parent R01 Clinical Trial Not Allowed)	Use for due dates on or before May 24, 2020	FORMS-E	PKG00246083	NATIONAL INSTITUTES OF HEALTH

Step 2: Proposal Type New Project

Step 3: Selected Sponsor NATIONAL INSTITUTES OF HEALTH

Mechanism Research Project

Step 4: "Tracking" Number or "Proposal" Number This proposal will be automatically numbered.

Step 5: Proposal's Title Test proposal for use in PD User Guide

Step 6: Project Start and End Dates 01-Apr-2021 to 31-Mar-2026

Step 7: Number of Budget Periods 5

Is all of the above information correct?

[Step back through responses](#) [Create Proposal](#)

**\*NOTE:** Clicking "Create Proposal" will create a new proposal with the properties you have indicated above. There is one final screen of questions to be completed before you can start entering your new proposal. Again, you will be able to change the properties of the proposal once it has been created if need be.

### Is all of the above information correct?

- Review the information you entered and click [**Create Proposal**] to continue or [**Step back through responses**] if you need to make changes to any of the earlier steps.
- The application automatically assigns a Proposal Number (i.e., Institution Number) when you complete this step.

Please be patient while the proposal is processing. Once processed, Setup Questions page will load.

## Setup Questions

### Overview

The **Setup Questions** screen provides questions/answers that enable the Proposal Development application to determine and present the appropriate screens for subsequent parts of the proposal. Answer the questions based on your knowledge of the proposal. Setup questions vary by Sponsor and Mechanism Type. Many of the answers are pre-filled based on the type of funding program selected.

## Features

- Subsequent forms will reflect the type of information you enter here.
- Some information is pre-entered based on the program you have chosen but all information can be changed if the pre-entered answers do not reflect the facts about the project.
- Some information needs to be completed; see below:

### 1. Submission Mechanism/Form Information

Submission Mechanism/Form Information

Proposal Sponsor NATIONAL INSTITUTES OF HEALTH [Change](#)

Please select a Submission Mechanism/Screen Template

Opportunity Number

- **Submission Mechanism/Screen Template** is pre-populated based on the type of grant.
  - If this is an application that will be directly submitted to Grants.Gov from PennERA Proposal Development (system-to-system, or S2S), the template should be a 424 R&R electronic submission.
  - If this not an S2S proposal, the template should be UPENN – Generic Template.
- In the electronic submission process, **all** Grants.gov proposals are considered solicited and should have a Funding Opportunity Announcement number.
  - For NIH investigator-initiated proposals, there is a parent or umbrella funding opportunity that is the equivalent of the “unsolicited” proposal in the paper submission process.
  - NIH Parent Announcements can be found at [NIH Parent FOAs](#).
  - Generic records should never have an opportunity number entered.
- Verify the correct **Opportunity Number** is present.
  - Click the [Get Opportunity](#) Link if this number must be changed.
- **Grants.Gov Submission Information**
  - Information will auto-populate based on the Opportunity Number.
  - Review information for accuracy and to ensure that proposals are still being accepted (Opportunity Open and Close Dates).

#### Grants.Gov Submission Information

Opportunity Number	PA-19-056
Opportunity Title	Research Project Grant (Parent R01 Clinical Trial Not Allowed)
Offering Agency	National Institutes of Health
Open Date	05-Jan-2019
Close Date	<i>17-May-2020 Close Date is 10 days later than the close date posted at Grants.Gov to ensure availability of opportunities within InfoEd/PD for appropriate late submissions.</i>
CFDA Number	
CFDA Description	
Competition ID	FORMS-E
Competition Title	<i>Use for due dates on or before May 24, 2020</i>
Form Version	FORMS-E
PackageID	PKG00246083
Agency Contact	

- Forms are selected by PennERA based on the opportunity chosen and the answers to questions on this tab. These are not editable.
- After all questions are answered, check this section to ensure all required forms are listed and checked as "Included".

Form	Version	Included
RR_SF424_2_0	RR_SF424_2_0-V2.0	<input checked="" type="checkbox"/>
PHS398_CoverPageSupplement_4_0	PHS398_CoverPageSupplement_4_0-V4.0	<input checked="" type="checkbox"/>
Other Project Info	RR_OtherProjectInfo_1_4-V1.4	<input checked="" type="checkbox"/>
PerformanceSite_2_0-V2.0	PerformanceSite_2_0-V2.0	<input checked="" type="checkbox"/>
RR_KeyPersonExpanded_2_0-V2.0	RR_KeyPersonExpanded_2_0-V2.0	<input checked="" type="checkbox"/>
PHS398_ResearchPlan_4_0	PHS398_ResearchPlan_4_0-V4.0	<input checked="" type="checkbox"/>
PHSHumanSubjectsAndClinicalTrialsInfo	PHSHumanSubjectsAndClinicalTrialsInfo-V1.0	<input checked="" type="checkbox"/>
RR_Budget_1_4-V1.4	RR_Budget_1_4-V1.4	<input checked="" type="checkbox"/>
RR_SubawardBudget30_1_4-V1.4	RR_SubawardBudget30_1_4-V1.4	<input type="checkbox"/>
PHS398_ModularBudget_1_2-V1.2	PHS398_ModularBudget_1_2-V1.2	<input type="checkbox"/>
PHS_AssignmentRequestForm_2_0-V2.0	PHS_AssignmentRequestForm_2_0-V2.0	<input type="checkbox"/>

## 2. Deadline Information

- Always provide a deadline date for all proposals.
- Check pre-populated dates for accuracy. Information will auto-populate based on the Opportunity Number if this is an S2S submission.
- Information can be overwritten if necessary.
- Refer to the applicable Program Announcement to verify the submission deadline date, time, and deadline type. The Deadline Time Zone for Penn is Eastern Standard Time.

## 3. General Proposal Properties

- Answer the questions "Yes" or "No" by clicking in the appropriate radio button.

- Information in this section will drive the budget information and the need to add protocol information for human subjects or vertebrate animals.
- Add or change the default associated department (see Appendix A for more complete details):
  - The Associated Department will default to the PI's Payroll Home Department information.
  - Adjust if this is not the administering department (i.e., responsible org).
  - Add any org for which a subaccount will be issued if the proposal is funded.
  - PI Department is not editable as this is not related to account setup.
- Proposal can be linked (for informational purposes) to an existing proposal record, if desired.

**General Proposal Properties**

Will your proposal involve the use of Human Subjects?  Yes  No

Will your proposal involve the use of Laboratory Animals?  Yes  No

Will your proposal involve multiple principal investigators?  Yes  No

Will your proposal be a training grant?  Yes  No

Associated Departments 8760 - Research Services  
[Add](#)

PI Departments 8760 - Research Services

#### 4. PHS/NIH Questions (if a PHS/NIH Grant)

- Answer the questions "Yes" or "No" by clicking in the appropriate radio button.
- **Modular budget** – Generally used for application requests of \$250,000 or less in direct costs per year and also as required or prohibited by a specific opportunity announcement (FOA).
  - Answer "Yes" or "No" to whether this is a Modular budget or not.

Because you indicated that this proposal is to PHS/NIH

Will this proposal involve human embryonic stem cells?  Yes  No

Is this proposal funding a Clinical Trial?  Yes  No

Is this proposal an NIH-defined Phase III Clinical Trial?  Yes  No

Will this proposal be using a Modular budget?  Yes  No

## 5. Budget Setup Information

Budget Setup Information

Select the Program Type

The majority of the research will be conducted  On Campus  Off Campus

- select -
- ✓ Upenn - Research
- Upenn - Training
- Upenn - Fellowship
- Upenn - RFP/RFA
- Upenn - Facilities/Equipment
- Upenn - Conference
- Upenn - Community Service
- Upenn - CTA Multiple Sites
- Upenn - CTA Single Site
- Upenn - Other

- Program Type – Select the type of project from the drop-down box.
- Indicate where the majority of the work will take place – on or off Penn’s campus.

***Note:** This information will select the appropriate template for calculation of the F&A (Facilities & Administrative) costs for the budget.*

## 6. Other Funding Information, Guidelines, or Restrictions, if Necessary, as it Applies to the Proposal

- Use this section to provide any information about Funding Opportunity Announcement numbers for generic records for non-S2S federal-sponsored proposals.
- Click [**Save and Continue**] when all questions have been answered.

## Proposal Forms

### Overview

You can upload many of the documents that are required for your proposal. Other forms require you to enter the data directly into the Proposal Development application. Before you begin your entry, make sure you have the relevant information at hand for things like resources, budget information, key people, etc.

As you proceed through the Proposal Forms, you can stop and **[Save]** your work at any time and return to it later. Always click on the **[Done]** button to exit when you are finished working on the proposal.

The Sponsor that you select for your proposal will cause the Proposal Development application to generate the appropriate forms for that Sponsor. The **Sidebar Menu** on the left reflects the forms that are specific to the Sponsor you select. You must complete all the forms that your Sponsor requires before you can assemble and route your proposal.

Although the forms vary from Sponsor to Sponsor, generally speaking, all proposals will need several forms that describe what the proposal is about, who will be doing the work, projected costs, outcomes, etc.

The following pages in this section use the **SF424 (R&R)** forms as required by the sponsor NIH to illustrate system features, processes, and procedures. The use of other sponsors, while displaying a different set of forms, will be processed in the same way, using the same system features, functions, and procedures.

### Proposal Header and Toolbar



### Features

Once you've opened a proposal record, the **Portal Toolbar** is not available and is replaced by a **Header** and **Toolbar** used on all screens in the proposal record. The header floats at the top of all screens and is always visible to use available actions.



**Help and Support** – Open PennERA home page to access documentation and other information.



Click to exit the record.

**Required in order to correctly exit a proposal record. Exiting (logout) of PennERA does not immediately remove a user from record access.**



Click to save data entry and other actions on screen.

### Navigation

#### Features

Once you have opened a proposal, all navigation occurs from the **Sidebar Menu**.

- **All Proposal Tabs** – Click on any tab to navigate between screens in your proposal.

## SF424 (R&R)

### Overview

This is the face page for the application. Most of the information is derived from the **Setup Questions** answered by the user and administrative setups provided by ORS.

- Required fields, highlighted in yellow on the screen, must be answered to complete this form.
- Click the **[Save]** button before moving to the next step.

SF424 (R&R)

Remember to check **Completed** when finished with the form.

Completed

OMB Number: 4040-0001  
Expiration Date: 12/31/2022

<b>1. Type of Submission:</b> <input type="radio"/> Pre-application <input checked="" type="radio"/> Application <input type="radio"/> Changed/Corrected Application		<b>2. Date Submitted:</b> <input type="text"/>	<b>Applicant Identifier:</b> <input type="text" value="10073637"/>	
		<b>3. Date Received by State:</b> <input type="text"/>	<b>State Application Identifier:</b> <input type="text"/>	
		<b>4 a. Federal Identifier</b> <input type="text"/>	<b>b. Agency Routing Identifier:</b> <input type="text"/>	
		<b>c. Previous Grants.gov Tracking ID:</b> <input type="text"/>		
<b>5. Applicant Information</b>			Organizational DUNS: 04-225-0712	
Legal Name: University of Pennsylvania			Division: <input type="text" value="None"/>	
Department: <input type="text" value="University of Pennsylvania"/>				
Address (Street, city, state, zip/postal code) Office of Research Services 3451 Walnut Street, 5th Floor Philadelphia PA 19104-6205 U.S.A.				
Province: <input type="text"/>				
<b>Person to be contacted on matters involving this application</b>				
Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
<input type="text"/>	ELIZABETH	D	PELOSO	<input type="text"/>
Position/Title:	Street1:	Street2:	City:	County/Parish:
AssocVicePres/AssocViceProvost for Research	3451 Walnut Street	Franklin Building, 5th floor	Philadelphia	<input type="text"/>
State:	Province:	Country:	Zip/Postal Code:	
PA	<input type="text"/>	U.S.A.	19104-6205	

Most information is pre-populated.



If Revision, mark appropriate box(es). <input type="checkbox"/> A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> E. Other (specify): <input type="text"/>		<b>9. NAME OF FEDERAL AGENCY:</b> National Institutes of Health	
<b>Is this application being submitted to other agencies?</b> YES <input type="radio"/> NO <input checked="" type="radio"/> What other Agencies: <input type="text"/>		<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <input type="text"/> <b>TITLE (Name of Program):</b> <input type="text"/>	
<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> CM Setup test			
<b>12. PROPOSED PROJECT</b> Start Date: <input type="text" value="31-Jul-2015"/> Ending Date: <input type="text" value="01-Aug-2016"/>		<b>13. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant PA-002	
<b>14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION</b> <a href="#">Change</a>			
Prefix: <input type="text"/> First Name: <input type="text" value="STEPHEN"/>		Middle Name: <input type="text"/> Last Name: <input type="text" value="FRANTANTARO"/> Suffix: <input type="text"/>	
Position/Title: <input type="text" value="Associate Director"/>		Organization Name: <input type="text" value="The Trustees of the University of Pennsylvania"/>	
Department: <input type="text" value="4423 - PS-Mental Health Services"/>		Division: <input type="text" value="None"/>	
Address (Street, city, county, state, zip/postal code) <input type="text" value="Office of Research Services"/> <input type="text" value="3451 Walnut Street, Suite P-221"/> <input type="text" value="PHILADELPHIA PHILADELPHIA PA 19104-6205"/> <input type="text" value="U.S.A."/>			
Province: <input type="text"/>		Phone Number: <input type="text" value="2155732555"/> Fax Number: <input type="text" value="2158989708"/> Email: <input type="text" value="pennera_notifications@lists.upenn.edu"/>	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Total Federal Funds Requested    \$    0.00 b. Total Non-Federal Funds    \$    0.00 c. Total Federal & Non-Federal Funds    \$    0.00		a. Yes <input type="radio"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: <input type="text"/> b. No <input checked="" type="radio"/> PROGRAM IS NOT COVERED BY E. O. 12372 <small>NO PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW</small>	
<b>17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)</b> <input type="checkbox"/> I agree <small>* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>			
<b>18. SFLLL (Disclosure of Lobbying Activities) or other Explanatory Documentation</b> <a href="#">Upload</a>			
<b>19. Authorized Representative</b>			
Prefix: <input type="text"/> First Name: <input type="text"/>		Middle Name: <input type="text"/> Last Name: <input type="text"/> Suffix: <input type="text"/>	
Title: <input type="text"/>		Organization Name: <input type="text" value="The Trustees of the University of Pennsylvania"/>	
Department: <input type="text" value="8760 - Research Services"/>		Division: <input type="text" value="None"/>	
Address (Street, city, county, state, zip/postal code, province, country) <input type="text"/>			
Phone Number: <input type="text"/>		Fax Number: <input type="text"/> Email: <input type="text"/>	
*Signature of Authorized Representative Completed on submission to Grants.gov		*Date Signed Completed on submission to Grants.gov	
<b>20. Pre-application</b> <a href="#">Upload</a> <b>21. Cover Letter Attachment</b> <a href="#">Upload</a>			

- Complete Section 19:
  - Click in any highlighted yellow field. Scroll to the top of the new window.
  - Select the **Official Signing for Applicant Organization**. Choose the person who usually signs your proposals.
- Click **[Set]**, wait for the information to appear, then click **[Back]**.

19. Authorized Representative

Prefix:  First Name:  Middle Name:  Last Name:  Suffix:

Title:  Organization Name:

Department:  Division:

Address (Street, city, county, state, zip/postal code, province, country)

Phone Number:  Fax Number:  Email:

\*Signature of Authorized Representative:  \*Date Signed:

Completed on submission to Grants.gov

Official Signing for Applicant Organization Back

Select Person:  ✓ - select -

Salutation:

First Name:

Last Name:

Middle Name:

Suffix:

Address:

City:

Country:

State:

County:

ALIOTO, BETH

BITTO, CHRISTIAN

BOWMAN, CHRISTINE

BUSCHI, VINCENT

CAMILLERI, AMY

CAWLEY, JILLIAN

DENMAN, CHRISTOPHER

Ford, Evelyn

HOBBS, LEONA

Miller, Lauren

NEY, DONNA

PELOSO, ELIZABETH

Poerio, CAROLYN

SPEAKMAN, ROBERT

Swavely, Todd

WATSON, W.

To finish the form:

- Click the **[Save]** button, then check  the **Completed** box at the top of the form. If information is missing, a pop-up will tell you what is missing and highlight it in yellow on the form.

## Other Project Info

### Overview

Answer federal-required questions (human subjects, vertebrate animals, environment, etc.) and provide descriptive documents related to the overall project.

### Features

- Some questions on this screen are brought over from the **Setup Questions**. If you are unable to change an entry on a particular question on this page, return to the **Setup Questions** (uncheck  **Completed** on the **Setup Questions**) and correct the **Setup Questions** accordingly. Then recheck  **Completed**.
- Answer questions as needed.
- Add Attachments according to sponsor requirements.
- Click the **[Save]** button.
- Check  the **Completed** box at the top of the form and your information is saved.

### Best Practice Hints for Naming Your Documents on Your Computer

- Create separate folders on your computer for each proposal.
- Include the proposal number in the document name.
- Include a version number or date in the file name if there are multiple versions of the same document.
- Some sponsors do not allow special characters or spaces in the document name. Refer to sponsor guidelines for requirements.

Other Project Info

Completed

OMB Number: 4040-0001  
Expiration Date: 12/31/2022

Please make sure attachments adhere to Agency specific standards for margins, font, and font size.

1. Are Human Subjects Involved?  Yes  No (set on Setup Questions tab)

1.a. If YES to Human Subjects

Is the Project Exempt From federal regulations?  Yes  No

Human Subject Assurance Number: 00004028

Assurance numbers  
are pre-populated.

2. Are Vertebrate Animals Used?  Yes  No (set on Setup Questions tab)

3. Is proprietary/privileged information included in the application?  Yes  No

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment?  Yes  No

5. Is the research performance site designated, or eligible to be designated, as a historic place?  Yes  No

6. Does this project involve activities outside of the United States or partnerships with international collaborators?  Yes  No

7. Project Summary/Abstract

8. Project Narrative

9. Bibliography & References Cited

10. Facilities & Other Resources

11. Equipment

12. Other Attachments

## Performance Sites

### Overview

Performance Sites is an editable screen where you provide information about where the research is to be performed.

Sequence	Organization Name	Address	
1	The Trustees of the University of Pennsylvania	Address	School of Nursing
	DUNS Number 04-225-0712	City	418 Curie Blvd. Philadelphia
	Congressional District PA-003	State	Pennsylvania
		Non-US State/Province 4 Characters only	
		Province	
		Zip/Postal Code County	19104-4217 Philadelphia
		Country	U.S.A.
2	NEW YORK BLOOD CENTER	Address	310 East 67th
	DUNS Number 07-327-1827	City	New York
	Congressional District NY-014	State	New York
		Non-US State/Province 4 Characters only	
		Province	
		Zip/Postal Code County	10065-6275 New York
		Country	USA

### Features

- Change the first site to the primary associated department address.
  - Don't change the Organization Name, DUNS Number, or Congressional District.
- Change or add additional performance sites as needed.
  - Subcontract sites will be added automatically as you add subcontracts in the budget.
  - Return to this screen when the budget is completed to enter the subcontract addresses.
- All U.S. addresses must have valid 9-digit ZIP Codes.
  - #####-0000 is not a valid ZIP Code.
- Check  the **Completed** box at the top of the form and your information is saved.

# S2S Forms

## Overview

*Note: Not every project requires additional, sponsor-specific forms. When they are required, PennERA automatically adds an S2S link in the **Sidebar Menu**.*

<input checked="" type="checkbox"/> Setup Questions	PA-18-281	Completed <input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> SF424 (R&R)		
<input checked="" type="checkbox"/> <b>S2S Forms</b>		
<input checked="" type="checkbox"/> PHS 398 Cover Page		

Form	Version	Completed
PHS_AssignmentRequestForm_2_0	PHS_AssignmentRequestForm_2_0-V2.0	Yes <a href="#">View</a>

## Features

*Note: Some sponsors ask you to upload attachments (varies by sponsor), **Option 1**, and some use editable forms, **Option 2**. Follow the screens/instructions on the S2S Forms tab.*

### Option 1

- Click on the **Edit** link.
- Click on **[Add Attachment]**.
- Click on **[Choose File]**.
- Find and select the document on your computer (Word or PDF files) – Special characters/images should be converted to PDF before upload in order to maintain document’s integrity.
- Click the **[Upload]** button to upload the document and click the **PDF** icon.
- Click the **[Save]** button.
- Check  the **Completed** box at the top of the form.
- Click on **[Done]** to close the window.

### ATTACHMENTS FORM

**Instructions:** On this form, you will attach the various files that make up your grant application. Please consult with the appropriate Agency Guidelines for more information about each needed file. Please remember that any files you attach must be in the document format and named as specified in the Guidelines.  
**Important:** Please attach your files in the proper sequence. See the appropriate Agency Guidelines for details.

1) Please attach Attachment 1	ProjectNarrative.pdf	Delete Attachment		
2) Please attach Attachment 2	Support.pdf	Delete Attachment		
3) Please attach Attachment 3	TechAbs.pdf	Delete Attachment		
4) Please attach Attachment 4	LayAbs.pdf	Delete Attachment		
5) Please attach Attachment 5	SOW.pdf	Delete Attachment		
6) Please attach Attachment 6	Impact.pdf	Delete Attachment		
7) Please attach Attachment 7	Partnership.pdf	Delete Attachment		
8) Please attach Attachment 8	<b>Add Attachment</b>			
9) Please attach Attachment 9	Add Attachment			
10) Please attach Attachment 10	Add Attachment			

## Option 2

- Click on the **Edit** link. The sponsor's form opens in a new window.
- Complete all fields according to the sponsor's instructions.
  - Fields in yellow are required.
- Click the **[Save]** button.
- Check  the **Completed** box at the top of the form.
- Click on **[Done]** to close the window.

PHS Assignment Request Form-V2.0 Completed

PHS Assignment Request Form OMB Number: 0925-0001  
Expiration Date: 03/31/2020

Funding Opportunity Number:

Funding Opportunity Title:

**Awarding Component Assignment Request** *(optional)*

If you have a preference for an awarding component (e.g., NIH Institute/Center) assignment, use the link below to identify the appropriate short abbreviation and enter it below. All requests will be considered; however, assignment requests cannot always be honored.

Awarding Components: [https://grants.nih.gov/grants/phs\\_assignment\\_information.htm#Awarding Components](https://grants.nih.gov/grants/phs_assignment_information.htm#Awarding%20Components)

	First Choice	Second Choice	Third Choice
Assign to Awarding Component:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do Not Assign to Awarding Component:	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Study Section Assignment Request** *(optional)*

If you have a preference for study section assignment, use the link below to identify the appropriate study section (e.g., NIH Scientific Review Group or Special Emphasis Panel) and enter it below. Remove all hyphens, parentheses, and spaces. All requests will be considered; however, assignment requests cannot always be honored.

Study Sections: [https://grants.nih.gov/grants/phs\\_assignment\\_information.htm#Study Section](https://grants.nih.gov/grants/phs_assignment_information.htm#Study%20Section)

	First Choice	Second Choice	Third Choice
Assign to Study Section:	<input type="text"/>	<input type="text"/>	<input type="text"/>

# PHS 398 Cover Page Supplement

## Overview

This is the cover page for the proposal that includes information about the project and the University's Organizational information.

This is an NIH-specific form. Other sponsors may have specific forms, but these are usually included on the S2S Forms screen, rather than appearing as separately named screens.

- Select "PHS 398 Cover Page Supplement" from the **Sidebar Menu**.

PHS 398 Cover Page Supplement Completed

[View Burden Statement](#)

### 1. Vertebrate Animals Section

Are vertebrate animals euthanized?  Yes  No

If "Yes" to euthanasia  
Is method consistent with American Veterinary Medical Association (AVMA) guidelines?  Yes  No

If "No" to AVMA guidelines, describe method and provide scientific justification

### 2. \* Program Income Section

\*Is program income anticipated during the periods for which the grant support is requested?  Yes  No  
If you checked "yes" above (indicating that program income is anticipated), then use the format below to reflect the amount and source(s). Otherwise, leave this section blank.

Budget Period	Anticipated Amount	Source(s)
1 year	\$ <input type="text"/>	<input type="text"/>

### 3. Human Embryonic Stem Cells Section

\*Does the proposed project involve human embryonic stem cells?  Yes  No

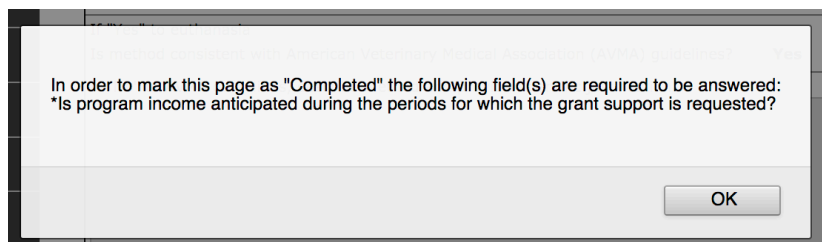
If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: <http://stemcells.nih.gov/research/registry/>. Or, if a specific stem cell line cannot be referenced at this time, check the box indicating that one from the registry will be used:

Specific stem cell line cannot be referenced at this time. One from the registry will be used.

Cell Line	Sequence Delet
-----------	----------------

## Features

- Add information or select the appropriate options.
- Click the **[Save]** button.
- Check  the **Completed** box at the top of the form.
  - PennERA will not permit the screen to be marked **Completed** if required information is missing.



## PHS 398 Research Plan

### Overview

This is the screen that requires you to upload the separate sections of the technical component of the research proposal.

- Select "PHS 398 Research Plan" from the **Sidebar Menu**.

**Note:** To allow investigators as much time as possible, proposals may be submitted for internal review with Draft Version selected. However, Grants.Gov requires the proposal to be submitted with Final Version. The Office of Research Services is unable to submit a **Draft Version** to Grants.Gov. It is the responsibility of the Principal Investigator to submit a **Final Version** proposal in accordance with Penn's internal submission deadlines to ensure the proposal is submitted in accordance with the sponsoring agency's posted submission deadline.

The application allows you to label the research plan as either **draft version** or **final version**. A research plan labeled as "draft" must be changed to "final" before it can be approved and submitted by ORS.

PHS 398 Research Plan

Completed

OMB Number: 4040-0001  
Expiration Date: 2/28/2023

---

**Introduction**

1. Introduction to Application  
(for Resubmission and Revision applications)

---

**Research Plan Section**

2. Specific Aims

3. \*Research Strategy

4. Progress Report Publication List

---

**Other Research Plan Section**

5. Vertebrate Animals

6. Select Agent Research

7. Multiple PD/PI Leadership Plan

8. Consortium/Arrangements  
Contractual

9. Letters of Support

10. Resource Sharing Plan(s)

11. Authentication of Key Biological and/or Chemical Resources

---

**Appendix**

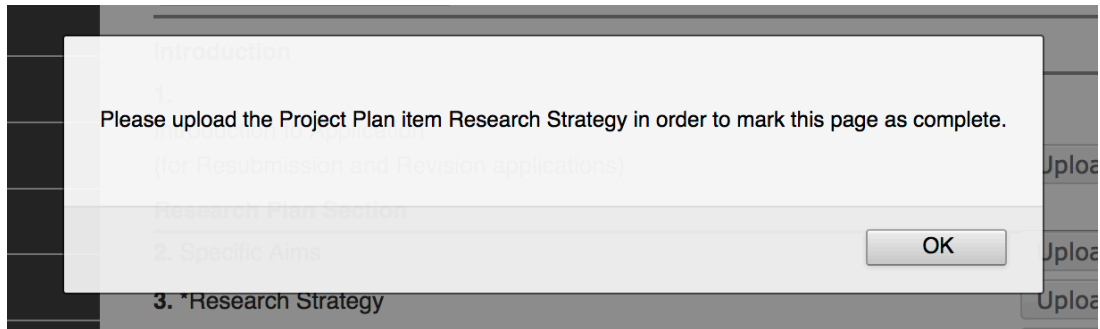
12. Appendix

### Features

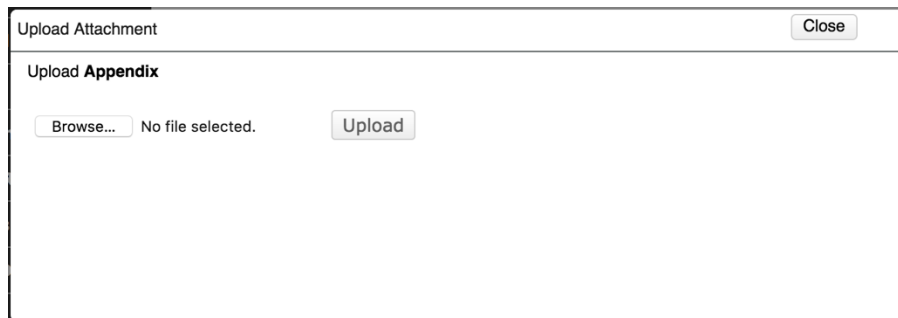
- The type and number of documents to be uploaded are partially dependent on answers on the Setup Questions screen, e.g., vertebrate animals, multiple PIs.
- Upload each form following the upload steps previously described.
- As you upload each section, the Proposal Development application converts the document to a PDF, shows the page count for the upload, and the total page count for the Proposal.
- **Follow the sponsor's guidelines to ensure that basic required sections are uploaded.**
- Do not upload documents stating "Not applicable" unless specifically instructed to do so by the sponsor.
- Click the **Save** icon.



- Check  the **Completed** box at the top of the form.
- Validations will block marking the screen **Completed** if required documents are missing.



- Use the link at the bottom of the screen, [Add New Document](#), to add documents for which there is no specific location.
  - Follow the sponsor's instructions closely to avoid uploading unallowable documents.



## Overview of Personnel and Budget *[with direct links to specific topics]*

Organization of information, including links to specific topics:

- Overview of screens and basic data entry steps.

An introduction to both [Personnel](#) and [Budget](#) provides:

- High-level review and screen shots
- Data entry steps and screen shots

[Personnel Screen Basic Data Entry](#)  
[Personnel Screen Data Display](#)  
[Personnel Contact Information Screen](#)  
[Personnel Upload Documents](#)  
[Add Personnel Data Entry Steps](#)

[Budget Screens](#) [description of all]  
[Budget Screen Display](#)  
[Budget Screen Basic Data Entry](#)  
[F&A Screen Basic Data Entry](#)  
[Cost Sharing Screen Basic Data Entry](#)  
[Justifications Upload Screen](#)  
[Versions Screen Basic Data Entry](#)  
[Setup Screen Basic Data Entry](#)

- Detailed step-by-step instructions, grouped by topic, are provided for specific actions needed to add Personnel information and Budget expense data.
  - [Add Existing Penn Personnel as Key or Non-Key Personnel](#) on Personnel screen
  - [Add Existing Penn Personnel as Other Significant Contributor](#) on Personnel screen
  - [Add Existing Penn Personnel Without Effort](#)
  - [Add TBD Penn Personnel](#) on Personnel Screen
  - [Add External Consultants](#) (Key, Non-Key, Other Significant Contributor) on Personnel screen  
*[use for personnel not associated with a SubAward]*
  - [Add Penn Personnel Salary Details](#) in Budget
  - [Edit Penn Personnel Expenses](#)
  - [Add Non-Personnel Expense](#)
  - [Edit Non-Personnel Expense](#)
  - [Enter F&A](#)
  - [Enter Cost-Sharing](#)
  - [Create SubAward](#)
  - [Add SubAward Expense](#)  
*[use if not importing from Adobe budget forms]*
  - [Import SubAward Expense](#)
  - [Export Budget to Adobe Forms](#)
  - [Edit Budget Periods and Dates](#)
  - [Create Budget Versions](#)
  - [Evaluate Budget for Sponsor Budget Limits](#)
  - [Simplified Budget Data Entry](#)  
*[use for generic records or NIH modular budgets]*
  - [Summary Budget Data Entry](#)  
*[use for S2S submissions not requiring a detail budget]*

# Personnel

## Overview

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 SubAward may also be added in the Budget section.*

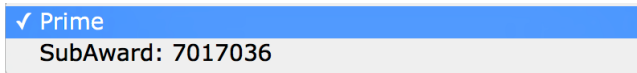
## Features

- Add additional Proposal Structure elements (SubAwards).
- Add Personnel.
- Complete **Administrative Contact** information.
- Check **Completed** when all entry is finished.

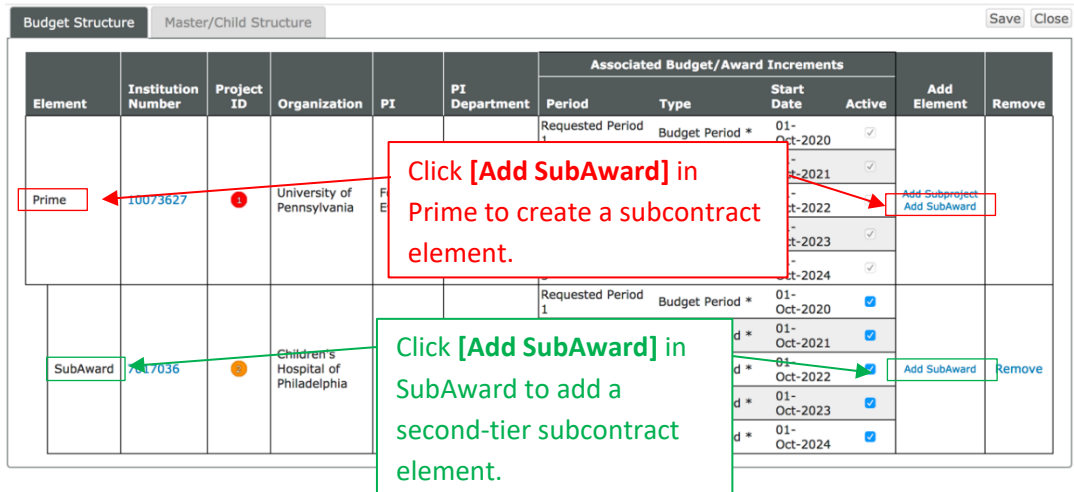
## Personnel Basic Data Entry

### 1. 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.



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

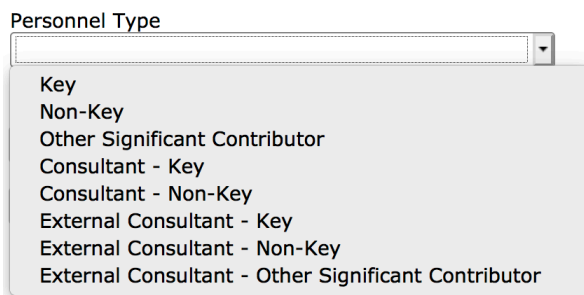


Element	Institution Number	Project ID	Organization	PI	PI Department	Associated Budget/Award Increments				Add Element	Remove
						Requested Period	Budget Period *	Start Date	Active		
Prime	10073627		University of Pennsylvania	F	E	01-Oct-2020			✓		
						01-Oct-2021			✓		
						01-Oct-2022			✓		
			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

**Important Note:** Always contact [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu) if a SubAward entity is not available for selection. Do **NOT** select a "placeholder" entity.

2. *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.*



3. *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.

4. *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](mailto:PennERAhelp@lists.upenn.edu) if existing staff are not available for selection.

5. *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 Data Display

Senior/Key									
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 Oncology	0%	📄	📄	🔗	
:	1 Soraya Abbasi Other Significant Contributor	✉		Children's Hospital of Philadelphia Neonatology	0%	📄	📄	🔗	
:	1 DONNA M NEY Consultant	✉		University of Pennsylvania 8760 - Research Services	0%	📄	📄	🔗	
:	1 ELIZABETH D PELOSO Co-Investigator	✉		University of Pennsylvania 8760 - Research Services	0%	📄	📄	🔗	
:	1 Todd S Swavelly Co-PD/PI	✉		University of Pennsylvania 8760 - Research Services	0%	📄	📄	🔗	
:	1 Statistician TBD Statistician	✉	⚠	Children's Hospital of Philadelphia Neurologic Disorders and Translational Neurotherapeutics	0%	📄	📄	🔗	
Non-Key									
PI	NAME/ROLE	MAIL	ALERT	ORGANIZATION / DEPARTMENT	% EFFORT	CV/BIOSKETCH	CURRENT/PENDING SUPPORT	REMOVE	
:	1 CHRISTIAN BITTO 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:

Resp BA phone:

Resp BA email:

The screenshot shows a table of personnel with columns: PI, NAME/ROLE, MAIL, ALERT, ORGANIZATION / DEPARTMENT, % EFFORT, CV/BIOSKETCH, CURRENT/PENDING SUPPORT, and REMOVE. A legend at the bottom left identifies Prime (red circle with '1') and SubAward (yellow circle with '2') icons. A form at the bottom right is for contact information, with fields for Responsible Business Administrator, Resp BA phone, and Resp BA email.

Callouts in the image include:

- Warning flag for missing required data. Click to view missing items. Click on [Name] to view/edit details.
- Click and hold to re-order personnel using drag-and-drop.
- Click to upload documents.
- Legend provides proposal structure identifiers for all personnel, either Prime or SubAward.
- Enter contact BA information.


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

## Features

### Order Column

- Use drag-and-drop feature to order personnel listings.

### Name/Role Column

- Click individual names (an active link) to view Contact information screen (see below).
- **Always** update detail from within the PennERA Profile.
- Personnel are identified by a proposal structure icon , either as Prime (Penn) or SubAward.

### Mail Column

- Click  to notify an individual of needed Profile changes.

### Alert Column

- An alert is displayed if required data is missing from the Profile.

### Organization/Department Column

- Institution and Department affiliations contained in the Profile.

### % Effort

- Autopopulated from the Budget section.

### CV/Biosketch and Current/Pending Support columns

- Upload locations (see below for more information).

### Remove Column

- Use the  icon to remove person from the proposal.

## Personnel Contact Information

**Overview** – Contact information for Penn personnel should be edited in their PennERA Profiles.

Contact Information for - ANDREW STEENHOFF Save Close

Salutation  First  Middle  Last  Suffix

Title

Address

Degree  Degree Year

City  State  Zip

Country  Country

Phone  Fax  Email

Sponsor Credential

Proposal Element  Department  Personnel Type  Role  Budget Roles

## Features

Name, Title, Address, and Contact information:

- Edit this data in PennERA Profiles for Penn personnel.
- Data for non-Penn personnel may be edited in this screen.
- 9-digit Zip Codes are required.
- Department is required information.

Application-specific information:

- Proposal Element is assigned when name is added to the PD record.
- Personnel Type and Role are selected when the person is added to the record but may be edited here.

## Personnel Upload Documents

**Overview** – All Key Personnel require a CV (Biosketch) to be added to the proposal. Key Personnel are listed as PI first then in alpha order but the information can be “ordered” as you prefer. Current and Pending Support information may also be added to the proposal. In NSF proposals, Collaborators and Other Affiliations (COA) may be required.

*Note: Biosketches and other documents should not be uploaded for Non-Key Personnel. The Senior/Key Person form is created on the Personnel screen, and that form contains the uploads found on this screen. Non-Key Personnel are not listed in that form. Some federal sponsors may have other forms included in the submission package to which CVs/Biosketches may be attached.*

Senior/Key	PI	NAME/ROLE	MAIL	ALERT	ORGANIZATION / DEPARTMENT	% EFFORT	CV/BIOSKETCH	CURRENT/PENDING SUPPORT	REMOVE
		Evelyn J Ford PD/PI *			University of Pennsylvania 8760 - Research Services	0.6%			
		Soraya Abbasi PD/PI			Children's Hospital of Philadelphia Occupational Therapy	10%			
		ANDREW STEENHOFF Co-Investigator			Children's Hospital of Philadelphia Pediatric/Neurology	20%			

Click to initiate upload.

CV/Biosketch Column

Curr/Pend Support Column

- Click the **Get** icon.
- Click [**Choose File**] to locate the document.

Attachment Close

Attachment:  No file chosen

- Click [**Upload**].
- Click [**Delete Attachment**] to delete an uploaded CV.

**Note:** Follow the sponsor's instructions about which documents are required in any particular application. Do not upload documents that are not requested even if it is possible to do so in the record.

## Add Personnel – Data Entry Steps

### ► Add Existing Penn Personnel as Key or Non-Key Personnel

- Key and Non-Key Personnel must have measurable effort.
- Key and Non-Key Personnel may also be added to the Budget section.
- These personnel are listed in Section A (Key) or B (Non-Key) of an R&R Detail Budget form in an S2S submission.

#### Data Entry Steps

1. On the Personnel screen, confirm the Proposal Structure element = Prime.
2. Select "Personnel Type" from the list (Key or Non-Key).
3. Begin typing the person's name in the **Name** field. 
  - This is a predictive search; use last or first name to begin.
  - If an existing staff member is not in the list, contact [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu). **Do not** enter "placeholder" names or create new profiles.
4. Select a name from the search results.
5. Select a Role.
  - If using "Other (specify)" or "Other Professional", provide descriptive text in the available field.
6. Click  immediately below , **not** the Save option in the upper left corner.
7. Click the person's name to view Contact information.
  - If updates are needed, update the information in the PennERA Profile, not in the PD record.
  - Updating the Penn Profile ensures that all future records will contain the information and not have to be entered again in a new proposal record.

### ► Add Existing Penn Personnel as Other Significant Contributor (OSC)

- Other Significant Contributors (OSC) are Key Personnel without measurable effort.
- OSCs are listed on the Senior/Key Person form in S2S applications.
- OSCs are not listed in the R&R Budget forms in an S2S record.
- OSCs should not appear in the Budget section of any record.

#### Data Entry Steps

1. On the Personnel screen, confirm Proposal Structure element = Prime.
2. Select "Personnel Type = Other Significant Contributor".
3. Begin typing the person's name in the **Name** field. 
  - This is a predictive search; use last or first name to begin.
  - If an existing staff member is not in the list, contact [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu). **Do not** enter "placeholder" names or create new profiles for existing staff.
4. Select a name from search results.
5. Click  immediately below , **not** the Save option in the upper left corner.
6. Click the person's name to view Contact information.
  - If updates are needed, please update the information in the PennERA Profile, not in the PD record.

- Updating the PennERA Profile ensures that all future records will contain the information and not have to be entered again in a new proposal record.

### ► Add Existing Penn Personnel Without Effort

- Use these steps to add personnel who have no effort but do not use the Role of Other Significant Contributor.
  - The Roles of "Mentor" and "Sponsor" are examples of specific role descriptions that may be required by the sponsor but have no measurable effort.
- These personnel will not be listed in Section A (Key) or B (Non-Key) of an R&R Detail Budget form in an S2S submission and should not appear in the Budget section of the record.
- If identified as Key Personnel, the person will be listed on the Senior/Key Person form in S2S applications so that a biosketch may be uploaded.

#### *Data Entry Steps*

1. On the Personnel screen, confirm the Proposal Structure element = Prime.
2. Select Personnel Type from list ("Consultant-Key" or "Consultant-Non-Key").
3. Begin typing the person's name in the **Name** field. 
  - This is a predictive search; use last or first name to begin.
  - If an existing staff member is not in the list, contact [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu). **Do not** enter "placeholder" names or create new profiles.
4. Select a name from the search results.
5. Select a Role.
  - If using "Other (specify)" or "Other Professional", provide descriptive text in the available field.
6. Click  immediately below , **not** the Save option in the upper left corner.
7. Click the person's name to view Contact information.
  - If updates are needed, update the information in the PennERA Profile, not in the PD record.
  - Updating the Penn Profile ensures that all future records will contain the information and not have to be entered again in a new proposal record.

### ► Add TBD Penn Personnel

- TBDs are personnel who will be hired if the project is funded.
- These steps may also be used to identify specific personnel **who are not currently** Penn staff but who will be hired if the project is funded. Actual names may be used in the **First** and **Last Name** fields.

#### *Data Entry Steps*

1. On the Personnel screen, confirm the Proposal Structure element = Prime.
2. Select "Personnel Type = Non-Key".
  - TBD personnel cannot be Key Personnel Types (e.g., Key, Other Significant Contributor).
3. Click .
4. In New Profile pop-up window:
  - Leave Temporary Profile selected.
  - Enter First Name.
    - Use brief description to differentiate from other TBDs (e.g., "Statistician").
  - Enter "TBD" for Last Name.
  - Click **[Set]** next to Department. 
    - Begin typing an ORG # or text name of an ORG. This is a predictive search, so any portion of an ORG # or name may be used to locate an ORG.



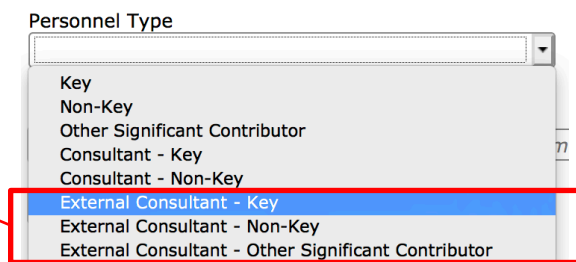
- Select an ORG from the list.
  - Click .
  - When "Department found and selected. You may need to scroll down" appears, click **[Select]** in the upper right corner. It's unnecessary to scroll down to view selection.
  - When screen refreshes, confirm that the correct ORG has been selected.
  - Click  in the upper right corner; let the window close and the screen refresh.
5. Select a Role.
    - If using "Other (specify)" or "Other Professional", provide descriptive text in the available field.
  6. Click the  button immediately below , **not** the Save option in the upper left corner.

► **Add External Consultants (Key, Non-Key, Other Significant Contributor)**

- External Consultants listed as part of the Prime (Penn) personnel and budget are not associated with a SubAward.
- External Consultant Personnel Type automatically has 0% effort.
- Only External Consultant - Key and External Consultant - Other Significant Contributor will be included on the Senior/Key Person form in S2S applications.
- Only personnel identified as Key (includes Other Significant Contributors) should have biosketches attached in an S2S record. Federal agencies do not retrieve any biosketches attached for Non-Key Personnel.
- External Consultants are not identified as Penn Personnel in the R&R Budget component.
- Any expense associated with External Consultants is categorized as Consultant Services in the Non-Personnel section of the budget.

**Data Entry Steps**

1. On the Personnel screen, confirm the Proposal Structure element = Prime.
2. Select "Personnel Type" from the list.
3. Locate SubAward/External Institution name.
  - This is a predictive search; use any portion of the name to begin .
  - If an entity is not available, stop and write to [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu).
    - Provide the entity's name, address including 9-digit Zip Code, and DUNS #.
    - **Do not use** a "placeholder" Institution name.
4. Begin typing the person's name in **Name** field .
  - This is a predictive search; use any portion of the name to locate.
  - If the name is found, select it, then go to Step 6.
  - If the name is not found, go to Step 5.
5. If the name is not found, click .
  - In the New Profile window, enter as much information as is known.
  - **Minimum** information required is First Name, Last Name, and valid Department name.
    - For TBDs, use simple role description for First Name and "TBD" for Last Name.
    - "N/A", "None", and Penn department ORG #s are not valid Department names for external personnel.
    - Use the entity name if there is no associated Department name.
    - **The minimum information cannot be edited later**; all other contact information is editable.



- Click  in the upper right corner; let the window close and the screen refresh.
- 6. Select a Role.
  - If using "Other (specify)" or "Other Professional", provide descriptive text in the available field.
  - If "External Consultant - Other Significant Contributor" was selected as the Personnel Type, Other Significant Contributor is automatically the Role.
- 7. Click the  button immediately below  button, *not* the Save option in the upper left corner.

► **Add SubAward Personnel**

- All SubAward Personnel may be added from this screen if not using the SubAward Adobe Forms import function.

***Data Entry Steps***

1. On the Personnel screen, confirm the Proposal Structure element = one of the SubAward elements.
2. Follow the steps above to add each Personnel Type.

# Budget

## Overview

The Budget section has individual screens that comprise all data entry related to the budget.

Click [**Budget**] on the Navigation menu on the left to open the Budget section. It will open in a new window. There are three general “types” of budgets:

### Budget Screens Detailed Budget

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

### Budget Screens Modular Budget

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

### Budget Screens Summary Budget

▶ ✓ Setup Questions
✓ SF424 (R&R)
S2S Forms
✓ PHS 398 Cover Page Supplement
✓ Other Project Info
Personnel
<i>Budget</i>
✓ Performance Sites
✓ Approvals

## Features

- Each screen in the Budget section can be accessed and edited in any order.
- Flexible budget entry allows either automatic population of future years or manual entry of budget data.
- Some sections collapse or expand to hide/show data more conveniently.
- **Budget, F&A, Cost Sharing, and Modular Budget** – These screens are used for all expense data entry.
- **Versions** – Multiple versions of the budget can be created for comparison purposes and exported to Excel spreadsheets.
- **Justifications** – Upload narrative explanation of the budget when required by sponsor.
- **Setup** – Use to add or delete budget periods, change project/budget dates, and change the PI.

## **Budget Screens**

The Budget section consists of several screens.

- Budget opens in a separate window; all other screens in the record 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 [primary screen]**

- 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 accessing SubAward (subcontract) expense.
- 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**

- Miscellaneous settings may 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.

View budget elements (Prime/Penn and SubAwards).

Only S2S records.

Lock budget.

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

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

Year/Period	Cost Sharing [show]		Project [hide]		
	Total	Directs	F&A	Total	
1	-	61,741.50	13,506.91	75,248.41	
2	-	77,789.83	13,493.64	91,283.47	
3	-	79,381.84	13,716.15	93,097.99	
4	-	81,018.76	13,943.55	94,962.31	
5	-	82,701.89	14,175.96	96,877.85	
	<b>\$ 451,470.03</b>	<b>\$ 0.00</b>	<b>\$ 382,633.82</b>	<b>\$ 68,836.21</b>	<b>\$ 451,470.03</b>

Personnel [Show]

Non-Personnel [Show]

SubAward [Show]

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

\*\*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.

Project

Sponsor

Institution

Unallowable

### 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.

Element	Institution Number	Project ID	Organization	PI	PI Department	Associated Budget/Award Increments				Add Element	Remove
						Requested Period	Budget Period *	Start Date	Active		
Prime	10073627		University of Pennsylvania			01- Oct-2020			✓		
						01- Oct-2021			✓		
						01- Oct-2022			✓		
						01- Oct-2023			✓		
						01- Oct-2024			✓		
SubAward	7036		Children's Hospital of Philadelphia			01- Oct-2020			✓		
						01- Oct-2021			✓		
						01- Oct-2022			✓		
						01- Oct-2023			✓		
						01- Oct-2024			✓		

### 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 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 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

Edit Mode

### 6. Complete Budget

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

Complete Budget

## Budget Basic Data Entry

Personnel **[Hide]**

	NAME	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Key Personnel							
<b>Detail</b>	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							
<b>Detail</b>	BITTO, CHRISTIAN Co-Investigator	26,102.79	26,102.79	26,102.79	26,102.79	26,102.79	130,513.95 <span>Remove</span>
<b>Subtotal Personnel:</b>		<b>\$ 28,713.07</b>	<b>\$ 28,713.07</b>	<b>\$ 28,713.07</b>	<b>\$ 28,713.07</b>	<b>\$ 28,713.07</b>	<b>\$ 143,565.35</b>

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
<b>Detail</b>	Equipment (Purchased)	-	\$ 15,000.00	-	-	-	\$ 15,000.00 <span>Delete</span>

- 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
<b>Detail</b>	Equipment (Purchased)	-	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 15,000.00	\$ 60,000.00 <span>Delete</span>

- 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.

### 5. SubAwards

SubAwards [Hide]

	INST/CONTRACTOR NAME	SUBAWARD NUMBER	PI	SHORT FORM	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS	
<a href="#">Detail</a>	Boston College	7017036	Castro Samayoa, Andres							\$ 0.00	<a href="#">Delete</a>
<b>Subtotal SubAwards:</b>					<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	

- SubAwards created 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.



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

**Source View:**  
Sponsor

Proposal Structure

Import/Export

Periods [hide]			Sponsor [show]	Cost Sharing [show]		Project [hide]		
Year/Period	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	SubAward PI	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Detail Castro Samayoa, Andres	SubAward PI	-	-	-	-	-	\$ 0.00
<b>Subtotal Personnel:</b>		<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

Add New Profile  -- 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  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”, Penn ORG #s are **NOT** valid Department Names.
  - Select an appropriate budget Category, if necessary – not always needed.
  - Click .
- 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 (First Person in the list below will replace subaward PI selected during subaward setup)	Department (optional)
THOMAS, STEVEN A <input type="button" value="Add New"/>	Educational Leadership & Higher Education <input type="text"/>
BETLEY, JOHN N <input type="button" value="Add New"/>	Educational Leadership & Higher Education <input type="text"/>
LEE, VIRGINIA M <input type="button" value="Add New"/>	Educational Leadership & Higher Education <input type="text"/>
Research Associate <input type="button" value="Add New"/>	Educational Leadership & Higher Education <input type="text"/>
Research Specialist <input type="button" value="Add New"/>	Educational Leadership & Higher Education <input type="text"/>

Period 1	
Direct Cost:	Sponsor Budget Category
Other Costs:	Other Costs <input type="text"/>

Period 2	
Direct Cost:	Sponsor Budget Category

# F&A Basic Data Entry

**F&A** Source View: Sponsor

Prevailing  Blended

**Calculation rate method**      **Institution Base/Target Scheme**      \$96,686.10  
 \$96,686.10

Base Show      **Rate**      **Effective**      Drift ▼  
Research      Research (on campus)      62.500      \$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      **Rate**      **Rate**      **Effective**     

Research      Manual Entry      8.000      8.000

- Generic records using non-federal sponsors require manual data entry. Review [How do I... Manually Adjust F&A?](#) for detailed examples.

- Click **[Manual F&A]** to begin manual data entry.

Base Show      **Rate**      **Effective**            Manual F&A

Research      Research (on campus)      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
<b>Begud, John - 10073627</b>						
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
<b>Directs &amp; F&amp;A Total</b>	<b>\$ 243,187.50</b>	<b>\$ 243,750.00</b>	<b>\$ 243,750.00</b>	<b>\$ 243,750.00</b>	<b>\$ 243,750.00</b>	<b>\$ 1,218,187.50</b>

	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	<b>\$ 750,000.00</b>
F&A Base Totals**	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	\$ 150,000.00	<b>\$ 750,000.00</b>
F&A Totals	\$ 93,187.50	\$ 93,750.00	\$ 93,750.00	\$ 93,750.00	\$ 93,750.00	<b>\$ 468,187.50</b>
<b>Grand Totals</b>	<b>\$ 243,187.50</b>	<b>\$ 243,750.00</b>	<b>\$ 243,750.00</b>	<b>\$ 243,750.00</b>	<b>\$ 243,750.00</b>	<b>\$ 1,218,187.50</b>

**\*\*Not included in Grand Totals**

**F&A Breakdown**

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

# Cost Sharing Data Entry

## Non-Personnel Costs

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
<b>Other Costs</b>						
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
<b>Subtotal Non-Personnel:</b>	<b>\$ 150,000.00</b>	<b>\$ 150,000.00</b>	<b>\$ 150,000.00</b>	<b>\$ 150,000.00</b>	<b>\$ 150,000.00</b>	<b>\$ 750,000.00</b>

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

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
<b>COST SHARING BY BREAKDOWN</b>					
<b>SPONSOR [Hide]</b>					
Percent	<input type="text" value="100.000"/>	<input type="text" value="100.000"/>	<input type="text" value="100.000"/>	<input type="text" value="100.000"/>	<input type="text" value="100.000"/>
Cost	<input type="text" value="150,000.00"/>	<input type="text" value="150,000.00"/>	<input type="text" value="150,000.00"/>	<input type="text" value="150,000.00"/>	<input type="text" value="150,000.00"/>
Type	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Category	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>INSTITUTION [Hide]</b>					
Percent	<input type="text" value="0.000"/>	<input type="text" value="0.000"/>	<input type="text" value="0.000"/>	<input type="text" value="0.000"/>	<input type="text" value="0.000"/>
Cost	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>
Type	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Category	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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.

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
<b>COST SHARING BY BREAKDOWN</b>					
<b>SPONSOR [Hide]</b>					
Percent	<input type="text" value="90.000"/>	<input type="text" value="90"/>	<input type="text" value="90.000"/>	<input type="text" value="90.000"/>	<input type="text" value="90.000"/>
Cost	<input type="text" value="135,000.00"/>	<input type="text" value="135,000.00"/>	<input type="text" value="135,000.00"/>	<input type="text" value="135,000.00"/>	<input type="text" value="135,000.00"/>
Type	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Category	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>INSTITUTION [Hide]</b>					
Percent	<input type="text" value="10.000"/>	<input type="text" value="10.000"/>	<input type="text" value="10.000"/>	<input type="text" value="10.000"/>	<input type="text" value="10.000"/>
Cost	<input type="text" value="15,000.00"/>	<input type="text" value="15,000.00"/>	<input type="text" value="15,000.00"/>	<input type="text" value="15,000.00"/>	<input type="text" value="15,000.00"/>
Type	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Category	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## Justifications Upload

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

- Budget +
- F&A
- Cost Sharing
- Justifications**
- Versions
- Setup

### Justifications

- Upload Form
- Use Database

### Original PDF Remove



### UPLOAD "BUDGET JUSTIFICATION" DOCUMENTATION

No file selected.

## Versions

Multiple versions may be created of the budget. See [How do I... create different versions of the budget?](#)

## Setup

- 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%.

Setup allows users to update various components of the budget setup. Click on a "tab" to access these functions:

### 1. General > Decimal Precision

- Choose a decimal precision level.
- System default is 2.xx decimal precision.

<b>Decimal Precision</b>	<input checked="" type="radio"/> 0 <input type="radio"/> 2 (.xx) <input type="radio"/> 3 (.xx)
<b>Alternate Currency</b>	

**Note:** Data will lose its accuracy permanently when this setting is changed from 2.xx to 0 and can only be restored by re-entering the decimal values.

GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECHANISM OPT IN/OUT
<b>Use Scheme dates or Project Anniversary for inflation dates?</b> <input type="radio"/> Scheme <input checked="" type="radio"/> Anniversary				
<input type="checkbox"/> <b>Display Quantity and Unit Columns in Budget Detail</b>				
<b>Default Person Months/Percent Effort Picklist on the Personnel Tab</b> % Effort				
<b>Default Person Months/Percent Effort Picklist on the Budget Tab</b> % Effort				
<b>Decimal Precision</b> 2 (.xx)				

### 2. Period/Dates > Adjust project/budget period dates

- Use **Shift Project Dates** to edit the Start and End Dates for Project Period.
- Budget Start and Dates will be automatically adjusted.

GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECH
<b>Project Period</b>				
<b>START</b>		<b>END</b>		
01-Oct-2021		30-Sep-2024		
<b>Shift Project Dates</b>				
	<i>New</i>	<i>Old</i>		
<b>Project Start</b>	<input type="text"/>	01-Oct-2021		
		30-Sep-2024		
<b>-Or-</b>				
<b>Shift by</b>	<input type="text"/>	days		

- Use the **Budget Period** fields to set Start and End Dates for individual Budget Periods or to Add or Delete Periods.

Budget Period		
BUDGET PERIOD	START	END
1	01-Oct-2021	30-Sep-2022
2	01-Oct-2022	30-Sep-2023
3	01-Oct-2023	30-Sep-2024

### 3. Change PI

- Change the PI to someone already listed in Personnel or select another name from the existing personnel list.

GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECHANISM OPT IN/OUT
<b>Change the PI</b> Replace PI and Leave the Current PI on the Proposal				
<b>Name (Last, First)</b> <input type="text" value="Begin typing to select Personnel Name..."/> <input type="button" value="Add New PI"/>				
-Or-				
<b>Switch PI To....</b>				<input type="button" value="Select"/>
NAME	DEPARTMENT	NEW PI		
Ford, Evelyn J	8760 - Research Services	<input checked="" type="checkbox"/>		
BITTO, CHRISTIAN	8760 - Research Services	<input type="checkbox"/>		

### 4. Mechanism Opt In/Out

- Some sponsors may have specific validations that implemented within the PD record. Occasionally it is necessary to opt out of one or more when it does not apply to that particular application.
- Opt out of a specific validation by checking the related box.

**Note:** Removing validations from the PennERA record does not electronic eliminate validations at the time of submission. Pay attention to any warning or error messages received and check the record.

See [How do I... evaluate for sponsor budget limits?](#)

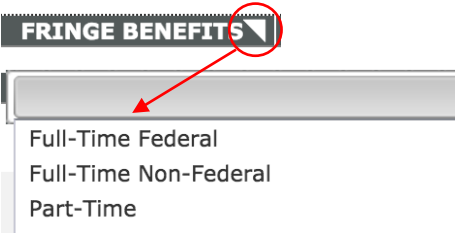
GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECHANISM OPT IN/OUT
<b>Currently Active Program Validations</b>				<input type="button" value="Opt Out"/> <input type="button" value="Refresh Values"/>
OPT OUT	MECHANISM VALIDATION			
<input type="checkbox"/>	A non-zero value for calendar months, academic 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.			

## Budget Detail Data Entry Steps

### ► Add Penn Personnel Salary Details

- Key and Non-Key Personnel are added on the Personnel screen but may also be added on the Budget screen.
- Key and Non-Key Personnel must have measurable effort.
- All other Personnel Types (e.g., Other Significant Contributor, External Personnel) must be entered from the Personnel screen.

### Data Entry Steps

1. Open the Budget section, which will open on the main Budget screen, then click the  button associated with each person listed.
2. For Key Personnel:
  - Enter Base Salary and Effort in Period 1.
  - Add annual escalation percent in Period 2.
  - Choose a Fringe Benefit option. 
    - Click the **Triangle** icon to the right of the Fringe Benefits heading.
    - Select a benefit type from the list.
      - Let the screen refresh.
      - PD will automatically calculate the requested amount.
3. For Non-Key Personnel:
  - Enter Number of Personnel, Effort, and Salary (requested) in Period 1.
  - Enter Escalation percent in Period 2.
  - Choose a Fringe Benefit option (see screen shot above).
  - Let the screen refresh.
  - PD will automatically calculate the requested amount.
4. Click .

### Key Personnel Detail Screen

Detail		Appointments	Justifications	Cost Sharing	Effort Periods	Committed Effort	<input type="button" value="Save and Close"/>	<input type="button" value="Save"/>	<input type="button" value="Close"/>
<b>Costs by Budget Period</b>									
PERIOD	ROLE		BASE SALARY	EFFORT	SALARY	FRINGE BENEFITS	TOTAL		
1	Co-Investigator		<input type="text" value="0.00"/>	<input type="text" value="0.000"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="\$ 0.00"/>		<input type="button" value="Remove"/>
2	Co-Investigator	<input type="text" value="0.00"/> %	<input type="text" value="0.00"/>	<input type="text" value="0.000"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>		<input type="button" value="Remove"/>
3	Co-Investigator	<input type="text" value="0.00"/> %	<input type="text" value="0.00"/>	<input type="text" value="0.000"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>		<input type="button" value="Remove"/>
4	Co-Investigator	<input type="text" value="0.00"/> %	<input type="text" value="0.00"/>	<input type="text" value="0.000"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>		<input type="button" value="Remove"/>
5	Co-Investigator	<input type="text" value="0.00"/> %	<input type="text" value="0.00"/>	<input type="text" value="0.000"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>		<input type="button" value="Remove"/>
<b>Total</b>					<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>		

## Non-Key Personnel Detail Screen

Costs by Budget Period

PERIOD	ROLE	NUMBER OF PERSONNEL	EFFORT	SALARY	FRINGE BENEFITS	TOTAL
1	Graduate Student	1	0.000	0.00	0.00	\$ 0.00
2	Graduate Student	<input type="text"/> %	1	0.000	0.00	0.00
3	Graduate Student	<input type="text"/> %	1	0.000	0.00	0.00
4	Graduate Student	<input type="text"/> %	1	0.000	0.00	0.00
5	Graduate Student	<input type="text"/> %	1	0.000	0.00	0.00
<b>Total</b>				<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

### ► Edit Penn Personnel Expenses

#### Data Entry Steps

1. Click the  button for the person to be edited.
2. Enter revised values.
  - For Key Personnel, enter revised Base Salary and/or Effort in each Period; (requested) Salary will automatically re-calculate in each Period.
  - For Non-Key Personnel, enter revised Number of Personnel, Effort, and/or (requested) Salary in each Period.
3. Re-select Fringe Benefit type after above changes have been entered.
  - Let screen refresh to update benefits calculation.
4. Re-enter escalation value in each Budget Period if it has changed.
5. Click .

### ► Add Non-Personnel Expense

- In S2S records, the selected Budget Category is used to calculate F&A. Be sure to select the appropriate categories.
- In an S2S record, only three Budget Categories may be selected that have an asterisk at the end (e.g., "Other Costs\*"). The R&R Detail Budget form does not permit more than three of these categories to be used.

#### Data Entry Steps

1. Open the Budget section, which will open the main Budget data entry screen.
2. To enter Non-Personnel expense items one line at a time, go to Step 3 below; to enter several items at once, see Step 6 for Bulk Entry steps.
3. Enter one item:
  - Start typing in *Select Budget Category* or select the down arrow to view the Budget Category list, select a category, then click **[Add Item]**.
  - 
  - In the Detail screen (see screen shot below), leave Annual Inflation set to *Manual Entry* or see Step 4 for alternate entry method.
  - Provide descriptive text in the **Description** field.
  - Enter Period 1 Total expense requested; PD will automatically populate future periods with the same value.
  - Edit as needed to remove future years' requests and/or enter an inflation value in Period 2 to automatically calculate future periods.
  - Click .

Detail Justifications Cost Sharing Show Calculations Save and Close Save Close

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

PERIOD	START DATE	END DATE		TOTAL	
1	01-Oct-2020	30-Sep-2021		0.00	Remove
2	01-Oct-2021	30-Sep-2022	<input type="checkbox"/> %	0.00	Remove
3	01-Oct-2022	30-Sep-2023	<input type="checkbox"/> %	0.00	Remove
4	01-Oct-2023	30-Sep-2024	<input type="checkbox"/> %	0.00	Remove
5	01-Oct-2024	30-Sep-2025	<input type="checkbox"/> %	0.00	Remove
<b>Total</b>				<b>\$ 0.00</b>	

4. Instead of *Manual Entry*, choose an **Annual Inflation** option.

- o Enter Period 1 value.
- o Future periods will automatically populate.
- o Click Save and Close.

**Annual Inflation** *Manual Entry*

PERIOD	START DATE	END DATE		TOTAL	
1	01-Oct-2020	30-Sep-2021		0.00	Remove
2	01-Oct-2021	30-Sep-2022	<input type="checkbox"/> %	0.00	Remove

5. If more than one expense line is entered using the same Budget Category, PD groups them into one line on the Budget screen.

- o Click the associated Detail button to access each expense line to edit or remove.

Detail Supplies (2)

6. Use Bulk Entry:

- o Click Add Bulk Entry located at the extreme right of the Non-Personnel heading.
- o For each expense item:
  - Select Budget Category.
  - Enter text in the **Description** field.
  - Choose *Manual Entry* or Inflation rate.
  - Enter initial amount in Period 1.
  - If using Manual Entry, enter an inflation value, if desired, in Period 2.
- o If more rows are needed, click **[Add New Row]** at the bottom right of the screen.
- o Once all items have been entered, click Add in the upper right corner.



**Non-Personnel Costs**

**Bulk Entry** Add Close

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

---

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

Add New Row

► **Edit Non-Personnel Expense**

*Note: The Budget Category cannot be edited after a Non-Personnel expense item has been saved.*

**Data Entry Steps**

1. Open **Detail** view for each expense item to be edited.
2. Enter revised value in each changed period.
3. Click **Save and Close**.

► **Create and Edit SubAwards**

SubAwards are initially created in the Personnel screen, using Proposal Structure, but may also be created in the Budget Section.

**Initiating the SubAward in the Personnel Screen**

- Click **Proposal Structure** on the Personnel screen. The Budget Structure screen is displayed.

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	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"/>		

- Click **[Add SubAward]** in the Prime element to add a first-tier subcontract.  
OR  
To add a second-tier subcontract to an existing SubAward element, click **[Add SubAward]**.

**Note:** Check with [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu) before adding a second-tier SubAward.

- Locate the entity name by starting to type in "Locate Subrecipient".

The screenshot shows a window titled "Select SubAward" with a "Proposal Structure" button in the top right. Below the title bar is a search input field containing the text "Locate Subrecipient" and a "Select Subaward" button to its right.

- This is a predictive search field; use the least common keyword in the entity name to locate the name.
- If the Subrecipient is not available, write to [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu).  
**Do not select another entity name as a temporary placeholder.**

- Select the entity name when located and click **[Select SubAward]**.

The screenshot shows the "Select SubAward" window with the search field containing "children's hospital". A dropdown list of search results is visible, including: "Ann & Robert Lurie Children's Hospital of Chicago", "Arkansas Children's Hospital Research Institute", "Birmingham Children's Hospital", "Boston Children's Hospital", "Children's Hospital at Oklahoma University Medical Center", "Children's Hospital at Westmead", "Children's Hospital Corporation", "Children's Hospital Medical Center of Akron", "CHILDREN'S HOSPITAL OAKLAND RESEARCH INSTITUTE", and "CHILDREN'S HOSPITAL OF LOS ANGELES". A "Select Subaward" button is positioned to the right of the search field.

- After selecting the SubAward entity, additional details will appear in the window (see screen shot below):
  - Locate the subcontract PI by clicking in the **Select PI** field.
  - If the PI's name is not available, Click **Create Profile** to add a new PI.
  - Click the Period/Increments to identify the budget periods for the subcontract to add to the record.

The screenshot shows the "Select SubAward" window with "Arkansas Children's Hospital Research Institute" selected in the search field. Below this is a "Select PI" window. On the left of the "Select PI" window is a "Create Profile" button and a list of profiles: "Courtney, Sherry - Arkansas Children's Hospital Research Institute", "Kurten, Richard - 4256", and "Sherry, Courtney - Arkansas Children's Hospital Research Institute". On the right is a table titled "Add To Period/Increment [Hide]" with a "Select All" checkbox.

YEAR/PERIOD	TYPE	STATUS	START DATE	END DATE	AMOUNT	ADD TO
1	Budget Period *	Pending	01-Oct-2020	30-Sep-2021	381,708.84	<input checked="" type="checkbox"/>
2	Budget Period *	Pending	01-Oct-2021	30-Sep-2022	408,974.19	<input checked="" type="checkbox"/>
3	Budget Period *	Pending	01-Oct-2022	30-Sep-2023	420,793.43	<input checked="" type="checkbox"/>
4	Budget Period *	Pending	01-Oct-2023	30-Sep-2024	432,967.23	<input checked="" type="checkbox"/>
5	Budget Period *	Pending	01-Oct-2024	30-Sep-2025	445,506.25	<input checked="" type="checkbox"/>

- Click **[Continue]** to add the subcontract to the Proposal Structure.

## Initiating the SubAward in the Budget Section

- Click  on the Budget Summary screen. The Budget Structure screen is displayed.
- Follow all steps above in [Initiating the SubAward in the Personnel Screen](#).

## Enter SubAward Expense

- In the SubAwards section, open  view for the SubAward.
- Follow the instructions for Data Entry in the above sections to enter expense in SubAwards or import the information from an Adobe forms package provided by the SubAwardee.

## Import SubAwards

For external subcontracts to Penn, users have the ability to import completed budget data directly from Adobe Research & Related (R&R) form sets into their Proposal Development records instead of entering the data manually.

- Budget detail from the uploaded SF424\_R&R Budget form populates the expense detail in the record.
- The section remains editable in PD and operates the same as a manually entered SubAward budget.
- An updated SF424\_R&R Budget form can be imported over existing data by using  in the SubAward detail screen.

**Note:** Users should click [**Check Form for Errors**] in the Adobe form they plan to import if this option is available. Users should also check the form for data consistency in values entered into the form. All errors should be corrected prior to importing into PD.

### RESEARCH & RELATED BUDGET - Budget Period 1

- Open the Budget section of the proposal record.
- In the SubAwards section, open the  view for the subcontract you plan to import.
- Click .
- Locate and upload the Subcontractor's completed SF424\_R&R Budget form.

Import/Export

[Export Budget to Excel®](#)

[Import Budget From Adobe® Forms](#)  10079581 CHOP RR\_Budget\_1\_4\_A30-V

[Export Budget to Adobe® Forms](#)

[Extract a Blank Adobe® Form](#)

- Map the Budget Periods available in the Adobe forms to the Budget Periods in the PD record.
  - Some subcontracts may not be for the same number of budget periods as Penn's project. If collaborators send a forms package with fewer budget periods, this step ensures you map the information to the correct Penn Budget Period.

Requested Periods		
1	2	3
1 ▾	2 ▾	3 ▾

- Complete Personnel Mapping.
  - Valid Department Names must be selected for all personnel at the time they are added to the record. Select from the existing list or Add New.

Personnel Mapping	
Name (First Person in the list below will replace subaward PI selected during subaward setup)	Department
HANCOCK, WAYNE W	Pediatric/Neurology
Add New ▾ Add New ▾	Pathology Pediatric

**Note:** If the Department is not available in an existing list, enter it in the adjacent box as "Add New". "N/A", "TBD", and Penn 4-digit ORGs are not appropriate Department names for SubAwards.

- Complete Expense Mapping, if present.
  - If the Adobe forms package uses only Direct Cost categories that are already present in your Penn budget, this section will not appear on the Process screen.
  - If it is shown, select the appropriate Budget Category from the available list.

Period 1	
Direct Cost	Sponsor Budget Category
Subject reimbursement	Consultant Services Equipment Maintenance Equipment (Purchased) Facilities Facility or Equipment Rental/User Fees Fringe Benefits - Manual Human Subject Costs Inpatient Costs Labor - General Other Costs Outpatient Costs

- Click **Process** in the upper right corner.

### Export a Penn Budget to Adobe Forms

The Penn budget may be exported to an Adobe forms package to send to collaborators when Penn is the subrecipient, rather than the applicant.

- Open the Budget section of the proposal record.
- Click **Import/Export**.
- Select "Export Budget to Adobe Forms" (see screen shot on next page).
- Check that the correct FOA is selected, the click **[Export]**.
- Depending on your browser settings, a screen will appear to give you the option to open or save the newly created Adobe Forms package.

Import/Export Close

[Export Budget to Excel®](#)

[Import Budget From Adobe® Forms](#)  10079581 CHOP RR\_Budget\_1\_4\_A30-V

**[Export Budget to Adobe® Forms](#)**

[Extract a Blank Adobe® Form](#)

Import/Export Close

[Export Budget to Excel®](#)

[Import Budget From Adobe® Forms](#)

[Export Budget to Adobe® Forms](#)

Export for Grants.gov Opportunity #:

**Export as: RR\_Budget\_1\_4-V1.4**

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](http://www.adobe.com/support/products/acrreader.html)

[Extract a Blank Adobe® Form](#)

- Map the Budget Periods available in the Adobe forms to the Budget Periods in the PD record.
  - Some subcontracts may not be for the same number of budget periods as Penn's project. If collaborators send a forms package with fewer budget periods, this step ensures you map the information to the correct Penn Budget Period.

# Approvals

## Overview

This is the section to upload specific protocol information for regulatory compliance issues.

Approvals Completed

Note: The Approval Date of the highest sequenced LA and/or HS record will map to Other Project Info.

Approvals **Add**

- Click **[Add]** to open the **Add/Edit Approvals** box.

Add/Edit Approvals Save Close

Approvals

Type:  Human Subjects  
Protocol:  te New

- ✓ Human Subjects
- Clinical Trial
- Animal Use
- Radiation Safety
- In vitro formation of recombinant DNA
- Select Agents
- Potentially Infectious Agents
- Carcinogens, teratogens or mutagens

**Human Subjects**

Status:

Approval Review Type:

Approval Review Category:

Exemption No.

Reference No.

Sequence No.

Approved

Approved From

Approved To

- Select the Type from the drop-down box.
- Click **[Continue]**.
- From the drop-down box select the status of the protocol.
- Complete other known information.
- Click the **[Save]** button.
- Check  the **Completed** box at the top of the form.

# Internal Documents

## Overview

This screen permits the upload of internal documents for which there are no appropriate locations on the application tabs. It also contains the Proposal Transmittal and the PI Certification e-forms and other e-forms that may be required by the Department/School or the University for specific applications.

**Important Note:** *The PI Certification and the Proposal Transmittal forms should **not** be completed until the proposal is ready for internal review and approval. This is a compliance issue in that the PI and the BA are attesting to the accuracy and completeness of the proposal information.*

Internal Documents Completed

Current Proposal Status: **Pending**

Components for **Initial Application**

Current Submission

FORM/DOCUMENT NAME	EDIT	STATUS	UPLOAD	REMOVE
Certification by Principal Investigator (Certification)		Completed		Mandatory
Proposal Transmittal Form (Transmittal)		Completed		Mandatory
Export Control - Agreement Review (Export Control Review)		Completed		
GrantsGovInstructions		Completed		

## Features

- Current Proposal Status is shown at the top.
- Click on the **Edit** icon for each e-form.
- The form will open in Edit mode.
- Answer questions by selecting appropriate checkboxes or entering requested information.
  - A red \* means you must answer the question.
- Upload any internal documents required by your School or Department or by ORS or which would be helpful to the internal review process.
- Check the **Completed** box, which will save, lock the form, and close the browser window. The form is shaded while it is being processed.
  - The form may be manually accessed, saved, and locked by mousing over the **Menu** tab at the top left side of the form.

*(See screen shot snippets of the forms on the following page.)*

PRINT  
FORM HISTORY  
SAVE  
COMPLETE

Does the Agreement include any clause that:

Yes  No references U.S. export regulations?

Please do not close this window until the operation has finished.

Yes  No prohibits access of non-U.S. citizens to project information?

Yes  No indicates UPenn will be receiving proprietary information?

Yes  No restricts the use of proprietary/confidential information?

ALL PAGES

CLOSE

PRINT

FORM HISTORY

SAVE

COMPLETE

- When all forms are complete, check  the **Completed** box at the top of the Internal Documents screen.
- When the record has been submitted to routing for review and approval, the routing progress may be viewed on this screen by clicking .

# Certification by Principal Investigator



Updated By: LISA A MURPHY @ 11-Apr-2019 11:38:35 AM

ALL PAGES

CLOSE

PRINT

FORM HISTORY

SAVE

COMPLETE

## ***This form is to be completed by the Principal Investigator***

### **\* Project Title**

Capacity to enhance food-borne illness etiology detection capabilities in support of Vet-LIRN activities  
Brief Description (2-3 sentences) of the Research or Proposed Activity - Optional

### **International Component and/or Export Control**

Yes  No **\* This project has an international component?**

Yes  No **\* To the best of my knowledge, this is subject to Export Control Laws.**

For guidance on making this determination please see the ORS website at <http://www.upenn.edu/researchservices/exportcontrols.html>

### **Regulatory and Other Approvals**

**\* All the required regulatory protocol and other approvals have been recorded in the Approvals tab/section of this proposal (these approvals include: human subjects, investigational drugs or devices, laboratory animals, radioactive materials or radiation producing equipment, in vitro formation of recombinant DNA, Select Agents, potentially infectious agents (including human blood or tissues) and carcinogens, teratogens or mutagens).**

Yes  No

### **Certification**

#### **Principal Investigator/Project Director**

**\* I certify that no one proposed to work on this project is, to the best of my knowledge, excluded from participation in federally funded activities as a result of government-wide suspension or debarment. (The complete text of the certification may be found at: [http://grants.nih.gov/grants/policy/nihgps\\_2010/nihgps\\_ch4.htm#debarment\\_suspension](http://grants.nih.gov/grants/policy/nihgps_2010/nihgps_ch4.htm#debarment_suspension))**

Yes  No

**\* This project, if awarded, will be funded either directly or indirectly by the Public Health Service (PHS) or one of its agencies (e.g. NIH)**

Yes  No

#### **Research to be funded by the Public Health Service - Financial Conflict of Interest (FCOI) Disclosures and Training Requirements for Investigators:**

At the time of proposal submission, all Investigators (senior/key personnel and any other individuals responsible for the design, conduct and reporting of PHS-funded research) must submit a "PHS Financial Interests and Travel Statement" (PHS-FITS) at <https://medley.isc-seo.upenn.edu/phsFits/jsp/fast2.do?lastStart=investigator>. Investigators must also complete FCOI training prior to participating in PHS funded research and then every 4 years in KnowledgeLink.

**\* I understand that I am responsible for identifying all Investigators (as defined in the paragraph above) on this proposal and advising them of their obligation to complete all FCOI disclosures and training requirements as more fully set forth in the University of Pennsylvania Policy on Conflicts of Interest Related to Research, [http://www.upenn.edu/research/pdf/policy\\_on\\_conflicts\\_of\\_interest\\_related\\_to\\_research.pdf](http://www.upenn.edu/research/pdf/policy_on_conflicts_of_interest_related_to_research.pdf)**

Yes  No

**\* In accordance with the Patent and Tangible Research Property Policies and Procedures of the University of Pennsylvania, all personnel on this project, including postdocs, students and visiting scientists, will have signed Participation Agreements prior to the initiation of this project. (Call the Center for Technology Transfer, 898-9591, for information on inventions, patents, copyrights, etc.)**

Yes  No

**\* I certify that the above information on this form and included in this proposal record is true, accurate and complete as of this date. I understand that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. I agree to accept responsibility for the conduct of this project and for provision of required reports if a grant or contract is awarded as a result of this application. If an award is made, I will administer it in accordance with the policies of the sponsor and the University.**

Yes  No



# Proposal Transmittal Form



Updated By: KELLY BIERLING @ 11-Apr-2019 11:24:13 AM

ALL PAGES

- CLOSE
- PRINT
- FORM HISTORY
- SAVE
- COMPLETE

## Proposal Transmittal Form

### \* Proposal Title

Capacity to enhance food-borne illness etiology detection capabilities in support of Vet-LIRN activities

### Short Title

Yes  No \* Is this a title change from the previous submission?

Previous Proposal Number (if known)

Sponsors Proposal/Award ID# (if known)

University Fund # (if known)

Yes  No \* Has PI changed?

Previous PI

\* Type of Proposal  
New Project

\* Is this submission an NIH R, F or K (not K12) mechanism?  Yes  No

### Future Prime Account Segments

\* CNAC #  
580

\* ORG #  
5803

\* PROG #  
2000

\* CREF #  
3048

### Subaccount Segment Requests

CNAC ORG PROG CREF

### Sponsoring Agency/Granting Organization Information

Sponsor Contact Name

Sponsor Contact E-mail

Sponsor Contact Address

Sponsor Contact Title

Contact Phone

Contact Fax

State

Zip Code

### F&A Rate (Facilities & Administrative or Indirect Costs)

Yes  No \* Are you proposing the federally approved F&A rate or approved clinical trial F&A rate for this activity?

Select the approved F&A rate that is proposed for this project? 61% Research On-Campus

### Proposed Cost Sharing

Total \$ 0

None

Mandatory

Voluntary Committed

### Facilities

Yes  No \* Will this project utilize existing space?

Identify, as specifically as possible, all existing space to be utilized

Yes  No \* Will new or renovated space be required for this project?

Please select which will be required

### Business Administrator Certification

(or other individual responsible for the proposal preparation and project administration)

\* The budget and other administrative information on this Transmittal Form and in the attached proposal record are complete and accurate to the best of my knowledge. If an award is made as a result of this proposal, I will administer it in accordance with the policies of the sponsor and the University.

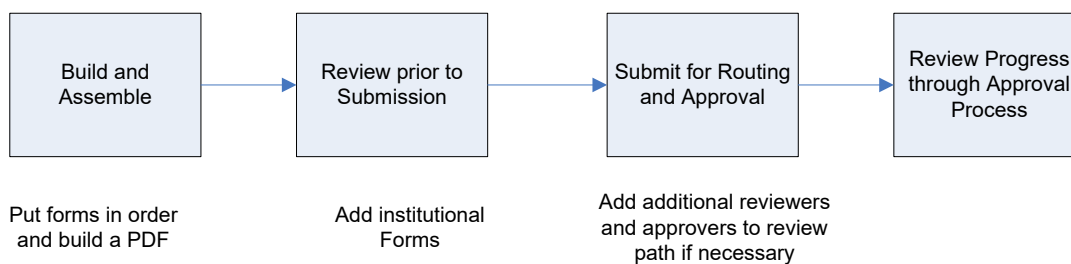
Yes  No

## Finalize a Proposal for Internal Review

### Section Overview

Once you have completed your proposal and all screens are complete, you are ready to begin the Submit process. This process is contained within the menu option called **"Finalize"**.

### Finalize Proposal for Internal Review



Although Proposals can be routed for review and approval if the Research Plan is in "draft" form, all Research Plans should be changed from "Draft Version" to "Final Version" before submission to ORS.

**Note:** To allow investigators as much time as possible, the research plan of the proposal may be submitted for internal review with **Draft Version** selected. However, Grants.gov requires the research plan of the proposal to be submitted in **Final Version**. The Office of Research Services is unable to submit a Draft Version to Grants.gov. It is the responsibility of the Principal Investigator to submit a Final Version proposal in accordance with Penn's internal submission deadlines to ensure the proposal is submitted in accordance with the sponsoring agency's posted submission deadline.

# Build Proposal and Assemble Application

## Overview

This is the first step in the Submit process. This section builds a PDF document from all completed sections. Should any section be changed after this build, then the proposal will have to be re-built.

## Features

- Click **[Finalize]** on the **Sidebar Menu**.
- Click **[Build]** to convert your proposal to PDF format.

Finalize

[Build PDF / Form Pages](#)

Form Page	Build	Last Built	Built By
SF424 (R&R)	Build		
Other Project Info			
Personnel			
Budget			
Performance Sites			
PHS398_ResearchPlan			
PHS398_CoverPageSupplement			
Human Subjects/CT			

- While it is building the proposal, you will see status for each form update from Building to Built in the Last Built column.
- When finished, the build date and PI are displayed in the Last Built and Built By columns.
- You may [View](#) a PDF of each form.

Last Built
Waiting for budget
Building
Building
Building
Building
Building
Building
Building

Form Page	Build		Last Built	Built By
SF424 (R&R)	Build	<a href="#">View</a>	15-Apr-2019 8:21:33 AM	TORRES, TERRY
PHS 398 Cover Page Supplement		<a href="#">View</a>	15-Apr-2019 8:21:26 AM	TORRES, TERRY
Other Project Info		<a href="#">View</a>	15-Apr-2019 8:21:16 AM	TORRES, TERRY
Personnel		<a href="#">View</a>	15-Apr-2019 8:21:30 AM	TORRES, TERRY
Budget		<a href="#">View</a>	15-Apr-2019 8:21:19 AM	TORRES, TERRY
Performance Sites		<a href="#">View</a>	15-Apr-2019 8:21:28 AM	TORRES, TERRY
PHS 398 Research Plan		<a href="#">View</a>	15-Apr-2019 8:21:21 AM	TORRES, TERRY
Human Subjects/CT		<a href="#">View</a>	15-Apr-2019 8:21:24 AM	TORRES, TERRY
PHS_AssignmentRequestForm_2_0		<a href="#">View</a>	15-Apr-2019 8:21:28 AM	TORRES, TERRY

- Click [**Build Grants.gov Application**] to create the application package.

[Assemble Application](#)

**Build Grants.gov Application**

- No table of contents is created in this assembled document.
- Cover Letter (If applicable) is included at the beginning to aid in review, but it won't appear in the final Commons proposal (they are stored separately by NIH)
- Appendices (if applicable) are included at end of the research plan to aid in review, but they won't appear in the final Commons proposal (they are stored separately by NIH)
- A few pages may appear in the assembled document that are "lists of attachments" (e.g., Modular Budget Justifications attachments list, Assurances/Certification Explanation attachments list); these will NOT show up in the Commons proposal document.
- 398 Cover Page will appear before the research plan in both modular and detailed budget applications.
- References Cited will appear after the Research Plan section in both modular and detailed budget applications.
- In detailed budget applications, the cumulative budget will appear immediately following the detailed budget (and the budget justification will follow the cumulative budget).

- Generic template requires you to place your forms in order.
- Wait while your application assembles during the **Build** operation.

**Note:** For system-to-system applications, these forms are built for the purpose of making the review easier, so that reviewers may view the form in a close approximation to its final appearance in the sponsoring agency's electronic system. PennERA does NOT send these forms to the sponsor.

However, these steps are converting the entered data and uploaded documents to the data stream that will be transmitted through Grants.gov to the sponsoring agency.

## Submit for Internal Review

### Overview

From this page the proposal is finalized prior to internal routing and approval. If the **PI Certification** and **Proposal Transmittal** forms were not completed on the Internal Documents screen, they should be completed here. The **Certification by the PI** and **Proposal Transmittal** Form must be completed before the proposal can be submitted for internal approval. For detailed instructions, refer to **Internal Documents** on the **Sidebar Menu**.

#### Finalize

[BUILD PDF / FORM PAGES](#)  
[ASSEMBLE APPLICATION](#)  
[SUBMIT FOR INTERNAL REVIEW](#)

Once your proposal has been completed, it can be electronically routed internally for necessary approvals. This page will display in two modes: Un-submitted and Submitted.

The screen is in Un-submitted mode when your proposal has not yet been routed. You can determine this by visually identifying a "thumbs up" on the screen. If it is there, then the proposal has not yet been submitted.

The screen is in Submitted mode when your proposal has been submitted and you can see the approval path it is on. Your Administrators have configured the approval path that they feel is appropriate for your proposal. If you have any questions regarding this process, please contact them.

Components for **Initial Application**

Form/Document Name	Edit	Status	Upload	Remove
Certification by Principal Investigator <i>Certification</i>		Completed		Mandatory
Proposal Transmittal Form <i>Transmittal</i>		Completed		Mandatory
Assembled Doc <i>Proposal</i>		Completed		

[Add Institution Forms/Supporting Documents](#)

[SUBMIT TO GRANTS.GOV](#)

[Submit Final Review](#)

### Features


- Completion of documents for the final routing through University approvals' paths to ORS to the funding authority.
- Click the **Edit** icon to complete the Certification by PI Form if not already complete (see Internal Documents section).
- Click the **Edit** icon to complete the Proposal Transmittal Form if not already complete (see Internal Documents section).
- Select the eyeglass of **PDF** icons under **Current Submission** to view a PDF version of the forms.
- Click the link labeled **Add Institution Forms/Supporting Documents** to attach documents that **will not be sent to the sponsor**, but are required by the University.
- If you have other forms that you want to go to the Sponsor, use "Other Attachments".
- When all forms have been Completed click the **Submit Final Review** icon.
  - The PI or another authorized person, usually the BA, can complete this step.
  - Click **[Submit]**.
  - Approval routing path pop-up box appears. **Add New Person to Review Path** or click **[Submit]** to send the proposal to the reviewer/approver.

## Submit for Routing and Approval

### Overview

This screen allows the **PI** or other designated person to route the proposal for internal approval.

### Features

- Click on the **Submit Final Review**  icon to begin the routing process.
- A certification will be displayed.

**Certification** Close

I certify that the information included in this proposal record is true, accurate and complete as of this date. I understand that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. I agree to accept responsibility for the conduct of this project and for provision of required reports if a grant or contract is awarded as a result of this application. If an award is made, I will administer it in accordance with the policies of the sponsor and the University.

Accepted     Declined







**Continue**

- Read, select "Accepted", if appropriate, and click **[Continue]**.
- Click the link **Add New Person to Review Path** to add Approvers or Reviewers or click **[Submit]**.

- Select the **Insert** icon next to an individual in the routing path to insert an Approver or Reviewer after that particular step.

Proposal **10049409** - **STEPHEN FRATANTARO** "PennERA Dev" (Under Development)

[Refresh Route](#)    Route Path - **SOM - Psychiatry - 4423, 4426**    [Add New Person to Review Path](#)    **Submit**

Step 6	<b>Business Administrator</b>	MR. KEVIN D STEVENS	
Step 7	<b>Department Chair</b>	MS ROSELLEN TARABORRELLI	
	<b>Department Chair</b>	Dwight L Evans MD	
	<b>Department Chair</b>	ABBY DIPIETRO	
Step 8	<b>ORSS Specialist</b>	ALICE M DUNLEAVY	
	<b>ORSS Specialist</b>	MS MARILYN A BECKER	

- People added to a route can be an Approver or a Reviewer. To make someone a Reviewer, select the radio button, "Informational only" when adding them to a route. To make someone an Approver, select the radio button, "Approval Required" when adding them to a route.
- Begin typing the name and select the correct option from the list.
- Click **[Add]**.
- Click **[Submit]** to send the proposal into the approval queue.

**Add step**    **Add**    **Cancel**

Type Name

Informational Only  
 Approval Required

# Status of Approval Process

## Overview

Once the proposal has been submitted for internal routing, the user may return to the **Finalize** screen to determine the progress of the proposal through the routing path.

**Finalize**

[BUILD PDF / FORM PAGES](#)  
[ASSEMBLE APPLICATION](#)  
[SUBMIT FOR INTERNAL REVIEW](#)

Once your proposal has been completed, it can be electronically routed internally for necessary approvals. This page will display in two modes: Un-submitted and Submitted.

The screen is in Un-submitted mode when your proposal has not yet been routed. You can determine this by visually identifying a "thumbs up" on the screen. If it is there, then the proposal has not yet been submitted.

The screen is in Submitted mode when your proposal has been submitted and you can see the approval path it is on. Your Administrators have configured the approval path that they feel is appropriate for your proposal. If you have any questions regarding this process, please contact them.

Components for **Initial Application**

Form/Document Name	Edit	Status	Upload	Remove
Certification by Principal Investigator Certification		Completed		Mandatory
Proposal Transmittal Form Transmittal		Completed		Mandatory
Assembled Doc Proposal		Completed		

[Add Institution Forms/Supporting Documents](#)

**Active Routing Progress**  
[Open Full](#)

10049409 - STEPHEN FRATANTARO PennERA Dev

Route Name	Route Type	Step Number/Name	Who	Notified	Decision	Insert	Remove
SoM - Psychiatry - 4423, 4426	Final Review	Inserted Step	Evelyn J Ford	14-Jul-2015 12:10:54 PM			

[SUBMIT TO GRANTS.GOV](#)

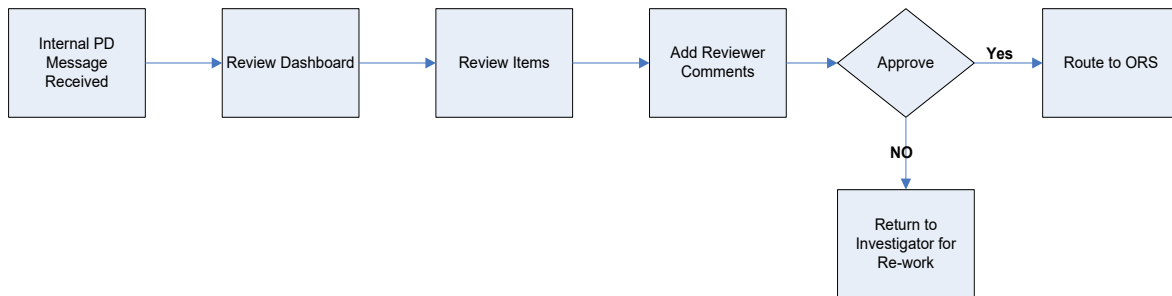
1. Each person on the approval route will receive an email and a PennERA message to alert them to your proposal.
2. Click the **Open** icon to review the "notification" and "decision" status for each person on the approval route.
3. Click **[Done]** when completed and to exit the proposal process.

## Review, Approve, or Reject a Proposal

### Section Overview

When someone is defined as an Approver for a particular proposal, he/she must either approve or not approve the proposal. Upon approval, the proposal routes to the next defined step in the path. Upon rejection, an email and PennERA message are sent to the PI who originally sent the proposal.

#### Review, Approve or Reject



- Reviewers receive a copy of the proposal for informational purposes only.
- Approvers receive a copy of the proposal and act upon the proposal to either approve or reject the proposal. The proposal cannot progress to the next step in the routing process unless the approver acts upon the proposal.
- The Approver can insert additional people into the routing path.
- Approvers can also see who has already seen/approved the proposal and who is next in the routing path.
- Approvers can add comments as part of the review process. Comments can be shared (optionally) with only the investigator, only administrators, only approvers, or everyone.



## Message Received by Approver/Reviewer

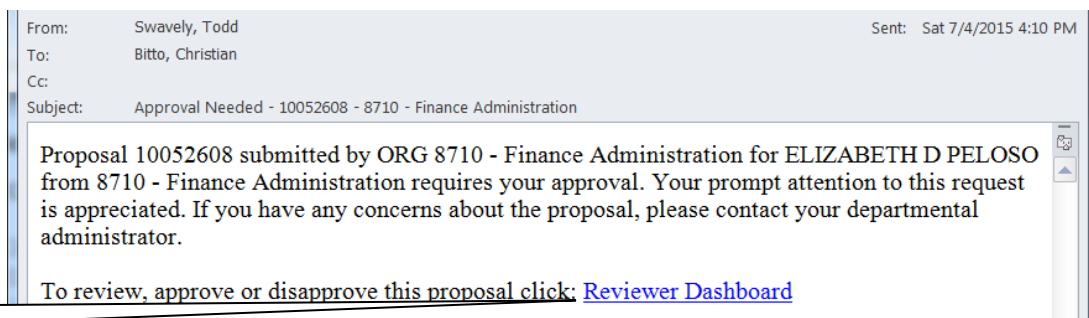
### Overview

When a proposal is routed for approval or review, the recipient receives both an external (University) email and internal (within PennERA) message.

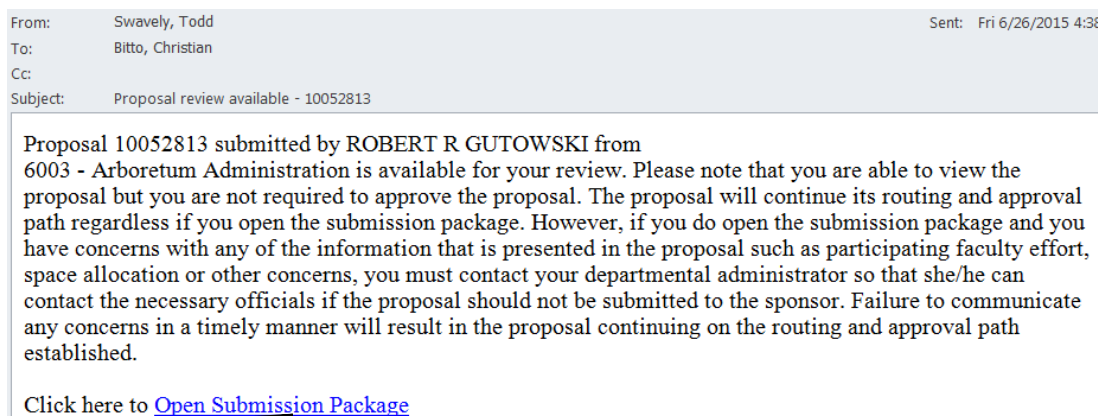
### Features

1. A Reviewer will receive a link to a copy of the proposal.
2. An Approver receives a link that will direct him/her to the **Review Dashboard**.

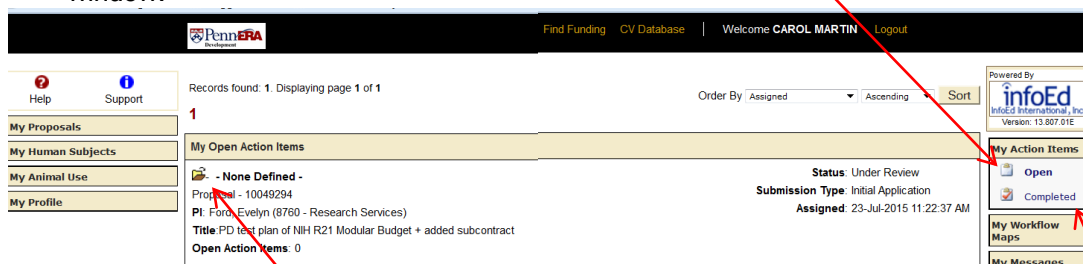
#### External Email – For Approver




#### External Email – For Reviewer

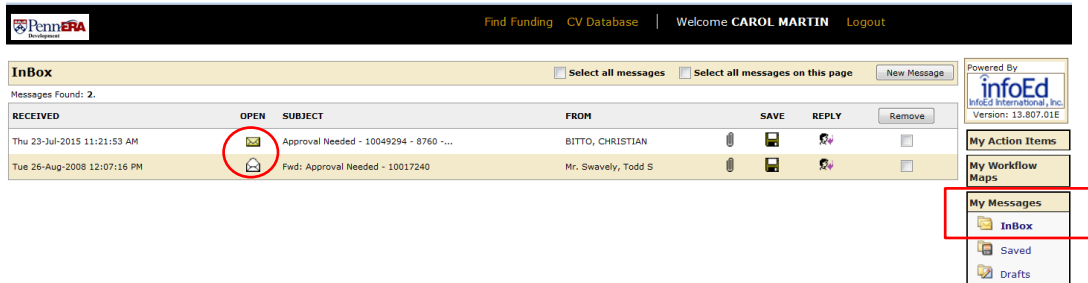


The Review Dashboard may also be accessed through **My Action Items** in the portal browser window.



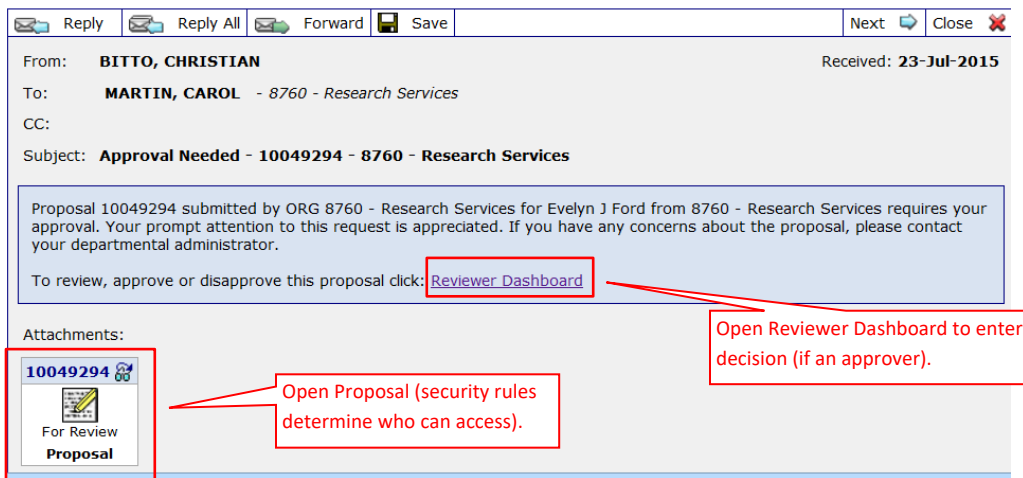
- Click on  to open the Review Dashboard in the list of My Open Action Items.
- Previously reviewed and completed items may be viewed by clicking on **[Completed]** under **My Action Items**.

The reviewer/approver may also access the Review Dashboard through the internal PennERA notification system at **My Messages**.

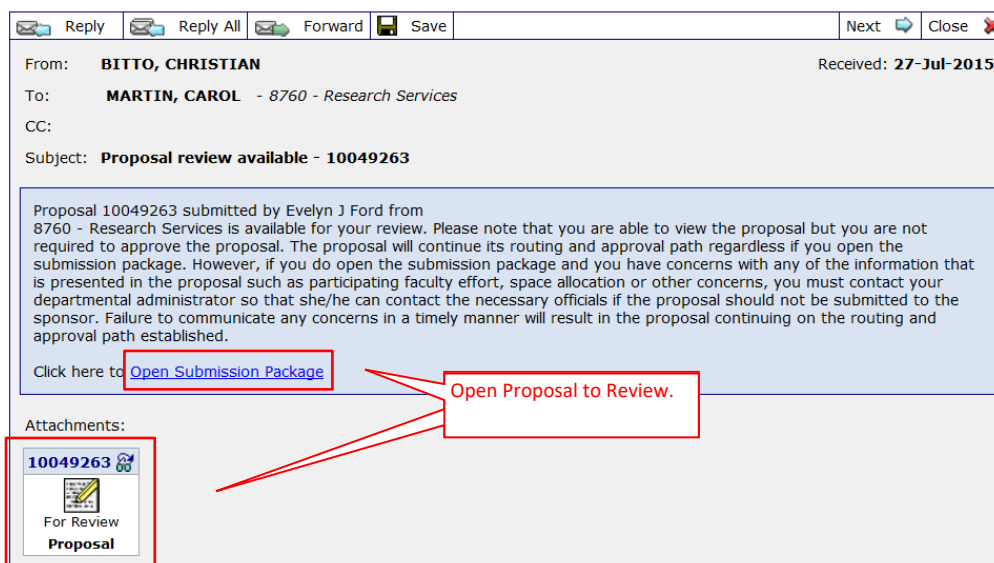


- Click **[Inbox]** to access a list of messages.
- Click on the **Envelope** icon to view the message.
- Access the Review Dashboard or the Proposal from the message.

### Internal Email – for Approver



### Internal Email – for Reviewer



## Reviewer Dashboard – Help Screen

### Overview

This screen allows an approver to access the dashboard. Information about the Review Dashboard, instructions for completing the review, and contact information are displayed on this tab.

**HELP**

You have been identified as someone who needs to perform an on-line review.

The "Review" tab allows you to:

- View comments by previous reviewers.
- Add your comments for others to view.
- Record your review decision.

The "Route" tab:

- Displays the review progress to date and the remaining steps in the approval process.
- Allows you to insert additional approvers or information-only reviewers.

The items being reviewed have deadlines, so please act accordingly.

In order to access this information, you will need to be logged in. If you are unsure of your username/password, please click [here](#).

On the "Review" tab:

1. View each item that is applicable to your review.
2. You may choose to add comments.
3. Indicate your decision in the "My Decision" section. This is the ultimate and final action required of you.
4. Click the Close button in the upper right corner.
5. After Step 4 has completed, close the browser window if it does not close on its own.

If you intend to add comments, you should do so before you set your decision.

If you have any questions regarding this process, please contact:

**Admin PennERA** ✉  
3451 Walnut Street  
Franklin Bldg., 5th Floor  
,  
Phone: -  
Fax: -

- Click on **[Review]**.

## Reviewer Dashboard – Review Screen

This screen allows an approver to approve or reject a proposal, add comments, and track the proposal.

**Proposal - Initial Application**

Number: 10049294  
 Title: PD test plan of NIH R21 Modular Budget + added subcontract  
 Sponsor: NATIONAL INSTITUTES OF HEALTH  
 Submitted: 23-Jul-2015 11:18:27 AM

Form/Document	Submitted	Review Status
<a href="#">PD test plan of NIH R21 Modular Budget + added subcontract</a>	02-Apr-2015 10:16:25 AM	Un-Reviewed
<a href="#">Assembled Doc</a>	23-Jul-2015 11:03:47 AM	Replace
<a href="#">Certification by Principal Investigator</a>	23-Jul-2015 11:18:29 AM	PDF
<a href="#">Proposal Transmittal Form</a>	23-Jul-2015 11:18:29 AM	PDF

**Add Comments:**  
 To be shared with everyone

Between you and the PI

Between Reviewers Only

Between you and Admins

**My Decision is:**

### Features

- You may access the following from this screen: the actual proposal in PD, PDF (Assembled Doc) of the proposal, the Certification by PI, and the Proposal Transmittal Form.
- After you review each item, use the dropdowns to record your review decision as **Reviewed** or **Not Applicable**.
- Add Comments where appropriate. You may not add comments after you enter your decision to approve or not approve the proposal.

**Proposal - Initial Application**

Number: 10049294  
 Title: PD test plan of NIH R21 Modular Budget + added subcontract  
 Sponsor: NATIONAL INSTITUTES OF HEALTH  
 Submitted: 23-Jul-2015 11:18:27 AM

Form/Document	Submitted	Review Status
<a href="#">PD test plan of NIH R21 Modular Budget + added subcontract</a>	02-Apr-2015 10:16:25 AM	Reviewed
<a href="#">Assembled Doc</a>	23-Jul-2015 11:03:47 AM	Replace
<a href="#">Certification by Principal Investigator</a>	23-Jul-2015 11:18:29 AM	PDF
<a href="#">Proposal Transmittal Form</a>	23-Jul-2015 11:18:29 AM	PDF

**Add Comments:**

**My Decision is:**

Save your data or it will not be recorded...

- Once you have marked everything "Reviewed" or "Not Applicable", click on the **Save** icon.

- You now have the ability to either approve or disapprove the proposal.
- Select "Approved" or "Not Approved" from the dropdown.
- Click on the **Save** icon.

**Proposal - Initial Application**

Number: 10049294  
 Title: PD test plan of NIH R21 Modular Budget + added subcontract  
 Sponsor: NATIONAL INSTITUTES OF HEALTH  
 Submitted: 23-Jul-2015 11:18:27 AM

Form/Document	Submitted		Review Status
<a href="#">PD test plan of NIH R21 Modular Budget + added subcontract</a>	02-Apr-2015 10:16:25 AM		Reviewed
<a href="#">Assembled Doc</a>	23-Jul-2015 11:03:47 AM	<a href="#">Replace</a>	Reviewed
<a href="#">Certification by Principal Investigator</a>	23-Jul-2015 11:18:29 AM	<a href="#">PDF</a>	Reviewed
<a href="#">Proposal Transmittal Form</a>	23-Jul-2015 11:18:29 AM	<a href="#">PDF</a>	Reviewed

**Add Comments:**  
To be shared with everyone

**My Decision is:**  
 Approved  
 Not Approved

Comments I can see...  
CHRISTIAN BITTO - "For Carol's Screenshots."

- The pop-up reminds you that once you click **[OK]** you will lock all fields in the Review Form and not be able to add comments or make changes.

**Proposal - Initial Application**

Number: 10049294  
 Title: PD test plan of NIH R21 Modular Budget + added subcontract  
 Sponsor: NATIONAL INSTITUTES OF HEALTH  
 Submitted: 23-Jul-2015 11:18:27 AM

Form/Document	Submitted		Review Status
<a href="#">PD test plan of NIH R21 Modular Budget + added subcontract</a>	02-Apr-2015 10:16:25 AM		Reviewed
<a href="#">Assembled Doc</a>	23-Jul-2015 11:03:47 AM	<a href="#">Replace</a>	Reviewed
<a href="#">Certification by Principal Investigator</a>	23-Jul-2015 11:18:29 AM	<a href="#">PDF</a>	Reviewed

You are about to complete the review of this item.  
 All fields will be locked down from this point.  
 Do you wish to continue?

OK Cancel

Save your data or it will not be recorded...

Comments I can see...  
CHRISTIAN BITTO - "For Carol's Screenshots."

- Click **[OK]**.

*Note: Changes can be made by anyone who has access/edit privileges to a proposal during all stages of the proposal creation process. Changes to the proposal in the approval process require the proposal to be "Built" again.*

You may make changes to the Proposal Routing by clicking on **[Route]**. Go back to **Submit for Routing and Approval** for detailed instructions.

## NIH Presubmission Validation Service (SVS)

### Overview

NIH offers a service for applicants to presubmit the PennERA record directly to a specially designated server at the eRA Commons for the purpose of checking electronic validations and creating a Grant Image that may be viewed prior to submitting the final proposal record.

This process can find issues that need to be corrected prior to submission and also provide the PI with the ability to see how the grant application will be electronically assembled at the Commons and viewed eventually by study section members.

Validation & Submission to Grants.gov				
NIH Commons Validation		NIH Pre-Submission Validation		
Date/Timestamp	Result	Description	Grant Image	Delete Image
21-Apr-2020 4:06:21 PM	OK	No errors/warnings	<a href="#">View</a>	N/A

### Features

- The **Research Plan** must be marked "Final", and the record built and assembled to use the validation service.
  - This process should be used prior to submitting any NIH proposal to the Final Review step in the routing process.
- Click [**NIH Pre-Submission Validation**] to initiate the process.
- Prior to sending the data stream to the Commons, PennERA runs XML Validation to check data or upload errors in the data structure.
- If the XML Validation is error-free, the SVS check begins.
- If there are no errors generated from the Commons, a Grant Image will be available by clicking [**View**].
  - The Grant Image should be checked prior to submitting to Final Review.
  - Errors will appear in red and must be corrected before the proposal is submitted to Grants.gov.
  - Always re-run SVS after corrections or any changes are made.

## Submit to Sponsor

### Overview

Once ORS submits the proposal to the Sponsor, the Sponsor may accept the proposal or return it for modification, or reject it completely.

ORS submits the proposal either electronically (for those Sponsors who support electronic submission) or, if the proposal is to be submitted via hard copy, the PI prints the proposal and submits it to the Sponsor. In this case, ORS will print the "signature page", sign it, and return it to the PI (usually via the administrative contact).

ORS is the conduit for submission to the Sponsor and usually for proposals returned by the Sponsor for modification. Questions or concerns about a returned proposal should be handled through ORS.

### Electronic Submission to Grants.Gov

#### Overview

Check the **Finalize** screen to determine the Grants.Gov ID (Tracking Number) and other submission details.

<a href="#">Grants.gov Submission</a> <a href="#">Resubmit to Grants.gov</a> Submitted by Evelyn Ford <a href="#">Grants History</a> <span style="float: right;">XML Validation</span>			
Submitted Date	Grants.Gov ID	Receipt Date	Receipt Status
21-Apr-2020 4:50:37 PM	GRANT13078253	4/21/2020 4:58:08 PM	<a href="#">Agency Tracking Number Assigned</a>

#### Features

- If the Sponsor detects a problem with the proposal, it is returned via ORS for edit/correction.
- Follow the instructions in the message from the sponsor to make the corrections.
- If the submission is successful, the PI and the ORS Signatory Official mailbox will be notified.
- Users can view the current state of the submission process in the **Grants.gov Submission** section on the **Finalize** screen (*screen shot above*).
  - Click on the entry in Receipt Status to view more detail.

Grants.gov ID: GRANT13078253		Submitted Date: 4/21/2020 4:50:37 PM		Close
<b>Status</b>	<b>Date/Time</b>	<b>Status</b>		
	4/21/2020 4:58:08 PM	▶ Agency Tracking Number Assigned		
	4/21/2020 4:51:30 PM	▶ Validated		
	4/21/2020 4:50:57 PM	▶ Received		

- For NIH Proposals, assignment information will be added as it is received from the Commons over the next several days after submission.

NIH Post Submission Application Status
Refresh

---

**Status as** 4/24/2020 12:01:23 AM  
**of:**

---

Grant Number 3-R01-HL141759-2

SRA Name

SRA Phone Number

SRA email

IRG Assignment

Study Section Meeting Date

Study Section Meeting Location

Council Meeting Date

Council Meeting Location

GMS Name

GMS Phone Number

GMS email

PO Name Bai, C Brian

PO Phone Number


PO email brian.bai@nih.gov







Advisory Council Meeting Date

Advisory Council Meeting Location


## Submit Other/Paper/Other Electronic Processes

### Overview

Click the  icon to view and print a PDF document if needed for paper records or submission to the Sponsor.

FORM/DOCUMENT NAME	EDIT
Certification by Principal Investigator (Certification)	
Proposal Transmittal Form (Transmittal)	
SOM PI Research Categorization Form (Certification)	
Export Control - Agreement Review (Export Control Review)	
Internal Budget (Proposal)	
Assembled Doc	

### Features

- A user can print a copy of his/her proposal by accessing the proposal through Proposal Development, and selecting "Finalize" from the **Sidebar Menu**. Then, select the  icon under the heading **Completed Form** to view a PDF version of the proposal. At this point, the user may print out the PDF document or save it electronically.



## Appendix A

### How do I... add personnel to the Budget section if I want to do it that way instead of from the Personnel screen?

*Note: While you may use this process for adding personnel, the preferred method is to add personnel on the Personnel screen.*

#### Add Personnel

Key and Non-Key Personnel with effort may be added from the primary Budget screen (also called Budget Summary).

- Do not add Other Significant Contributors, Consultants, or External Personnel from the Budget section. These must be added in Personnel.

#### Add Existing Personnel to the Penn Budget

Personnel [Hide]

	NAME	PERIOD 1	PERIOD 2	DIRECT COSTS
Detail	Ford, Evelyn PD/PI	-	-	\$ 0.00
<b>Subtotal Personnel:</b>		<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

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

- Begin typing in "select Personnel Name..." to locate and select an existing staff name.
  - Notify [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu) if a name cannot be located.
- Select Personnel Type and Role.
- Click  once these three fields are completed.
- Once the name appears in the Personnel list, click  to enter information; see Budget entry for full instructions.

#### Add New Personnel

Follow these instructions to add personnel who are not currently staff at Penn. Do *not* use this function to add existing Penn personnel.

Personnel [Hide]

	NAME	PERIOD 1	PERIOD 2	DIRECT COSTS
Detail	Ford, Evelyn PD/PI	-	-	\$ 0.00
<b>Subtotal Personnel:</b>		<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

-- Select Type -- -- Select Role --

- Click **[Add New Profile]**.
- In the New Profile pop-up window:
  - Leave Temporary Profile selected.
  - Enter First Name:
    - Use brief description to differentiate from other TBDs (e.g., "Statistician").
  - Enter "TBD" for Last Name.
  - Click **[Set]** next to Department. 
    - Begin typing an ORG # or text name of an ORG; this is a predictive search, so any portion of an ORG # or name may be used to locate.
    - Select an ORG from the list.

- Click .
- When "Department found and selected. You may need to scroll down" appears, click **[Select]** in the upper right corner: It's unnecessary to scroll down to view selection.
- When the screen refreshes, confirm that the correct ORG has been selected.
- Click  in the upper right corner; let the window close and the screen refresh.
- Select a Role.
  - If using "Other (specify)" or "Other Professional", provide descriptive text in available field.
- Click the  button immediately below , *not* the Save option in the upper left corner.

### **Add Personnel to a SubAward**

- Open the SubAward budget from either the Penn Budget screen or the left frame.
- Follow the steps above to add Key and Non-Key Personnel to the SubAward budget if not using the Import function.

## How do I... change the PI?

### Budget

- Navigate to the Setup screen.
- Click on the **Change PI** tab to open that screen.

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

**Change the PI** Replace PI and Leave the Current PI on the Proposal

**Name (Last, First)** Replace PI and Leave the Current PI on the Proposal

Begin typing to select Personnel Name... Replace and Remove the Current PI

- From the drop-down box select "Replace PI and Leave the Current PI on the Proposal" or "Replace and Remove the Current PI".
- Choose the new PI by locating a name in "...to select Personnel Name...".
- Click **[Add New PI]** once the name has been located.

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

**Change the PI** Replace PI and Leave the Current PI on the Proposal

**Name (Last, First)**

Begin typing to select Personnel Name... Add New PI

**Note:** Budget information for the new PI will have to be added to the proposal. If the original PI was not removed in the above step, s/he can be removed later.

Other forms that may need to be changed, if the PI is changed, are:

- Personnel – Upload new CV/biosketch
- Performance Sites
- Resources, especially Facilities
- Budget – Effort, salary, and benefits

## How do I... add or change the default Associated Department?

The primary Associated Department defaults to the PI's information, which may not be the intended Responsible ORG if the project is funded. Follow these steps to change the primary Associated Department.

- On the **Setup Questions** screen, in the **General Proposal Properties** section of the questionnaire, click the **Add** link in the Associated Departments row.

General Proposal Properties

Will your proposal involve the use of Human Subjects?  Yes  No

Will your proposal involve the use of Laboratory Animals?  Yes  No

Will your proposal involve multiple principal investigators?  Yes  No

Will your proposal be a training grant?  Yes  No

Associated Departments  8760 - Research Services **Add**

PI Departments  8760 - Research Services

- Begin typing the department name, or a portion of the name, or an ORG number.
  - Click **[Select]**; the window will close and return to Setup Questions.

Department Select Close

876

5876 - Harcum Vet Tech

8760 - Research Services

- Click the radio button next to the ORG you wish to make the Primary Associated Department.
  - The primary Associated Department also determines the routing process for approval of the proposal record.
- Add any Departments for which a subaccount will be issued if the project is funded.
- Remove any Departments that will not have a subaccount issued if the project is funded.
  - Informational copies of the proposal can be provided during routing and approval for participating departments for which a subaccount will not be issued.

Associated Departments  8760 - Research Services  8770 - Risk Management [Remove](#)

[Add](#)

## How do I... enter a summary budget?

Some records do not require a detail budget. In those cases, users only need to enter basic information in Budget.

- Child records for non-competing continuations and non-S2S supplementals.
- S2S records that do not use one of the RR Detail Budget forms.

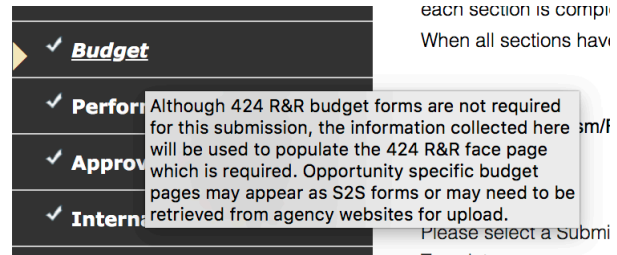
The minimum information is used to populate the PT record for this proposal and also, for S2S submission, the funds requested information on the SF424.

- Some S2S submissions do not permit any entry into the **Budget** section. These records have a sponsor-specific budget form available on S2S Forms, which populates both the summary budget section and the SF424. An example is an NIH T32 training grant.

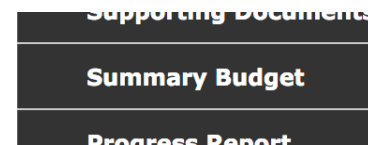
To determine if your record uses only the *Summary Budget* format:

- Navigate to the Budget screen.
- Minimum budget information may be entered if one of the following is present in the left **Sidebar Menu**:

- Budget label in left **Sidebar Menu** is italicized; an explanatory description is displayed on mouseover of the **Budget** label.



- Budget label in left **Sidebar Menu** is **Summary Budget**.



### Entering Budget Information

Navigate to the Budget section. If you are unable to add any expense and there is no **Complete Budget** option in the upper right corner, this section is not editable and is entirely connected to a budget form on the S2S Forms screen. Data entry in that form will automatically populate **Budget** in this record.

For editable **Budget** or **Summary Budget** sections, follow these steps:

- Follow instructions for [Add Non-Personnel Expense](#) to enter only one line for Total Direct Costs on the **Budget** screen.
  - Use description "Total Direct Costs".
- Follow instructions to [Enter F&A](#) as needed on the **F&A** screen.
- Follow instructions to [Enter Cost Sharing](#) as needed on the **Cost Sharing** screen.
- **Justifications** screen:
  - For S2S applications, **do not upload** any document. It will not be retrieved by the federal sponsor during the submission process. Check for another location for this document, if it is required by the sponsor.
  - For non-S2S applications, you may upload an internal budget form here or, if the sponsor does require a narrative budget justification, upload that document.
- Click **Complete Budget** on **Budget** to lock the budget from further editing when finished.

## How do I... enter a simplified budget?

A simplified budget may be used for any generic record and for an S2S submission using a modular budget. Only NIH uses this latter option.

*Note: The example is for an S2S modular budget, but the same type of budget entry is applicable to any generic record.*

### Features

Only minimum data entry is required, though users may opt to supply as much detail as they wish. Required elements are:

- Key Personnel with Role and Effort identified.
  - No salary or benefit information is required.
  - Non-Key Personnel also are *not* required.
- One expense line for Total Direct Costs.
- F&A and Cost Sharing information, as appropriate.
- Budget justification upload if one is required by the sponsor.
  - A narrative justification does not need to be written if the sponsor doesn't request it.
- SubAwards components must be created but can use the same minimum data entry as for the Prime/Penn budget.

### Personnel

- Follow instructions for [Add Existing Key Personnel](#) to add only Key Personnel.
- Upload required biosketches in an S2S record (Personnel screen).
- Create any needed SubAward elements ([Create SubAward](#)).
  - These same steps may be followed for SubAward personnel.

### Budget

- Follow instructions for [Add Non-Personnel Expense](#) to enter only one line for Total Direct Costs on the **Budget** screen.
  - Use description "Total Direct Costs".
  - See also [How do I... enter budget data for F&A-exempt expenses, such as equipment, in a simplified budget?](#)
- Follow instructions to [Enter F&A](#) as needed on the **F&A** screen.
- Follow instructions to [Enter Cost Sharing](#) as needed on the **Cost Sharing** screen.
- Select the number of modules needed if this is an NIH modular budget record.
- Upload any sponsor-required **Justifications** document.
- These same steps may be used for any SubAward expense.
- Click  on **Budget** to lock the budget from further editing when finished.

**How do I... enter budget data for F&A-exempt expenses, such as equipment, in a simplified budget?**

***Solution:** While you could create a budget containing only one line for total direct costs and adjust the F&A manually, we recommend you create separate line items for F&A-exempt expenses. The application will NOT calculate F&A on budget categories exempted from F&A, such as Purchased Equipment. If you use the correct categories in your budget, you won't have to remember to adjust the F&A manually.*

Example: This proposal includes expenses totaling \$125,000 and \$150,000 in years 1 and 2, respectively. In this example, \$15,000 is budgeted for equipment in both years. Your budget would look like this:

<b>Non-Personnel [hide]</b>					
	<b>CATEGORY</b>	<b>PERIOD 1</b>	<b>PERIOD 2</b>	<b>DIRECT COSTS</b>	
<input type="button" value="Detail"/>	Equipment (Purchased)	\$ 15,000.00	\$ 15,000.00	\$ 30,000.00	<input type="button" value="Delete"/>
<input type="button" value="Detail"/>	Other Costs	125,000.00	150,000.00	275,000.00	<input type="button" value="Delete"/>
<b>Subtotal Non-Personnel:</b>		<b>\$ 140,000.00</b>	<b>\$ 165,000.00</b>	<b>\$ 305,000.00</b>	

Once you complete this section, navigate to the F&A screen. Note the F&A Base reflects the total less the equipment exemption.

<b>Non-Personnel Costs</b>			
	<b>PERIOD 1</b>	<b>PERIOD 2</b>	<b>TOTAL</b>
<b>Equipment (Purchased)</b>			
Sponsor Directs	15,000.00	15,000.00	30,000.00
Sponsor F&A Base	0.00	0.00	0.00
Requested F&A	0.00	0.00	0.00
<b>Other Costs</b>			
Sponsor Directs	125,000.00	150,000.00	275,000.00
Sponsor F&A Base	125,000.00	150,000.00	275,000.00
Requested F&A	78,125.00	93,750.00	171,875.00
<b>Directs &amp; F&amp;A Total</b>	<b>\$ 218,125.00</b>	<b>\$ 258,750.00</b>	<b>\$ 476,875.00</b>

If you are using a modular budget, below is the example for the equipment expense.

	<b>PERIOD 1</b>	<b>PERIOD 2</b>	<b>TOTAL</b>
Modular DC less Consortium F&A	\$ 150,000.00	\$ 175,000.00	\$ 325,000.00
Consortium F&A	\$ 0.00	\$ 0.00	\$ 0.00
Total Direct Costs	\$ 150,000.00	\$ 175,000.00	\$ 325,000.00
Modular DC Including Consortium F&A	\$ 150,000.00	\$ 175,000.00	\$ 325,000.00
Exemptions	\$ 15,000.00	\$ 15,000.00	\$ 30,000.00
Total INST Cost Sharing	\$ 0.00	\$ 0.00	\$ 0.00
Unallowable Costs	\$ 0.00	\$ 0.00	\$ 0.00
Base	\$ 135,000.00	\$ 160,000.00	\$ 295,000.00
F&A %	62.5	62.5	
F&A \$	\$ 84,375.00	\$ 100,000.00	\$ 184,375.00
Total	\$ 234,375.00	\$ 275,000.00	\$ 509,375.00

## How do I... enter genomic array (microarray) expense?

Genomic array (GA) expense incurred with an external vendor requires specialized data entry as outlined in NIH Notice NOT-OD-10-097, issued May 2010 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-097.html>). This is a requirement for NIH proposals only, modular budget proposals, and those requiring the 424 detail budget forms.

***Note:** Microarrays obtained from internal resources/service centers should continue to be treated as supply expense with full F&A recovery.*

If the annual cost does not exceed \$50,000/year for each external source, these special steps are not required. The expense should be budgeted as supply costs.

If the expense exceeds \$50,000 in any year, then follow the steps outlined below. Use for any record type (S2S or generic template), and all budget entry methods: modular, simplified, detail.

Only the cost of the arrays should be included: No staff time or other associated sequencing costs should be included in this calculation methodology.

### Budget

#### *Budget Summary Screen:*

- Create a new expense line in the Non-Personnel Expense section:
  - Description – “Genomic Arrays to annual limit (\$50,000)”.
  - Budget Category – “Supplies”.
- Enter annual GA costs, not to exceed a maximum of \$50,000/year.

#### *SubAward Entry:*

- Go to the Personnel screen to create a new SubAward entry:
  - Click  to open the Budget Structure screen.
  - Click **Add SubAward** to the Prime (do **not** select **Add Subprojects**).
  - Choose “GENOMIC ARRAYS - EXTERNAL” as the SubAward name.
  - Choose “Arrays, Genomic” as the PI from the drop-down menu.
  - Click **[Continue]** and the SubAward will now appear under the Prime (Penn).
  - Close the screen. On the Personnel screen, select the Genomic Arrays SubAward PI.
  - Update the Specified Role to Other (Describe), then enter “Genomic Arrays”.
- Alternate Step:
  - Budget section > Budget screen > SubAwards heading (click **[Show]** if this section is hidden).
  - 
  - Enter “GENOMIC ARRAYS – EXTERNAL” as the SubAward name and “Arrays, Genomic” as the PI and click **[Add SubAward]**.
  - Enter SubAward PI expense line – Effort = 0.10 in any year that has an expense.
  - Create a Non-Personnel Expense Entry:
    - Select Budget Category – “Other Costs” and add item.
    - Change description to “Excess of GA expense over \$50,000”.
    - Enter amount that exceeds \$50,000 in any year.
  - Do not enter the Indirect Costs on the SubAward.
  - If any year = \$0, mark the year “Inactive”.
  - ***Note:*** The SubAward PI Role will need to be changed to Other (Specify); enter “Genomic Arrays” on the Personnel screen.



*F&A Screen:*

- Click **[Manual F&A]**.
- Enter the GENOMIC ARRAYS SubAward F&A:
  - "Sponsor F&A Base" IN EVERY YEAR should be \$25,000 or less.
  - Calculate and enter "Requested F&A" based on "Sponsor F&A Base". The current Penn negotiated rate should be used.
- Check Penn F&A entry:
  - Scroll to the bottom of the screen to **F&A Breakdown** and verify **Base** now includes the amount of the SubAward Sponsor F&A Base.
- Save the entries clicking **[Save]** at the top left of the screen.

*Cost Sharing Screen:*

- Move any costs associated with the genomic arrays appearing on the Institution line to UnAllowable.

*Modular Budget Screen:*

- Save the tab after the screen has opened even though there has been no editing yet.
- Adjust the number of modules in each year, if necessary; Save.
- Check modular budget calculation chart to ensure that all values are correct.

*Justifications Screen:*

- Prepare the type of justification required for the proposal.
- Include this explanation of the SubAward for the GA expense:

Budget Justification for Genomic Arrays

In accordance with NIH Notice OD-10-097 (Budgeting for Genomic Arrays for NIH Grants, Cooperative Agreements and Contracts), a SubAward has been created for the Genomic Array expense that exceeds \$50,000 in any given budget period of this proposed project. This is an S2S submission which requires listing a PI for this "SubAward" with a small amount of (unfunded) effort to avoid validation errors.

Genomic array expense up to \$50,000/year has been included in the University's portion of the project budget under the cost category Supplies.

Questions regarding this methodology should be directed to the Signatory Official.

- If this is a modular budget justification, upload to the "Consortium Justification" location.
- If a detail budget justification is prepared, include the above text with the Penn justification.

[Screen shots of the budget entry appear on the following pages.]

## Personnel





- Upload a "biosketch" for the "PI" of the GA SubAward.
- Do not use a formatted biosketch or NIH biosketch form; create a standard Word document with the following text:

This is a biosketch upload for the "PI" location of the SubAward created in a system-to-system proposal record to accommodate the necessary calculations for genomic arrays per Notice NOT-OD-10-097 (Budgeting for Genomic Arrays for NIH Grants, Cooperative Agreements, and Contracts), requiring treatment of a certain portion of the genomic array expense as a SubAward.

## Performance Sites

- Make the following entries for the GA "site":
  - Enter zeroes for the DUNS number (00-000-0000).
  - Enter "PA-003" for the Congressional District.
  - Enter the external vendor's information for the address.

### *Penn Budget Screen*

Non-Personnel Costs						
Detail		Justifications		Cost Sharing		
			Show Calculations		Save and Close	
			Save		Close	
Costs by "Budget Period"		Annual Inflation	Description		Genomic Arrays to annual limit of :	
PERIOD	START DATE	END DATE			TOTAL	
1	01-Jul-2021	30-Jun-2022			50,000.00	Remove
2	01-Jul-2022	30-Jun-2023		<input type="text" value=""/> %	50,000.00	Remove
3	01-Jul-2023	30-Jun-2024		<input type="text" value=""/> %	50,000.00	Remove
4	01-Jul-2024	30-Jun-2025		<input type="text" value=""/> %	50,000.00	Remove
5	01-Jul-2025	30-Jun-2026		<input type="text" value=""/> %	50,000.00	Remove
<b>Total</b>					<b>\$ 250,000.00</b>	

Genomic Arrays "SubAward" Budget Screen

Proposal for Genomic Arrays F&A calculation - Test 2  
MISS DONNA M NEY - 8760 - Research Services (NATIONAL INSTITUTES OF HEALTH)

Proposal 10073738 [Edit Mode](#)

Project Period: 01-Jul-2021 to 30-Jun-2026 Source View: Sponsor

Period	Periods [hide]			Sponsor [show]	Cost Sharing [...]	Project [hide]		
	Year/Period	Start	End	Total	Total	Directs	F&A	Total
1	01-Jul-2021	30-Jun-2022		25,000.00	-	25,000.00	-	25,000.00
2	01-Jul-2022	30-Jun-2023		100,000.00	-	100,000.00	-	100,000.00
3	01-Jul-2023	30-Jun-2024		100,000.00	-	100,000.00	-	100,000.00
4	01-Jul-2024	30-Jun-2025		75,000.00	-	75,000.00	-	75,000.00
5	01-Jul-2025	30-Jun-2026		50,000.00	-	50,000.00	-	50,000.00
				\$ 350,000.00	\$ 0.00	\$ 350,000.00	\$ 0.00	\$ 350,000.00

Personnel [Hide]

NAME	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Arrays, Genomic SubAward PJ	-	-	-	-	-	\$ 0.00
<b>Subtotal Personnel:</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>

Non-Personnel [hide] [Add Bulk Entry](#)

CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS
Other Costs	\$ 25,000.00	\$ 100,000.00	\$ 100,000.00	\$ 75,000.00	\$ 50,000.00	\$ 350,000.00
<b>Subtotal Non-Personnel:</b>	<b>\$ 25,000.00</b>	<b>\$ 100,000.00</b>	<b>\$ 100,000.00</b>	<b>\$ 75,000.00</b>	<b>\$ 50,000.00</b>	<b>\$ 350,000.00</b>

SubAwards [show]

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL COSTS
<b>Total Sponsor Direct Costs:</b>	\$ 25,000.00	\$ 100,000.00	\$ 100,000.00	\$ 75,000.00	\$ 50,000.00	\$ 350,000.00
<b>Sponsor F&amp;A:</b>	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Sponsor Costs:</b>	<b>\$ 25,000.00</b>	<b>\$ 100,000.00</b>	<b>\$ 100,000.00</b>	<b>\$ 75,000.00</b>	<b>\$ 50,000.00</b>	<b>\$ 350,000.00</b>

F&A Screen

F&A [Edit Mode](#) Source View: Sponsor

Calculation rate method **Institution Base/Target Scheme** \$171,875.00  
 Prevailing  Blended \$171,875.00

Base: Research Rate: Manual Entry Rate: 0.000 Effective: 62.500 [Apply](#) [Manual F&A](#)

[Drift](#) \$0.00

SubAwards

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
<b>GENOMIC ARRAYS - EXTERNAL</b>						
Sponsor Directs	40,625.00	115,625.00	115,625.00	90,625.00	65,625.00	428,125.00
Sponsor F&A Base	25,000.00	25,000.00	25,000.00	25,000.00	25,000.00	125,000.00
Requested F&A	15,625.00	15,625.00	15,625.00	15,625.00	15,625.00	78,125.00
<b>Directs &amp; F&amp;A Total</b>	<b>\$ 56,250.00</b>	<b>\$ 131,250.00</b>	<b>\$ 131,250.00</b>	<b>\$ 106,250.00</b>	<b>\$ 81,250.00</b>	<b>\$ 506,250.00</b>

Prime**						
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
<b>NEY, DONNA - 10073738</b>						
Sponsor Directs	75,000.00	150,000.00	165,625.00	140,625.00	115,625.00	646,875.00
Sponsor F&A Base	75,000.00	75,000.00	75,000.00	75,000.00	75,000.00	375,000.00
Requested F&A	46,875.00	46,875.00	46,875.00	46,875.00	46,875.00	234,375.00
<b>Directs &amp; F&amp;A Total</b>	<b>\$ 121,875.00</b>	<b>\$ 196,875.00</b>	<b>\$ 212,500.00</b>	<b>\$ 187,500.00</b>	<b>\$ 162,500.00</b>	<b>\$ 881,250.00</b>
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Direct Cost Totals	\$ 75,000.00	\$ 150,000.00	\$ 165,625.00	\$ 140,625.00	\$ 115,625.00	\$ 646,875.00
F&A Base Totals**	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 375,000.00
F&A Totals	\$ 46,875.00	\$ 46,875.00	\$ 46,875.00	\$ 46,875.00	\$ 46,875.00	\$ 234,375.00
<b>Grand Totals</b>	<b>\$ 121,875.00</b>	<b>\$ 196,875.00</b>	<b>\$ 212,500.00</b>	<b>\$ 187,500.00</b>	<b>\$ 162,500.00</b>	<b>\$ 881,250.00</b>

*\*\*Not included in Grand Totals*

F&A Breakdown						
PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT
1 <a href="#">Detail</a>	01-Jul-2021	30-Jun-2022	Research	62.500	75,000.00	46,875.00
2 <a href="#">Detail</a>	01-Jul-2022	30-Jun-2023	Research	62.500	75,000.00	46,875.00
3 <a href="#">Detail</a>	01-Jul-2023	30-Jun-2024	Research	62.500	75,000.00	46,875.00
4 <a href="#">Detail</a>	01-Jul-2024	30-Jun-2025	Research	62.500	75,000.00	46,875.00
5 <a href="#">Detail</a>	01-Jul-2025	30-Jun-2026	Research	62.500	75,000.00	46,875.00
<b>Total</b>					<b>\$ 375,000.00</b>	<b>\$ 234,375.00</b>

SubAwards						
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
<b>GENOMIC ARRAYS - EXTERNAL</b>						
Sponsor Directs	40,625.00	115,625.00	115,625.00	90,625.00	65,625.00	428,125.00
Sponsor F&A Base	25,000.00	25,000.00	25,000.00	25,000.00	25,000.00	125,000.00
Requested F&A	15,625.00	15,625.00	15,625.00	15,625.00	15,625.00	78,125.00
<b>Directs &amp; F&amp;A Total</b>	<b>\$ 56,250.00</b>	<b>\$ 131,250.00</b>	<b>\$ 131,250.00</b>	<b>\$ 106,250.00</b>	<b>\$ 81,250.00</b>	<b>\$ 506,250.00</b>

Prime**						
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
<b>NEY, DONNA - 10073738</b>						
Sponsor Directs	75,000.00	150,000.00	165,625.00	140,625.00	115,625.00	646,875.00
Sponsor F&A Base	75,000.00	75,000.00	75,000.00	75,000.00	75,000.00	375,000.00
Requested F&A	46,875.00	46,875.00	46,875.00	46,875.00	46,875.00	234,375.00
<b>Directs &amp; F&amp;A Total</b>	<b>\$ 121,875.00</b>	<b>\$ 196,875.00</b>	<b>\$ 212,500.00</b>	<b>\$ 187,500.00</b>	<b>\$ 162,500.00</b>	<b>\$ 881,250.00</b>
	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Direct Cost Totals	\$ 75,000.00	\$ 150,000.00	\$ 165,625.00	\$ 140,625.00	\$ 115,625.00	\$ 646,875.00
F&A Base Totals**	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 375,000.00
F&A Totals	\$ 46,875.00	\$ 46,875.00	\$ 46,875.00	\$ 46,875.00	\$ 46,875.00	\$ 234,375.00
<b>Grand Totals</b>	<b>\$ 121,875.00</b>	<b>\$ 196,875.00</b>	<b>\$ 212,500.00</b>	<b>\$ 187,500.00</b>	<b>\$ 162,500.00</b>	<b>\$ 881,250.00</b>

*\*\*Not included in Grand Totals*

F&A Breakdown						
PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT
<input checked="" type="checkbox"/> 1 <a href="#">Detail</a>	01-Jul-2021	30-Jun-2022	Research	62.500	75,000.00	46,875.00
<input checked="" type="checkbox"/> 2 <a href="#">Detail</a>	01-Jul-2022	30-Jun-2023	Research	62.500	75,000.00	46,875.00
<input checked="" type="checkbox"/> 3 <a href="#">Detail</a>	01-Jul-2023	30-Jun-2024	Research	62.500	75,000.00	46,875.00
<input checked="" type="checkbox"/> 4 <a href="#">Detail</a>	01-Jul-2024	30-Jun-2025	Research	62.500	75,000.00	46,875.00
<input checked="" type="checkbox"/> 5 <a href="#">Detail</a>	01-Jul-2025	30-Jun-2026	Research	62.500	75,000.00	46,875.00
<b>Total</b>					<b>\$ 375,000.00</b>	<b>\$ 234,375.00</b>

## How do I... correct PDF issues?

Common issues with PDFs that will cause submission failures are:

- The PDF contains active form fields.
- A submission error indicates the PDF uses format features not currently supported.
- There is an electronic signature.
- Grants.gov and other electronic submission systems may require uploaded documents to be 8½ x 11 inches. Most scanned documents will not be exactly that measurement, so they will need to be resized before they can be uploaded into Proposal Development.

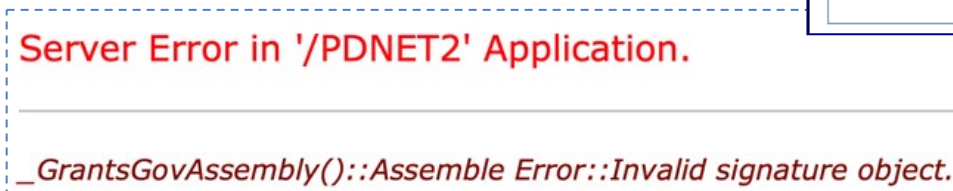
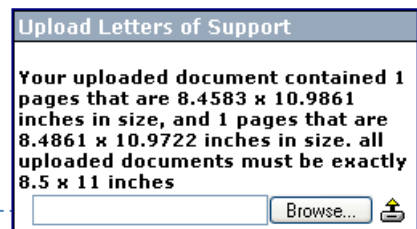
These issues may be resolved by “printing” a “flat file” to an Adobe printer in the Windows Operating System or by using the Preview app on a Mac.

- These instructions may be applied to any PDF issue (except the removal of bookmarks).
- This is a recommended first step whenever there are PDF-related errors or warnings.
- Contact [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu) if the problem is not resolved.

*Note: Adobe Acrobat Professional is required.*

### Locate Problem Documents

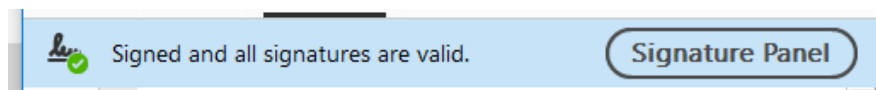
The upload with the problem is usually identified in an error message or a warning is displayed when an upload is attempted. In some cases, though, it may be necessary to investigate uploads to locate the problem document.



### Find an Electronic Signature

An error message in PennERA that indicates an “invalid signature object” is the result of an uploaded PDF and active electronic signature.

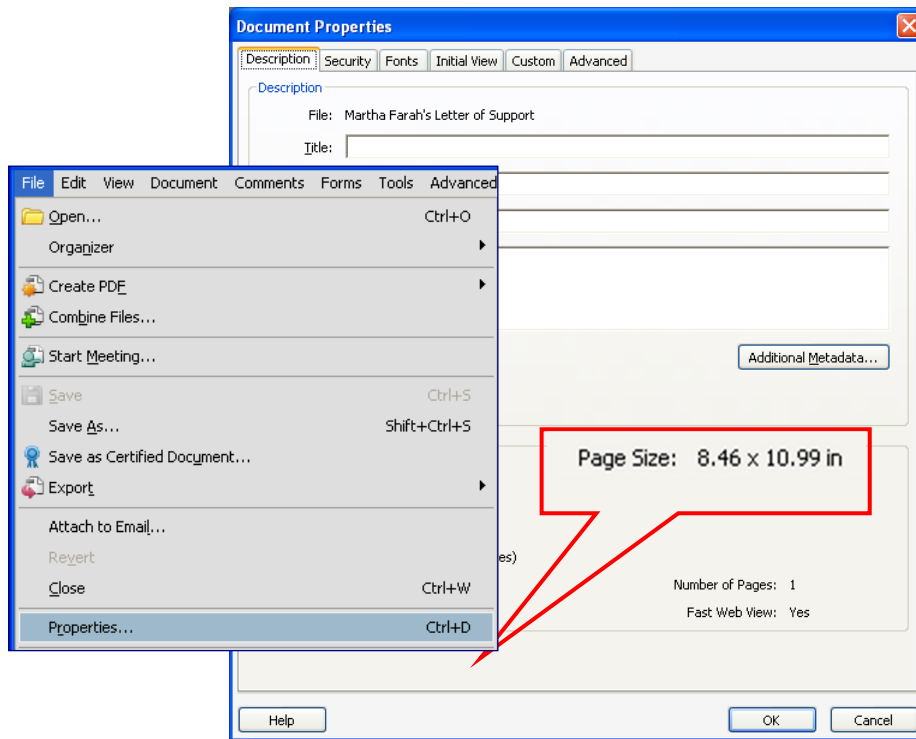
- Scan your uploads for a signature panel similar to the screen shot below to locate the problem document.



### Determine the Page Size

- Open the scanned document in Acrobat Pro.
- Select “Properties” from the File menu.
- Check the **Page Size**.

*Note: PDF documents created by combining scanned and converted pages will have some pages that are correctly sized. Any page may be checked by first going to that page, then checking page size.*



## Create a "Flat File"

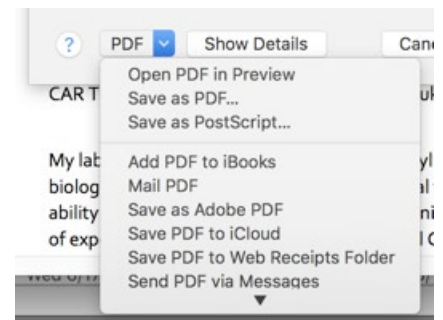
Follow these instructions on a PC using Windows:

- Open the **Print** dialog box from the File menu.
- Choose "Adobe PDF" as the printer.
- If you are re-sizing a scanned document, remove the checkmarks, if present, from **Print to file** and **Choose Paper Source**. Document measurements should change to 8.5 x 11.
- Click **[OK]** to print.

*[See screen shots on the following page for the above steps.]*

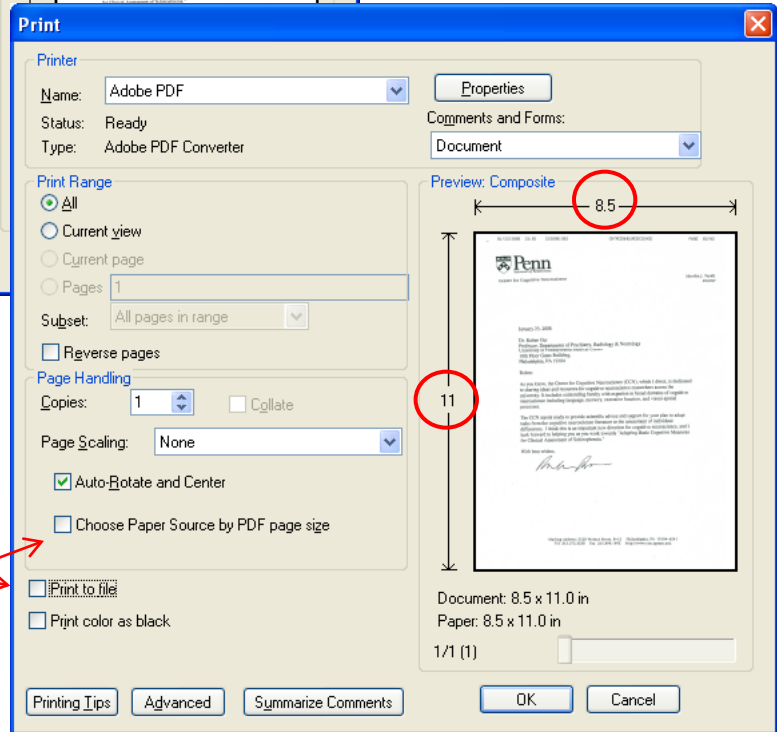
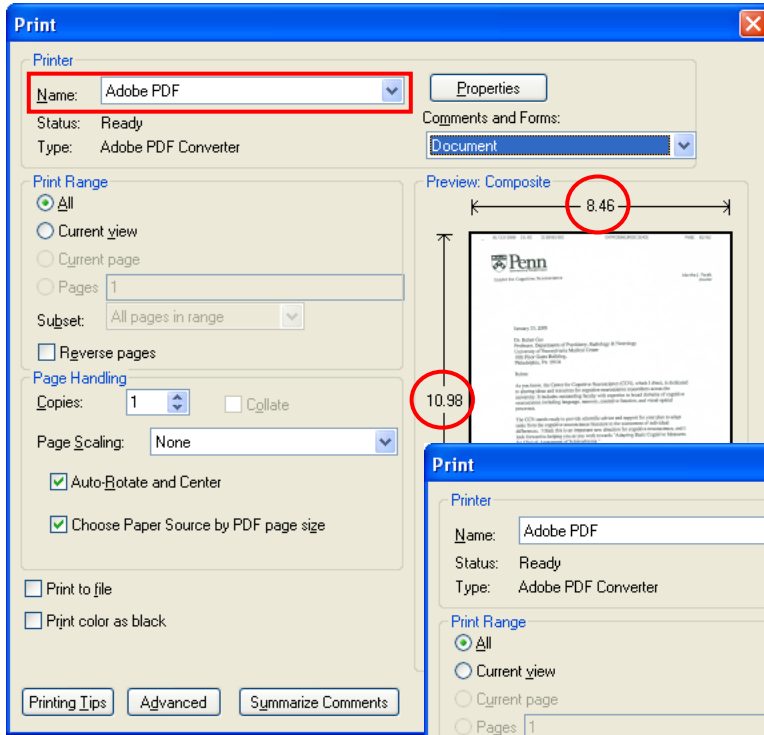
Follow these instructions on a Mac:

- Open the problem PDF in Preview.
- Choose "Print".
- In Print dialog window, in the PDF option list at the bottom left, choose "Save as PDF...".



## Check the New PDF

- Close the original document and open the new one.
- If the document was to be re-sized, check **Properties** to verify the **Page Size**.
- If the document had an electronic signature, verify the signature is still visible but the Signature Panel is no longer displayed at the top of the document.



Remove the checkmarks -  
the page size should  
change.



## How do I... change project/budget period dates or add or remove budget periods?

GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECHANISM OPT IN/OUT
<b>Project Period</b>				
<b>START</b>		<b>END</b>		
01-Oct-2021		20-Sep-2023		
<b>Shift Project Dates</b>				
	<i>New</i>	<i>Old</i>		
<b>Project Start</b>	<input type="text"/>	01-Oct-2021		
		20-Sep-2023		
	<b>-Or-</b>			
<b>Shift by</b>	<input type="text"/>	<input type="text" value="days"/>		
<b>Budget Period</b> <input type="button" value="Add"/> <input type="button" value="Delete"/>				
<b>BUDGET PERIOD</b>	<b>START</b>	<b>END</b>		
1	01-Oct-2021	30-Sep-2022		
2	01-Oct-2022	20-Sep-2023		

**Note:** After any change in dates, always review any budget data already entered to ensure that the budget figures are still as expected.

From the **Sidebar Menu**, select "Budget", then select "Setup".

### Adding and Deleting Budget Periods

Budget Period			<input type="button" value="Add"/>	<input type="button" value="Delete"/>
BUDGET PERIOD	START	END		
1	01-Jun-2022	31-May-2023		
2	01-Jun-2023	31-May-2024		

- Click **[Add]** or **[Delete]** to add or remove budget periods.
- Deleted budget periods cannot be restored with any previously entered data unless you have saved a version of the previous budget using the Versions function.

### Changing the Start and End Dates of the Project

Shift Project Dates		
	<i>New</i>	<i>Old</i>
<b>Project Start</b>	<input type="text"/>	01-Sep-2022
		31-Aug-2024
	<b>-Or-</b>	
<b>Shift by</b>	<input type="text" value="-3"/>	<input type="text" value="months"/>

- **"Shift by"**
  - This is the best and most reliable option to use, especially if some budget data has already been entered.
  - Both the start and end dates are shifted forward or backward by the number of days, weeks, or months designated by the user.

- **“Project Start”**
  - Entering a new Project Start date will also automatically adjust the Project End date based on the existing number of budget periods.
    - In the example above, changing the Project Start from 9/1/22 to 10/1/23 will also cause the Project End to change from to 9/30/25.

### Changing the Start and End Dates of Budget Periods

Budget Period			Add	Delete
BUDGET PERIOD	START	END		
1	01-Jun-2022	28-Feb-2023		
2	01-Mar-2023	30-Nov-2023		

- Enter the desired new Budget Period dates.
- This function is useful when the Project Period is not evenly divisible by 12 months, the length of a standard budget period.
- In the above example, the Project Period is 18 months. During proposal creation, PennERA automatically set up two Budget Periods, each one of 9 months.
  - User wants instead to have Period 1 = 12 months and Period 2 = 6 months.
  - Simply enter the desired dates, beginning with the Start Date for Period 2.
  - Working from the last period backward avoids possible overlapping period dates that can cause you to be caught in a validation loop.

Budget Period			Add	Delete
BUDGET PERIOD	START	END		
1	01-Jun-2022	31-May-2023		
2	01-Jun-2023	30-Nov-2023		

## How do I... view the cumulative budget totals?

Users can view budget accumulated values in several ways. The most commonly used is described below, but other options are available on this same screen.

Periods [show]	Sponsor [show]	Cost Sharing [show]	Project [show]
Year/Period	Total	Total	Total
1	74,014.87	13,248.14	87,263.01
2	75,078.18	13,645.57	88,723.75
	<b>\$ 149,093.05</b>	<b>\$ 26,893.71</b>	<b>\$ 175,986.76</b>

- Open the record and navigate to **Budget**.
- The accumulated costs for each period are displayed in a table at the top of the screen.
- The default view is the total Sponsor-requested costs, including any proposed cost-sharing, whether mandatory or voluntary.
- Each column has the option to be expanded (click **[show]**) to display the details of that column.

Periods [show]	Sponsor [show]	Cost Sharing [hide]				Project [show]
Year/Period	Total	Total Institution CS	Unallowables	F&A	Total	Total
1	74,014.87	13,248.14	-	-	13,248.14	87,263.01
2	75,078.18	13,645.57	-	-	13,645.57	88,723.75
	<b>\$ 149,093.05</b>	<b>\$ 26,893.71</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 26,893.71</b>	<b>\$ 175,986.76</b>

## How do I... create different versions of the budget?

Multiple budget versions can be generated after the initial budget has been created in the proposal record. The ability to have multiple budget versions does not impact the proposal submitted. Only the active budget version selected on the Versions screen will be included in the proposal submission package.

Edit Mode

**Versions**

Version Name:

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	<input type="text" value="Initial"/>	NEY, DONNA M	11/5/2019 1:08:57 PM	<input type="radio"/>	<a href="#">Download</a>	141,669.88	<a href="#">Remove</a>
1	Show	<input type="text" value="Version 2"/>	NEY, DONNA M	4/1/2020 1:20:35 PM	<input type="radio"/>	<a href="#">Download</a>	2,893,354.65	<a href="#">Remove</a>
2	Show	<input type="text" value="Version 3"/>	NEY, DONNA M	4/1/2020 2:16:13 PM	<input type="radio"/>	<a href="#">Download</a>	2,893,354.65	<a href="#">Remove</a>
3	Show	<input type="text" value="Version 4"/>	NEY, DONNA M	4/1/2020 3:20:19 PM	<input type="radio"/>	<a href="#">Download</a>	2,893,354.65	<a href="#">Remove</a>
4	Show	<input type="text" value="Version 5"/>	NEY, DONNA M	4/1/2020 3:21:17 PM	<input checked="" type="radio"/>	<a href="#">Download</a>	3,185,116.89	<a href="#">Remove</a>

- Navigate to Budget > Versions.
  - Enter the new budget name in the **Version Name** field.
    - Click **[Add New Version]**.
    - Go to the **Active** column and click on the newly added version to make it the active budget version.
- Click **[Budget]** in the **Sidebar Menu**.
  - The system will generate a copy of the last budget version created including Subcontracts.
  - Edit the budget as needed.
- It is not necessary to mark the budget Complete until the final budget version is selected.
- Budget versions can be downloaded to Excel on the Versions screen by clicking on **Download**.
- A budget version can be removed on the Versions screen by clicking **Remove** at the end of the line.
- If multiple budget versions have been added, check the Versions screen to verify the active budget version.

**Note:** In repeating the version creation process, the version that will be copied is the current active budget.

## How do I... enter academic/summer efforts?

S2S applications containing an R&R Detail Budget form have the option to include effort (person months) as Calendar, Academic, or Summer months. This is optional for most sponsors, but required by some, such as NSF.

- In **Budget**, open the Detail view for any listed person.
- Enter person months in the appropriate column(s):
  - At Penn, Academic months are based on a 9-month appointment, September-May; Summer months are June-August; Calendar months are a 12-month appointment.
  - If you collaborate with other institutions, they may have a different definition of these periods. Be sure to check with them.
  - Summer and Academic months may be combined with each other, but not with Calendar months.
  - The total months for any combination cannot be greater than the number of months in that period.

Detail		Appointments	Justifications	Cost Sharing	Effort Periods	Committed Effort		Save and Close	Se
<b>Costs by Budget Period</b>									
Person Months ▾ Show Calc									
PERIOD	ROLE	BASE SALARY	CALENDAR	ACADEMIC	SUMMER	SALARY	FRINGE BENEFITS	TOTAL	
1	Co-Investigator	100,000.00	0.00	1.50	3.00	37,500.00	Full-Time Fed... 11,062.50	\$ 48,562.50	
2	Co-Investigator <input type="checkbox"/> %	100,000.00	0.00	1.50	3.00	37,500.00	Full-Time Fed... 11,062.50	48,562.50	
<b>Total</b>						<b>\$ 75,000.00</b>	<b>\$ 22,125.00</b>	<b>\$ 97,125.00</b>	

## How do I... evaluate the budget for sponsor limits?

Many sponsors impose limits on their budgets. This section provides instructions about evaluating your budget in PennERA to see if those limits are being met or exceed.

### Determine the Limit

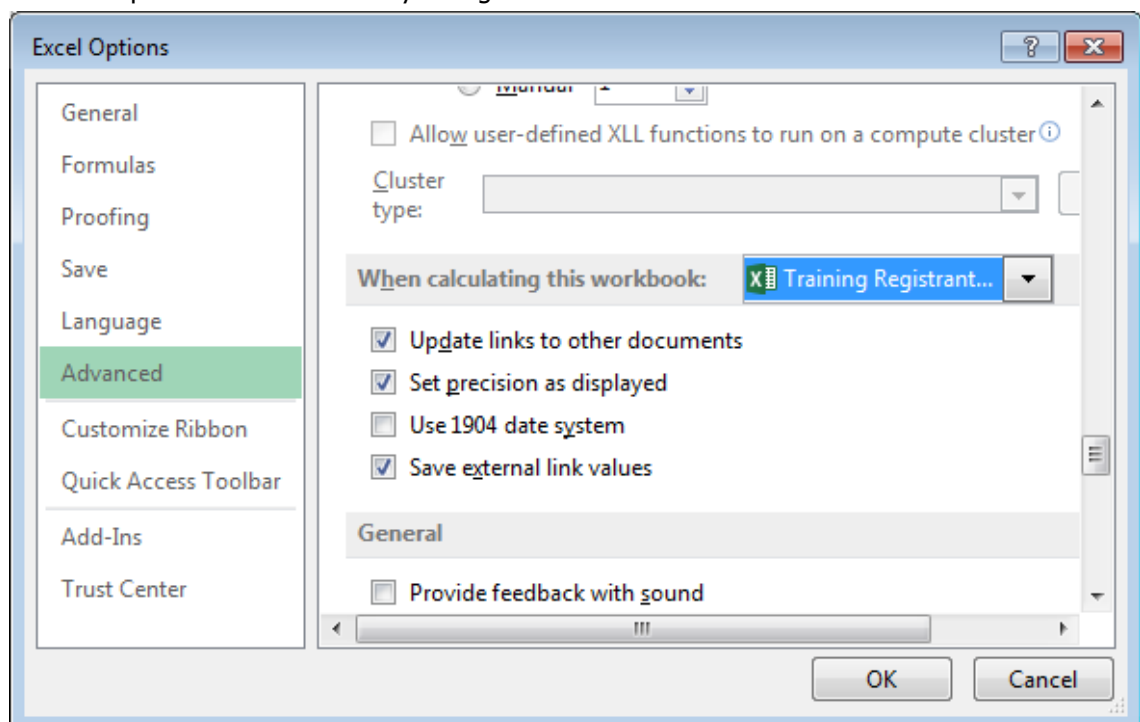
- Carefully read the Funding Opportunity Announcement (FOA) from the sponsor.
- Are the funding limits on:
  - Project and/or annual costs?
  - Total Costs, Direct Costs, or some other base?
- Pay close attention to the mathematical operator used. Is it:
  - = equal to?
  - > greater than?
  - < less than?
  - ≤ equal to *or* less than?
  - ≥ equal to *or* greater than?

### Understand the NIH Limit

- Most NIH applications have a standard limit, stated as: "...\$500,000 or more in direct costs in any year (excluding consortium F&A\*)...".
  - Wrong interpretation: "I can request up to \$500,000 per year."
  - Correct: "Direct costs (less subcontract F&A) must be less than \$500,000."
- In PennERA, this must be \$499,999.00.
- PennERA automatically validates for this amount and notifies users if it is exceeded.

### Before Entering the Budget

- If preparing a budget offline (e.g., an Excel spreadsheet), use Precision Calculation in Excel's Options before data entry is begun in PD.



- Failure to ensure precision calculations may return inaccurate display results.

- Actual entered or calculated values

D	E	F	G
		2.43	
		2.35	
	Total	4.78	

- Displayed values (decimal precision = no decimals displayed)

D	E	F	G
		2	
		2	
	Total	5	

- Displayed values after setting "precision as displayed"

D	E	F	G
		2	
		2	
	Total	4	

### Entering the Budget

- Follow all instructions for budget data entry found in this User Guide.
- Rounding may still cause minor variations from Excel even when Precision Calculation has been assigned to the Excel spreadsheet.
  - If you want to exactly match your spreadsheet, it is necessary to enter all values manually when copying your spreadsheet data to PennERA.
  - The PD budget escalation function cannot be used with this method.

### Reviewing the Completed Budget

- Always evaluate the built PDF forms, *not* the budget display in the PD record.
- The PDF of the budget forms can be built directly from the first **Budget** screen.
- Based on the following steps, use specific values in the budget forms to determine if a sponsor-mandated limit has been exceeded.

### Types of Limits and Budget Forms Reviewing Steps

- Project Total Costs
  - This is an overall project limit and includes Direct and Indirect (F&A) Costs. It may or may not have annual limits.
  - Go to R&R Cumulative Budget Page, "Section I, Total Direct and Indirect Costs (G+H)".
- Project Total Direct Costs
  - This is an overall project limit that does not include Indirect (F&A) Costs. It may or may not have annual limits.
  - Go to R&R Cumulative Budget page, "Section G, Direct Costs (A thru F)".
- Budget Period Total Costs
  - This is a limit on each Budget Period that includes Direct and Indirect (F&A) Costs.
  - Go to the third page of each Budget Period, "I. Total Direct and Indirect Costs".
- Budget Period Direct Costs
  - This is a limit on each Budget Period that does not include Indirect (F&A) Costs.
  - Go to the third page of each budget period, "G. Direct Costs".

## Review the SF424 Cover Page

- Once the complete forms package has been built (on **Finalize**), check the funding requested section to be sure that no rounding issues have caused this total to exceed the allowable limit.
- Also verify that the totals agree with the totals on the cumulative page of the budget forms.

## Additional Review Option

- Once the complete forms package has been built (on **Finalize**), check the funding requested section on the SF424 cover page to ensure that no rounding issues have caused this total to exceed the allowable limit.
- Also verify that the totals agree with the totals on the cumulative page of the budget forms.
- While entering data, you can also view the cumulative totals on the primary **Budget** screen. See [How do I... view the cumulative budget totals?](#)

## Changing Decimal Precision to Control Rounding Issues

If you are entering a budget that is aiming to exactly meet the sponsor's limit, you may wish to consider changing the decimal precision in PennERA to reduce potential rounding issues.

Important points:

- **Once this change has been made, you cannot recover the prior version of the budget with the decimal calculations.**
  - If you have created multiple versions of this budget, you will be able to use that option if you saved a decimal version of the budget just prior to making this change and created a new version with no decimal values. See [How do I... create multiple versions of the budget?](#)
- Do not make this change until all budget data has been entered.
- It is recommended that you at least initially evaluate the budget using the steps above before resorting to this change.

To make this change, navigate to **Budget > Setup > General**. Change the Decimal Precision value to "0". This change functions much like having no decimal values in your Excel spreadsheet.

GENERAL	PERIOD/DATES	CHANGE PI	BUDGET SOURCES	MECHANISM OPT IN/OUT
<b>Use Scheme dates or Project Anniversary for inflation dates?</b>				<input type="radio"/> Scheme <input checked="" type="radio"/> Anniversary
<input type="checkbox"/> <b>Display Quantity and Unit Columns in Budget Detail</b>				
<b>Default Person Months/Percent Effort Picklist on the Personnel Tab</b>				% Effort
<b>Default Person Months/Percent Effort Picklist on the Budget Tab</b>				% Effort
<b>Decimal Precision</b>				0



## How do I... manually adjust F&A?

Facilities and Administrative costs (F&A) can be manually entered or automatic calculations adjusted:

- Generic records that do not have a federal sponsor do not automatically calculate and require manual data entry. This includes those that are federal flow-through records, since the Proposal Sponsor is *not* a federal agency.
- Certain expenses do not incur F&A charges, but there is no appropriate Budget Category to select. A good example is genomic array expense for NIH applications.
- The federal sponsor may require rates that are not part of the negotiated rate agreement, such as for training grants and fellowships, or as in USDA F&A requirements.

### Features

- Change automatic calculation in federally sponsored proposals to a specified rate or scheme other than the default setting.
- Manually enter F&A when automatic calculation is not possible.

### Default Setting and Calculation

PennERA automatically defaults to this setting:

<b>Base</b> Show	<b>Rate</b>	<b>Effective</b>
Research	Research (on campus)	

- In a generic record, no F&A will be calculated.
- In an S2S record, the negotiated on-campus Research rate will be used to calculate F&A.

### Make Changes to Automatic Calculation in S2S Records

PennERA automatically calculates F&A for all records where the sponsor is a federal agency.

- No Manual F&A adjustment should be done in an S2S record to adjust for what appears to be incorrect calculations. Always contact [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu) to discuss any concerns you have about the accuracy of automatic calculations.

**Note:** The F&A screen may be restored to its default state at any time. This is useful if you need to make changes or realize you made a mistake in the changes you've made.

- At the top of **F&A**, restore **Base** to "Research" and **Rate** to "Research (on campus)", then click .

<b>Base</b> Show	<b>Rate</b>	<b>Effective</b>	<input type="button" value="Apply"/>
Research	Research (on campus)		

### *Changing calculation to a different negotiated rate*

A discussion of Penn's negotiated rates may be found in the [Negotiated Rate agreement](#). Expanded information about the [Research F&A Definitions](#) is also available.

In records with automatic calculation, the default settings are for **Base** = Research and **Rate** = Research (on campus). To change to another appropriate setting (after reviewing the definition and rate information above), follow these steps at the top of **Budget > F&A**:

- Select an appropriate **Base** and **Rate**, then click **[Apply]**.

The screenshot shows the F&A form with the following settings:

- Base**: Research
- Rate**: Research (on campus)
- Effective**: [Empty]
- Apply**: [Highlighted]

Below the form, two dropdown menus are shown:

- Base dropdown**: Research, **Instruction** (checked), Other Sponsored Program
- Rate dropdown**: Manual Entry, Instruction (off campus), Instruction (on campus), Other Sponsored Program (off campus), Other Sponsored Program (on campus), Research (off campus), **Research (on campus)** (checked), Research DOD Contract

### *Changing calculation to a sponsor-specified rate not part of the negotiated rate agreement*

Federal agencies may propose rates other than one of our negotiated rates in the Funding Opportunity Announcement (FOA). Common examples are for Fellowships (usually 0%) and certain training and similar types of awards (e.g., 8%).

To change to a specific rate that is not part of our negotiated rate agreement, follow these steps, using the screen shots from the previous section as a guide:

- Change **Rate** to "Manual Entry".
  - Leave **Base** set at Research; "Manual Entry" will automatically override **Base** setting.
  - An additional numeric **Rate** field will appear.
- Enter the numeric rate.
  - Do not convert percentage to a decimal value.
  - Do not enter a percentage symbol.
- Click **[Apply]**.

The screenshot shows the F&A form with the following settings:

- Base**: Research
- Rate**: Manual Entry
- Rate**: 8.000
- Effective**: [Empty]
- Apply**: [Highlighted]

### **Make Changes to Manually Enter F&A Information in Generic or S2S Records**

*When should I use this option?*

- In any generic record that does not have a federal sponsor.
- When special circumstances require an exception to the negotiated rate agreement in a federal record that cannot be automatically calculated. An example of this kind of situation is for genomic array expense entry for NIH proposals.

*Initiate the F&A screen to begin manual entry*

- Click **Manual F&A** at the top right of the screen.
- **No** changes are made at the top of the screen to either **Base** or **Rate**.
  - Especially do not use "Manual Entry" in the **Rate** selection list.

- Let the screen refresh and note that there are several editable locations.

*Enter a specific rate and Sponsors F&A Base*

This method will calculate the F&A for you. It's assumed that you are able to determine the correct Sponsor F&A Base by use of an external spreadsheet.

- Navigate to the bottom of the screen, to **F&A Breakdown**.
- Enter the Base and the Rate in the appropriate columns.
- As you enter, PennERA will automatically calculate the Amount.
- Click [**Save**] at the top left.

**F&A Breakdown**

PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT
1 <a href="#">Detail</a>	01-Jul-2020	30-Jun-2021	MTDC	42.875	100,000.00	42,875.00
2 <a href="#">Detail</a>	01-Jul-2021	30-Jun-2022	MTDC	42.875	103,000.00	44,161.25
3 <a href="#">Detail</a>	01-Jul-2022	30-Jun-2023	MTDC	42.875	106,090.00	45,486.09

*When it's a federal flow-through generic record*

Use the same steps as above, but note that the default F&A Rate for each Budget Period is already the basic research on-campus negotiated rate, which may not need to be changed.

- If any Budget Period has more than one rate, PennERA will have two segments in that Budget Period.

**F&A Breakdown**

PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT
1 <a href="#">Detail</a>	01-Jan-2020	31-Dec-2020	Research	62.000	144,000.00	89,280.00
2 <a href="#">Detail</a>	01-Jan-2021	30-Jun-2021	Research	62.000	79,200.00	49,104.00
<a href="#">Detail</a>	01-Jul-2021	31-Dec-2021	Research	62.500	79,200.00	49,500.00
3 <a href="#">Detail</a>	01-Jan-2022	31-Dec-2022	Research	62.500	166,320.00	103,950.00
4 <a href="#">Detail</a>	01-Jan-2023	31-Dec-2023	Research	62.500	161,330.40	100,831.50
<b>Total</b>					<b>\$ 630,050.40</b>	<b>\$ 392,665.50</b>

- You must retain this structure so that the correct information is included in the data stream for that Budget Period.
  - The data needs to include two separate lines in the Adobe forms for the F&A, one for each rate segment.

H. Indirect Costs			
Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)*
1 . Research	62	79,200.00	49,104.00
2 . Research	62.5	79,200.00	49,500.00
Total Indirect Costs			98,604.00
Cognizant Federal Agency		DHHS, Michael Stanco, (212) 264-2069	
(Agency Name, POC Name, and POC Phone Number)			


*Adjusting just one expense in an automatically calculated F&A screen*

Sometimes you may need to exclude just one expense item from the F&A calculation. When this is necessary, follow these steps:
















- Don't change to a manual calculation until all budget entry is completed.
  - If you need to make later changes to the budget, it's OK, but these steps will have to be repeated.
- After the automatic calculation has completed, click  at the top right of the screen.
- Scroll down to the specific expense line that needs to be excluded.
- Delete values in Sponsor F&A Base and Requested F&A.
- Click **[Save]** in upper left corner.
- In the example below, the blue-shaded cells indicate where a manual adjustment was made to the automatic calculations.

Non-Personnel Costs				
	PERIOD 1	PERIOD 2	PERIOD 3	TOTAL
<b>Participant Other</b>				
Sponsor Directs	12,350.00	12,844.00	13,357.76	38,551.76
Sponsor F&A Base	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	38,551.76
Requested F&A	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	24,033.10

## How do I... save or print a copy of my proposal?

A user can print or save a PDF copy of the proposal by locating the proposal record, then navigating to the **Finalize** screen from the **Sidebar Menu**. Then, select  under the heading **Edit** to view a PDF version of the proposal. At this point, the user may print out the PDF document or save it to his/her local drive.

Current Submission

FORM/DOCUMENT NAME	EDIT	STATUS	UPLOAD	REMOVE
Certification by Principal Investigator (Certification)		Completed		Mandatory
Proposal Transmittal Form (Transmittal)		Completed		Mandatory
Export Control - Agreement Review (Export Control Review)		Completed		
Fertig_UPenn_Letter_Statement of Intent2-26-2019-signed.pdf		Completed		
LOI-Signed.pdf		Completed		
Assembled Doc		Completed		

- If this is an S2S submission, this is a close approximation of the application as it will be electronically assembled by the federal sponsor. There may be some variations in organization, but the content should be complete.
- If this is an S2S submission to NIH, the best file to save is the Grant Image generated by NIH in the pre-submission validation check – SVS. This is an exact replica of the final package as NIH will assemble it. However, it will not contain the cover letter or any appendix material uploaded, as NIH does not include those in the application package itself.
- If this is a generic record, there are no budget forms built into the assembled document – only the PennERA-built cover page and any user-uploaded documents are included in the assembled document.

[Validation & Submission to Grants.gov](#)

[NIH Commons Validation](#) [NIH Pre-Submission Validation](#)

Date/Timestamp	Result	Description	Grant Im...	Delete I...
05-Mar-2019 10:32:26 AM	OK	No errors/warnings	<a href="#">View</a>	N/A
04-Mar-2019 5:16:31 PM	OK	No errors/warnings	<a href="#">View</a>	<a href="#">Delete</a>

## How do I... locate a proposal record?

Investigators can view all their PennERA Proposal Development records by selecting "Show/List" in the **Sidebar Menu**. They can also use the **Search For** features described below.

Support staff (BAs, etc.) have access to all proposals in specific ORG(s) for which they have approved access. Select "**My Proposals**" from the **Sidebar Menu**, and select "**Search For**".

- This option initially displays seven common search fields that can be used. Some are predictive text search fields that contain shaded, italicized text (see screen shot below), and some are simple data entry fields, such as a specific **Proposal number**.
- Choosing "**Show Additional Search Options**" displays another series of fields to search for the desired proposal.
- More than one search field may be used at a time to refine the search parameters.
- Some fields permit use of a wild card (\*), such as **Title**.

**Proposals - Search For** Locate Clear All

Use \* for wildcard

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"/>
PI	<input type="text" value="Investigator Name"/>	Primary Assoc Dept	<input type="text" value="Department Name"/>
Open by Fund	<input type="text"/>		

**Show Additional Search Options**

**Proposals - Search For** Locate Clear All

Use \* for wildcard

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"/>
PI	<input type="text" value="Investigator Name"/>	Primary Assoc Dept	<input type="text" value="Department Name"/>
Open by Fund	<input type="text"/>		


**Additional Search Fields**

Title	<input type="text"/>	Project Status	<input type="text"/>
Sponsor Type	<input type="text" value="Sponsor Type"/>	Deadline	<input type="text"/> - <input type="text"/>
Sponsor Opportunity	<input type="text"/>	Requested Start Date	<input type="text"/>
Number	<input type="text"/>	Requested End Date	<input type="text"/>
PI Department	<input type="text" value="Department Name"/>	Awarded Start Date	<input type="text"/>
Investigator	<input type="text" value="Investigator Name"/>	Awarded End Date	<input type="text"/>
Investigator Dept.	<input type="text" value="Department Name"/>	Award Date	<input type="text"/>
Award Number	<input type="text"/>	Grants.gov ID #	<input type="text"/>
Protocol Number	<input type="text"/>	Sub Contractor #	<input type="text"/>
Proposal Type	<input type="text"/>	Originating Sponsor	<input type="text" value="Sponsor Name"/>
Approval Date	<input type="text"/>		
Activity Code	<input type="text"/>		

**Hide Additional Search Options**

## How do I... determine the status of a proposal that's been submitted for internal review?







A user can determine where a proposal is in the review process by navigating to either **Internal Documents** or **Finalize** from the **Sidebar Menu** in the proposal record, then accessing **Active Routing Progress** (for proposals still in route) or **Route History**.

- Current Proposal Status is displayed at the top right in this section.
- Horizontal and vertical scrollbars are available in the **Active Routing Progress** window.
- A better view is obtained by clicking  to access details of the routing and status.

Current Proposal Status: **Under Review**

Components for **Initial Application**

Current Submission

FORM/DOCUMENT NAME	EDIT	STATUS	UPLOAD	REMOVE
Certification by Principal Investigator (Certification)		Completed		Mandatory
Proposal Transmittal Form (Transmittal)		Completed		Mandatory
Assembled Doc		Completed		

[Add Institution Forms/Supporting Documents](#)

### Active Routing Progress

Open Full

10056196-01 - DR. DANIEL E "SYNTHESIS, EXPLOITATION, ANALYSIS, AND BELIEF for KODITSCHEK PHD  
AUTONOMOUS SENSOR SYSTEMS (SEABASS) "

Submitted by MARK WEST on behalf of DR. DANIEL E KODITSCHEK PHD

Route Name	Route Type	Step Number/Name	Who	Notified
Dept./School Review	Pre-Review	Step 1 - Department Review	MARK WEST	06-Mar-2019 10:31:01 AM
Dept./School Review	Pre-Review		TOWANDA R MARNER	06-Mar-2019 10:31:02 AM
Dept./School Review	Pre-Review		AMY DEITZ	06-Mar-2019 10:31:01 AM
Dept./School Review	Pre-Review		William Burns	06-Mar-2019 10:31:01 AM
Dept./School Review	Pre-Review		GAIL P SHANNON	06-Mar-2019 10:31:01 AM

## **Appendix B: Best Business Practices**

### **Naming Conventions for Files to Be Uploaded**

- Create separate folders for the attachments needed for each proposal.
- Name Word Documents and PDF files similarly to those in Proposal Development (Summary, Aims, etc.) to make them easier to retrieve.
- Follow the sponsor's instructions for such issues as:
  - Filename length (< 50 characters).
  - No special characters.
  - No duplicate names, even for temporary, "placeholder" uploads.
- Use a different name when replacing previously uploaded files.

### **Working Collaboratively Across Schools**

- Security for proposals is established by central administrators.
- PIs have access to all proposals on which they are the primary PD/PI, or "Contact" PD/PI for multiple-PI records.
- Business Administrators have access to proposals that are submitted under their ORG numbers, as well as proposals using one of their ORGs as a secondary Associated Department.
- If working with another School/Center or non-authorized ORG, users can designate authority to others.
- From the Navigation Menu select **Profile > Delegation > [Add]** and select the person you will be working with on the proposal. Determine if he or she is to have View or Edit access to your proposals.
  - Delegation grants access to all proposals for a PI, not just a specific record.



## Appendix C: PennERA Proposal Development Frequently Asked Questions (FAQs)

- [Where can I find out how to do things in PD that I've forgotten from training and aren't questions in this FAQ?](#)
- [My PI can't remember their PennKey and password. How do they reset their password?](#)
- [Many people work on grants in my department. Who should create the proposal record?](#)
- [Where can I find out if a proposal should be created and submitted using PennERA Proposal Development \(PD\) and which proposals should be created as system-to-system \(S2S\) or generic \(non-S2S\) records?](#)
- [The PI created the proposal and answered the Setup Questions. The wrong Program Announcement/funding opportunity was selected. How can it be changed to the correct one without losing all my work?](#)
- [The department \(ORG\) that will manage the grant is different from the PI's Home Department and the department showing as the Primary Associated Department. How do I change the Primary Associated Department?](#)
- [How do I add Other Significant Contributors?](#)
- [How do I add Personnel with 0% effort \(e.g., Mentors, Consultants without measurable effort\)?](#)
- [When do I need to make a manual F&A adjustment? What are the steps?](#)
- [How can I download and save a copy of the proposal on my computer?](#)

**Q:** [Where can I find out how to do things in PD that I've forgotten from training and aren't questions in this FAQ?](#)

**A:** Go to the [Proposal Development Reference Materials](#) section of the PennERA website to view our support documents, including the Proposal Development User's Guide, various Quick Reference Guides on specific topics (e.g., NSF S2S submissions), and miscellaneous other documents including PowerPoint presentations.

**Q:** [My PI can't remember their PennKey and password. How do they reset their password?](#)

**A:** If you do not have a PennKey, or if you have a PennKey but forgot your password, go to the PennKey support website for more information at <https://pennkeysupport.upenn.edu/>. If you have any trouble with the PennKey process, contact your Local Support Provider. For a contact list, go to <https://www.isc.upenn.edu/get-it-help>.

**Q:** [Many people work on grants in my department. Who should create the proposal record?](#)

**A:** There is no one correct answer to this question. Different organizations within the University do business in different ways. What works best in one organization may not be the best choice for another. If your School/Center has given instructions that the proposal create step should be done by an individual with a specific role (for example the PI or the BA), please follow those instructions.

The most important point is that regardless of whether the original proposal record is created by the PI or by staff, communications between those involved are essential. All those involved in the proposal process in your area should understand who will create the record and when it then is available. The individual who does create the original proposal record should be sure that both the PI and the Primary Associated Department are assigned correctly to the record. This helps ensure that the appropriate secured access is available to those who need it. We expect that staff creating and completing proposal records, other than the PI, will have had the appropriate PennERA training.

**Q:** Where can I find out if a proposal should be created and submitted using PennERA Proposal Development (PD) and which proposals should be created as system-to-system (S2S) or generic (non-S2S) records?

**A:** All new and competitive renewal submissions should have a new record created in PennERA. If the proposal is being submitted to Grants.gov, check our [Proposal Development Reference Materials](#) for information about S2S submissions. Nearly all Grants.gov submissions are electronically processed as S2S from PennERA, and the Help Desk team will have the most current information.

If the proposal is not being submitted through Grants.gov, a generic record should be created. Noncompeting applications or revisions to existing awards (supplementals) should not have a new record created in PennERA; a child record should be created for these types of submissions. If you are not certain what to do, contact the PennERA Help Desk at [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu).

**Q:** The PI created the proposal and answered the Setup Questions. The wrong Program Announcement/funding opportunity was selected. How can it be changed to the correct one without losing all my work?

**A:** Because of the wide variety of screen templates used, please contact the PennERA Help Desk at [PennERAhelp@lists.upenn.edu](mailto:PennERAhelp@lists.upenn.edu), providing the correct FOA # and the proposal (institution) #. The Team will provide you with appropriate next steps.

**Q:** The department (ORG) that will manage the grant is different from the PI's Home Department and the department showing as the Primary Associated Department. How do I change the Primary Associated Department?

**A:** Go to **Setup Questions** in the proposal record and then in the **General Proposal Properties** section of the screen, click the **Add** link just to the right of Associated Departments. This will launch a "Departments" window. In this new window, choose the desired ORG value by starting to type either the ORG number or a known keyword in the ORG description. When the ORG you want is displayed, click to choose it, then click [**Select**] at the top right of the window.

This will return you to the **Setup Questions** screen and the ORG value with description will have been added to the list of Associated Departments for this proposal. This newly added department needs to be the Prime Associated Department, so click the Prime radio button to the right of the ORG description. Next click  in the upper left corner of the screen. The screen will refresh as it saves and the new ORG will now be listed first in the list with Prime radio button selected.

The original ORG value can remain in the list of **Associated Departments** if a subaccount will be requested for that ORG if the project is funded. It can be removed by clicking **Remove** to the right of the ORG name.

**Q:** How do I add Other Significant Contributors?

**A:** This entry is added on the Personnel screen. For Penn personnel, select "Personnel Type = Other Significant Contributor". For non-Penn personnel who are not part of a SubAward, the entry is different, because their Institution must now be selected before they can be added. The Personnel Type to select is "External Consultant – Other Significant Contributor". Their institution is then entered and if not found, you will need to provide the PennERA Help Desk with the institution's information including their DUNS number. PennERA will add entries with either one of these Personnel Types as Key and automatically use the Role of Other Significant Contributor.

**More Info:** See pages 55-57 in this User's Guide for further details on [Other Significant Contributors](#).

**Q:** How do I add Personnel with 0% effort (e.g., Mentors, Consultants without measurable effort)?

**A:** Personnel who need to be added with no effort (and are not *Other Significant Contributors*) must be added using one of the "Consultant" Personnel Types (Consultant – Key; Consultant – Non-Key; External Consultant – Key; External Consultant – Non-Key). This is a system type and does not affect the role on the proposal. The desired project role should still be entered.

**More Info:** For the *Mentor* example, see the Quick Reference Guide for NIH K Proposals: <https://researchservices.upenn.edu/document/pennera-proposal-development-nih-career-development-k-proposals/>.

**Q:** When do I need to make a manual F&A adjustment? What are the steps?

**A: When?**

- Manual F&A is usually only necessary in generic records with a non-federal sponsor.
- Manual F&A in an S2S record should only be done if the rate needs to be changed, such as in T32's or K's that use an 8% rate.

More Info: See pages 121-124 in this User's Guide for further details on [Manual F&A adjustments](#). Specific types of changes are described, and steps are provided for each situation.

***Important Note:*** *If you believe PennERA's default calculations are incorrect, please contact the Help Desk **before** you make any changes.*

**Q:** How can I download and save a copy of the proposal on my computer?

**A:** The proposal can be downloaded (or viewed or printed in its entirety) only after all the screens in the proposal record have been completed, and on the Finalize screen, the PDF for each of the Form Pages has been built and the Assemble Application step has been completed.

On the Finalize screen, go to the Submit for Internal Review section. Under the Components for Initial Application subsection, Proposal is listed. On the Proposal line, click on the **View** icon for the Completed Form. It will launch a window containing a PDF rendering of the entire proposal. The proposal PDF can then be saved, printed, or viewed by selecting the corresponding Adobe Acrobat/Reader icons (diskette, printer, or page navigation arrows) from the window's toolbar.

If this is an NIH submission, the best option is to open and save the Grant Image available after the NIH pre-submission validation is run (SVS).