UNIVERSITY of PENNSYLVANIA

PennERA
Electronic Research Administration

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

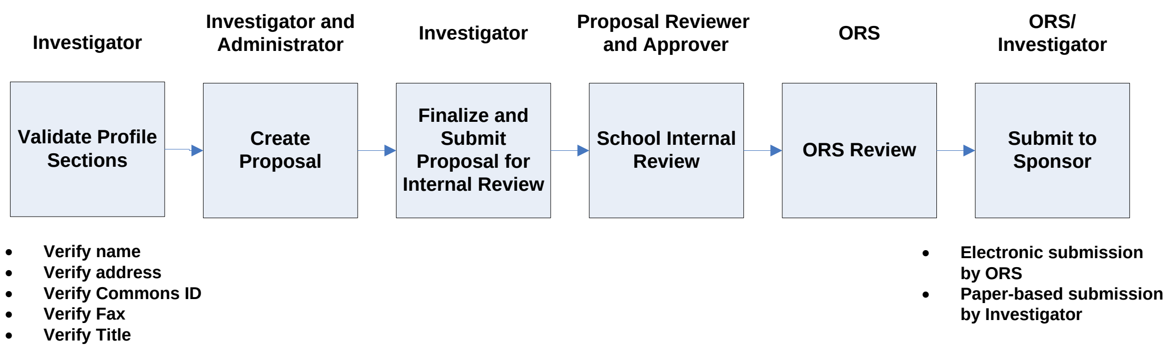
System Features and Process Overview

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., UEI#, 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.*

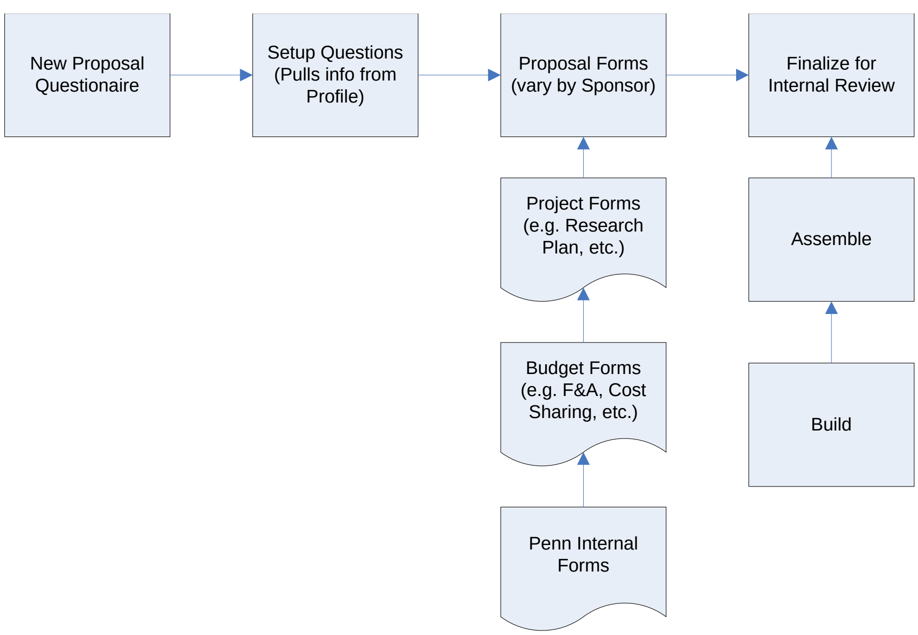
Investigators should make any changes to their Profile information before they begin using PennERA to create proposals, so that the information will be incorporated into any proposals created.

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.

Create Proposal Process



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 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 **Contact PennERA Help** link in the banner of the PennERA Portal to contact the helpdesk.
  Contact PennERA Help
- Send an email with your question or a description of the problem to PennERAhelp@lists.upenn.edu.

Record Number and What It Means

The Record 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 they are 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 "My Profile" and click "Delegates" towards the bottom of the side menu to delegate authority to an individual.

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 Sidebar of the PennERA Portal Home page. 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:

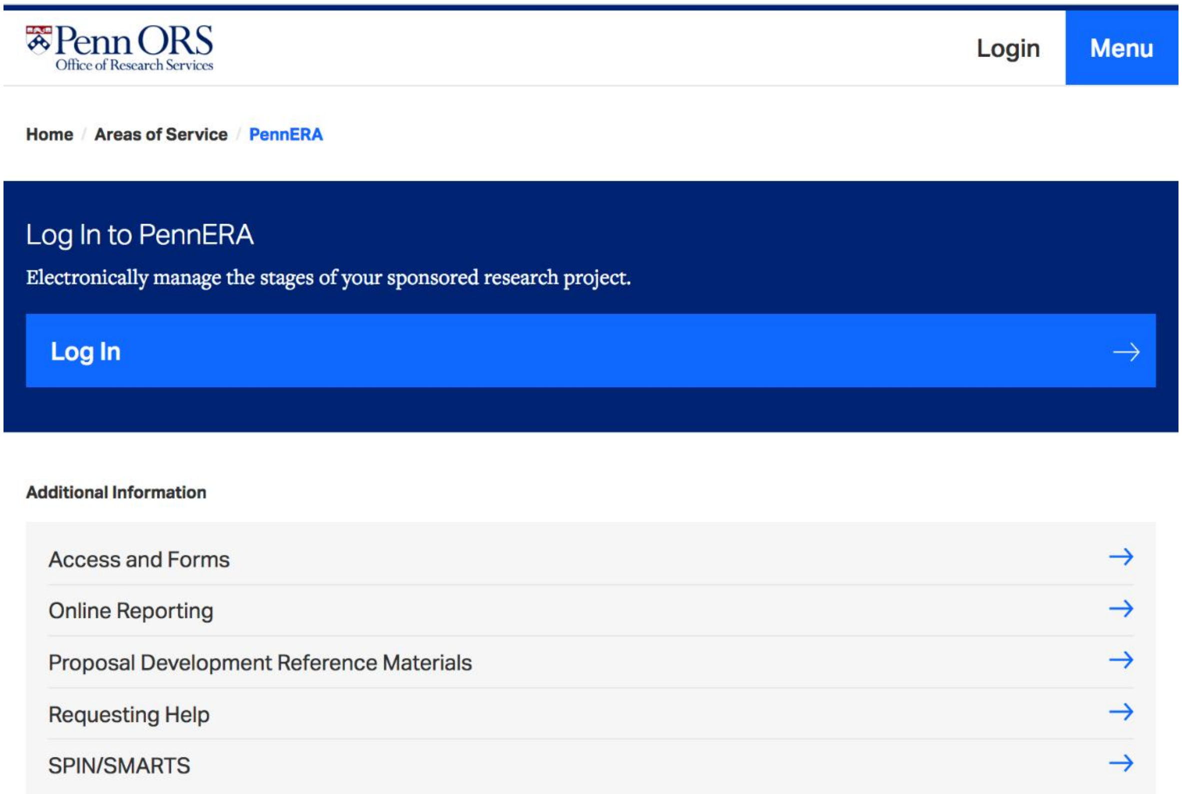
Common Icons

Done	Done	Located on the top left of a Proposal page, closes the proposal that you're working on. It is important to click **[Done]** 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	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 **[Save]** button when exiting the page.
	Edit	Opens the corresponding form or page in edit format, security level permitting.
	Remove	Removes, or deletes, the corresponding item, security level permitting.
	View	Opens the corresponding form or page in view format, security level permitting.
Upload	Upload	Uploads an attachment located after browsing your directories.
Replace	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	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	Access Log	Shows 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 **Personnel**, 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/.

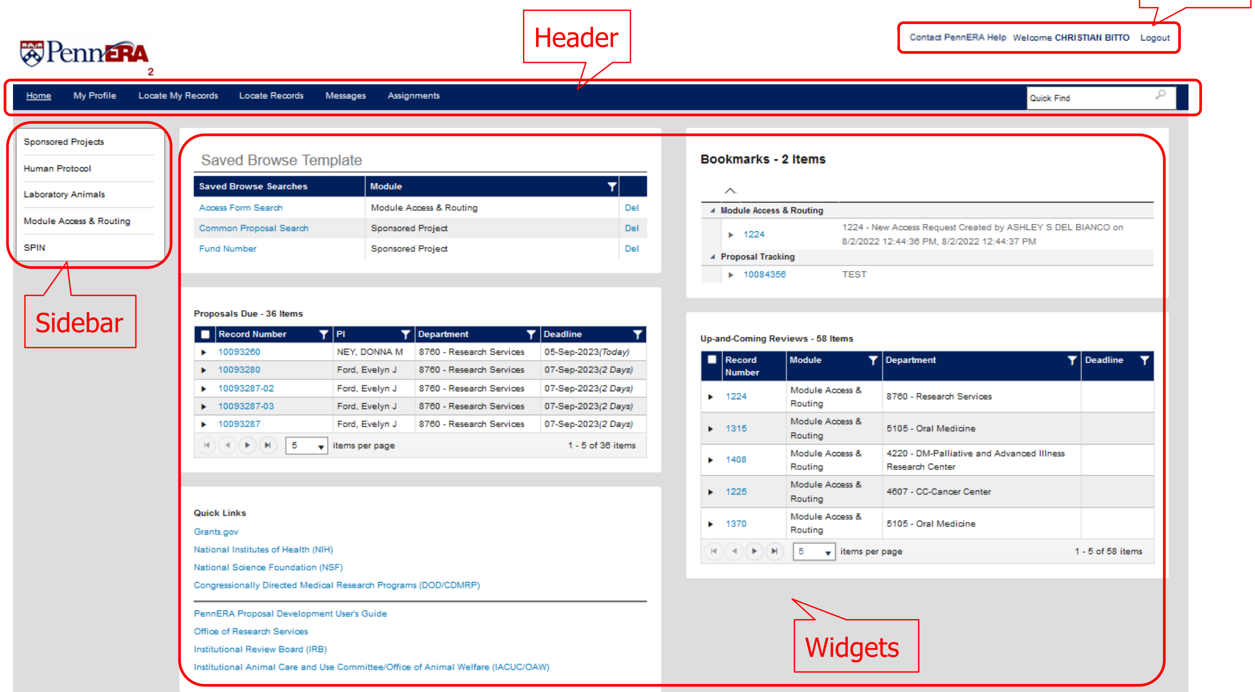
You will need your PennKey and Password to authenticate and enter the application. Information on PennKey can be found at http://www.upenn.edu/computing/pennkey/.



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

PennERA Portal

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



- The PennERA logo at the top of the PennERA Portal is embedded with the **Banner** and shows which server number is being used.
- The **Header** contains navigation to Home, My Profile, Locate My Records, Locate Records, Messages, and Assignments. Users can also access the Quick Find search bar here.
- The **Widgets** in the center of the Home page are for the convenience of the user. The Widgets are: Saved Browse Template, Bookmarks, Proposals Due, Up-and-Coming Reviews, and Quick Links.
- The **Sidebar** on the left side of the screen is used to access the different PennERA modules and the SPIN (funding opportunities) database.

Banner

- **Contact PennERA Help** – Opens an email to contact the PennERA Help Desk.
- **Logout** – Exits you from PennERA.

Header

- **Home** - Returns user to main screen displaying the Widgets.
- **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 "Getting Started with Proposal Development" for additional information.
- **Locate My Records** - Displays a list of all records for which the current user is the PI / Record Owner.
- **Locate Records** – Overlays a window on top of the Portal which allows the user to locate records using a variety of search criteria across each of the PennERA modules (Sponsored Projects, Human Protocol, Laboratory Animals, and Modules Access & Routing).
- **Messages** - Messages received from the PennERA internal messaging system.
- **Assignments** - Items requiring user action, for example, review and approval of proposals. This was formerly known as *Action Items*.

- **Quick Find** – A search bar that allows users to locate records with simple criteria of either the PI Last Name, Record Number, Title, Sponsor, or Fund Number.

Widgets

- **Saved Browse Template** – Users can save their frequently used search criteria to use as a template when locating records later. Certain search criteria templates will be pre-loaded to start with for all users.
- **Bookmarks** – Users can Bookmark frequently used records across any of the PennERA modules, which will display here. Users can later Remove the bookmark designation from the record.
- **Proposals Due** – This displays all proposal records the user has security access for that have upcoming deadlines.
- **Up-and-Coming Reviews** – This displays all records where the user is in the routing path. The records here have been routed but are not yet ready for review/approval at the user's step. This is intended to show you what will be coming your way soon.
- **Quick Links** – Provides useful resources for research administration both internal and external to Penn.

Sidebar

- **Sponsored Projects** – Create new and locate existing Proposal records.
- **Human Protocol** – Create new and locate existing Human Protocol records.
- **Laboratory Animals** – Create new and locate existing Lab Animal records.
- **Module Access & Routing** – Request new or modify existing access to PennERA and request inclusion in routing and review process.
- **SPIN** – Opens the SPIN (funding opportunities) database, enabling easy access to new funding opportunities.

Working in the PennERA Portal

Overview

After logging into the application, the **Home** page of the PennERA Portal displays widgets designed to enhance user experience and make it easier to access needed records.

General Features

- To access a record, click on the hyperlinked **Record Number** and then choose Proposal Development (PD) or Proposal Tracking (PT) to Edit or View.
- Bookmarking a record will populate it in the **Bookmarks Widget**.
- Users can locate records from either **Locate Records**, through the **Widgets**, or by using the **Quick Find** feature.
- To expand the information on a specific record item, click on the arrow in the left most column of a given table view display. Click again to collapse.

Assignments and Messages

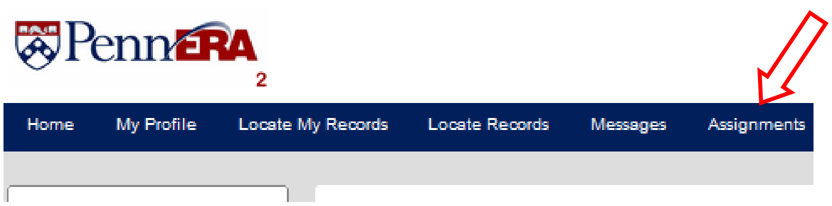
PennERA messages are site mail or messages sent within the PennERA application. Users who are required to approve a record will be sent a University e-mail and may access the record to be approved through Messages or Assignments.

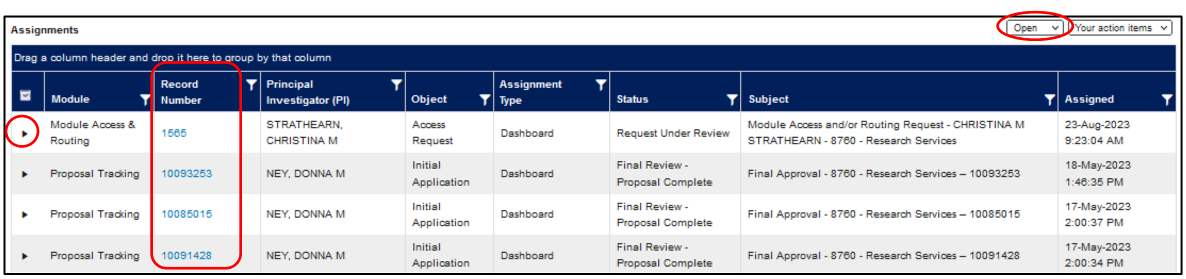
Assignments

Overview

Users can navigate to Assignments from the Header on any PennERA Portal page. Assignments are items awaiting the user's review and/or approval, such as proposals.

- Click on the hyperlinked **Record Number** to open the Reviewer Dashboard for a specific item.
- Previously reviewed and completed items may be located by changing the view from **Open** to **Closed** in the upper right corner.
- Additional information regarding each record listed can be found by clicking the arrow in the left-most column to expand. Click the arrow again to collapse.





	Module	Record Number	Principal Investigator (PI)	Object	Assignment Type	Status	Subject	Assigned
▸	Module Access & Routing	1565	STRATHEARN, CHRISTINA M	Access Request	Dashboard	Request Under Review	Module Access and/or Routing Request - CHRISTINA M STRATHEARN - 8760 - Research Services	23-Aug-2023 9:23:04 AM
▸	Proposal Tracking	10093253	NEY, DONNA M	Initial Application	Dashboard	Final Review - Proposal Complete	Final Approval - 8760 - Research Services – 10093253	18-May-2023 1:46:35 PM
▸	Proposal Tracking	10085015	NEY, DONNA M	Initial Application	Dashboard	Final Review - Proposal Complete	Final Approval - 8760 - Research Services – 10085015	17-May-2023 2:00:37 PM
▸	Proposal Tracking	10091428	NEY, DONNA M	Initial Application	Dashboard	Final Review - Proposal Complete	Final Approval - 8760 - Research Services – 10091428	17-May-2023 2:00:34 PM

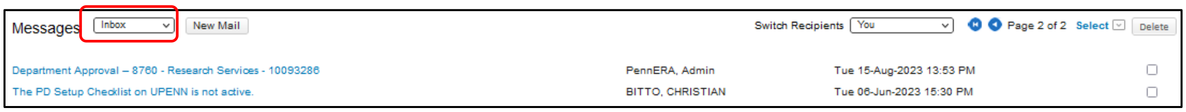
Messages

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.

Users can navigate between their Inbox, Drafts, Saved, Sent, Deleted folders, and Preferences by changing the view in the upper left corner.



Features

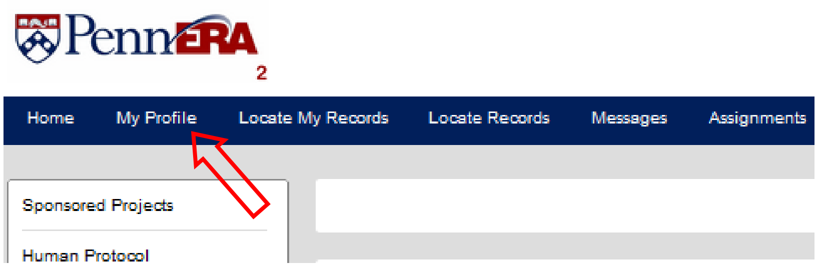
Below is an example of an "Approval Needed" message. At the top of the message are icons that will allow you to manage your messages. In the body of the message is a link to open the reviewer dashboard to approve or disapprove the proposal.

Open Reviewer Dashboard to enter decision.
This link is specific to the security access for the recipient of the email. **It will not work if you forward this email to someone else**, even if they are also an approver.

My Profile

Overview

Your PennERA profile can be used to manage a variety of information including: address, title, email, biosketch, employment and education history, etc. Navigate to **My Profile** from the PennERA Portal Header to add/update this information.



My Profile > General Information

Overview

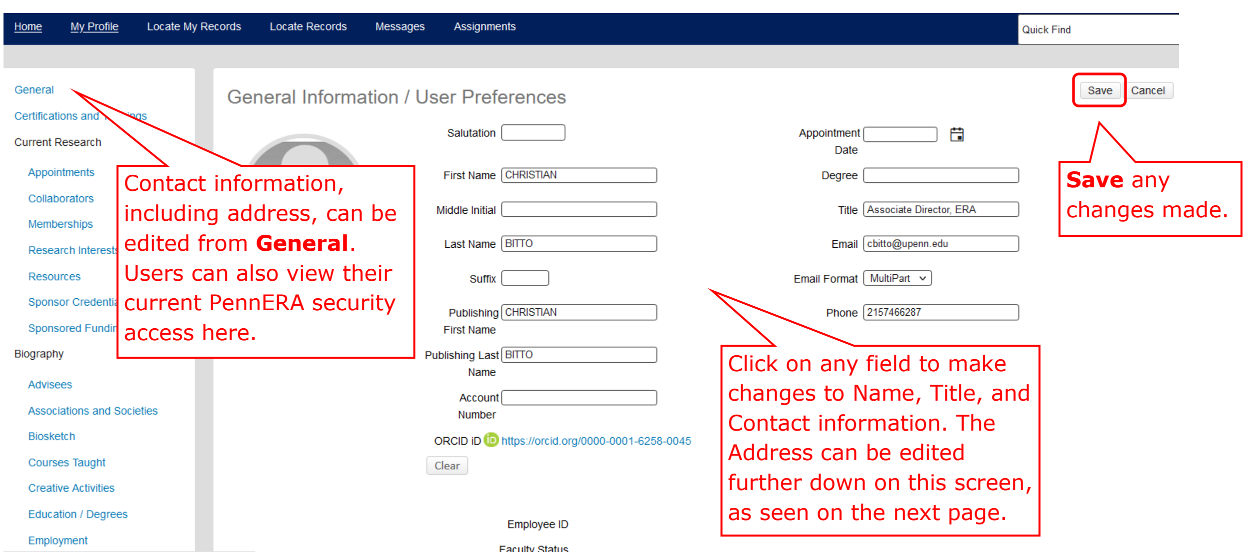
All PennERA users have a profile with address and contact information that is initially set up from their Penn Community information and continues to be updated nightly from the online directory. Changes to your profile's general information should be made through the online directory whenever possible.

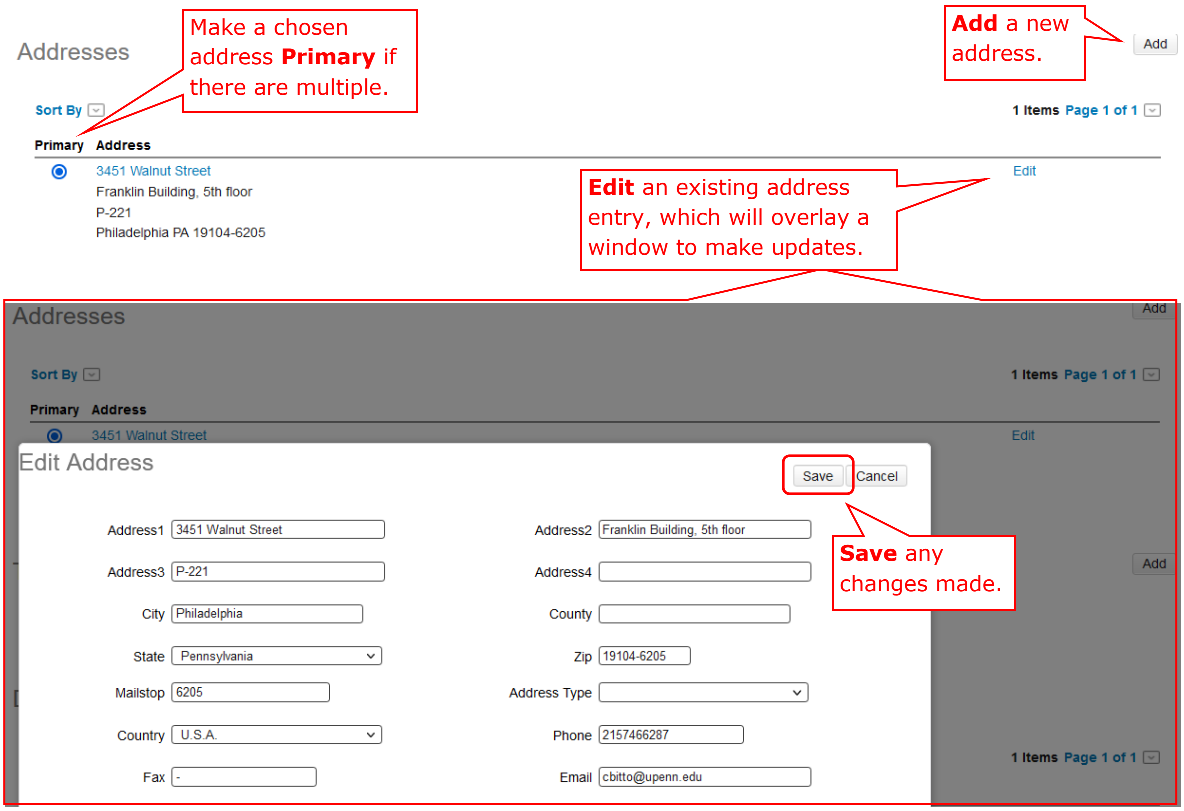
> ***Note:*** *Making a change directly to your PennERA profile will disable the nightly update from Penn Community.*

You may also edit your PennERA profile.

REQUIRED fields – Address, city, state, 9-digit zip code, 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 or may be required by other sponsors that are included in the electronic submission process through Proposal Development.*



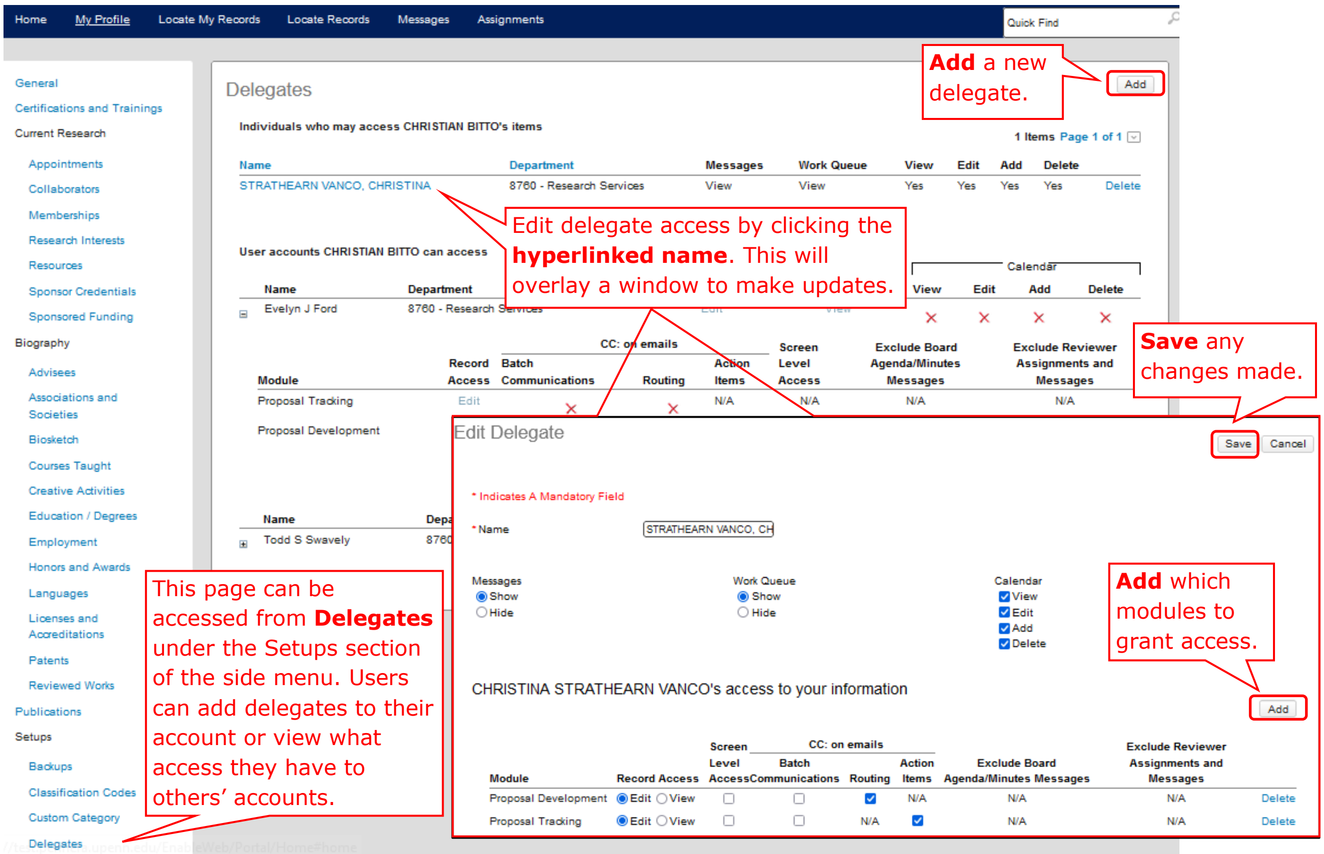


- Click **[Save]** to save any changes you have made to your address and profile in the PennERA system.

My Profile > Delegates

Overview

The Delegates menu option allows the user to delegate access to their 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.



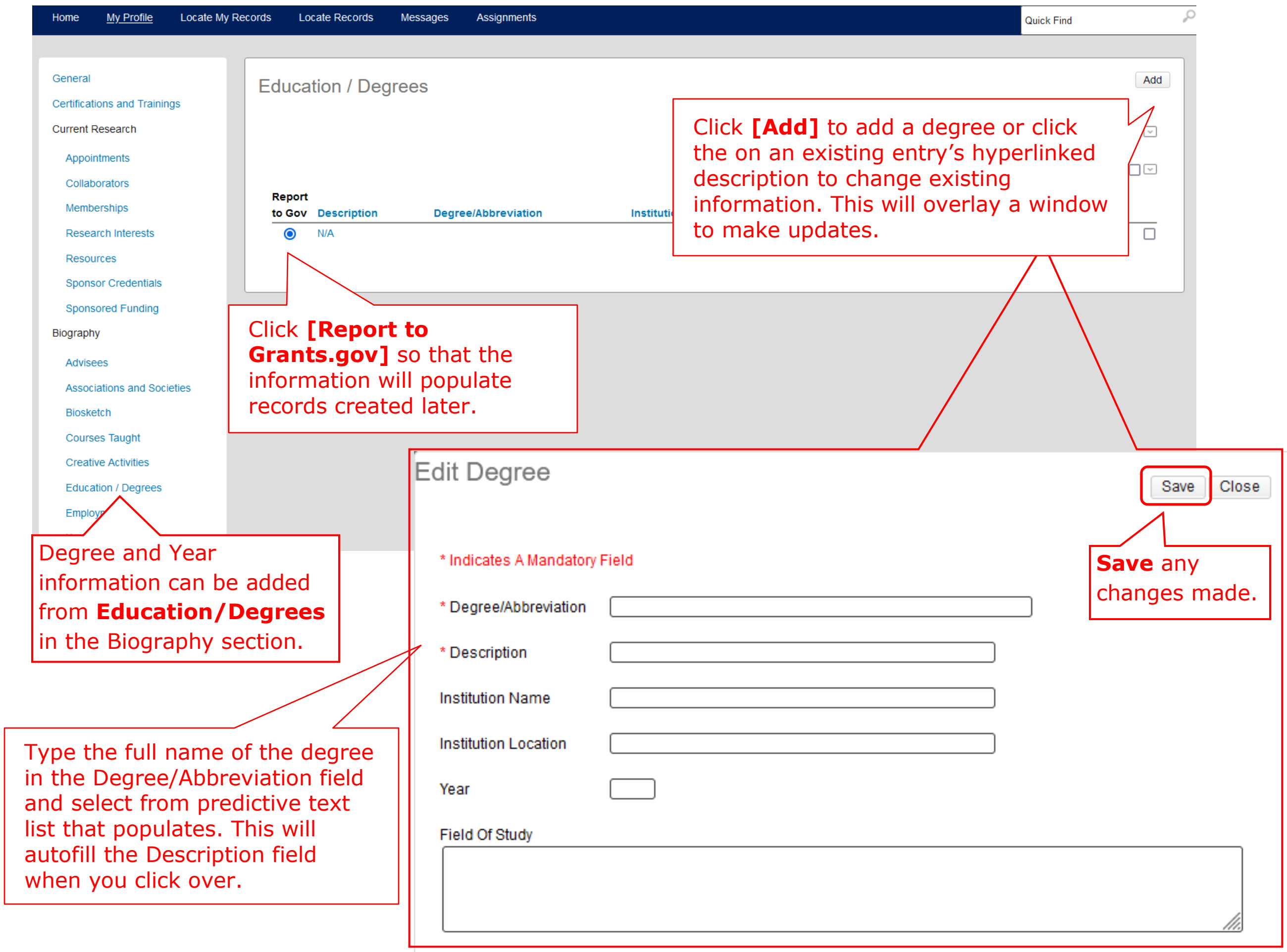
Features

- Click **[Add]** to delegate access to an individual in the PennERA community.
- Delegate the appropriate level of authority:
  - Show or Hide Messages.
  - Show or Hide Work Queue.
- Click **[Save]** to create the delegate entry.
- Once created, click on the delegate's hyperlinked name to add the modules they need to access:
  - Proposal Development
  - Proposal Tracking
  - Human Subjects
  - Lab Animals
  - Access Request
- For each module, indicate the level of access (Edit or View) and if the user should be copied on email notifications for routing or assignments.

My Profile > Education

Overview

Some sponsors submitted via S2S in PennERA require 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.

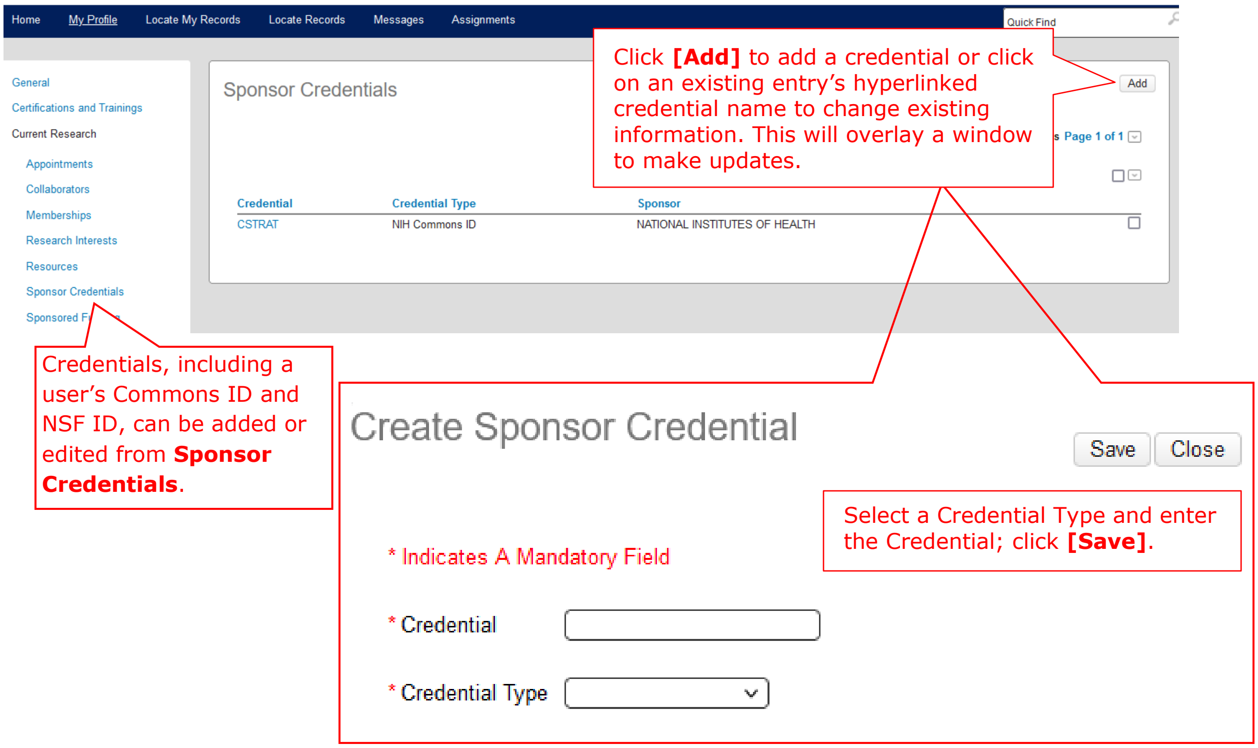


My Profile > Sponsor Credentials

Overview

NIH (eRA Commons), NSF (Research.gov), 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.

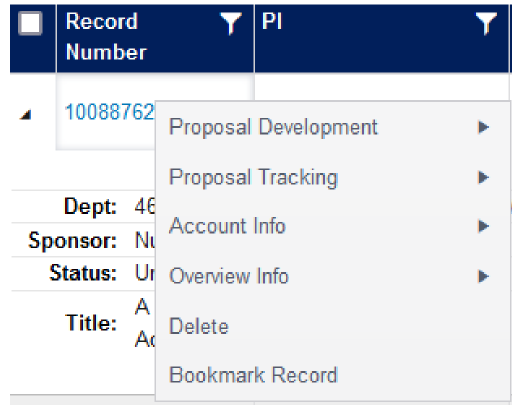
- Any existing credentials may be edited. You may also add new credentials.

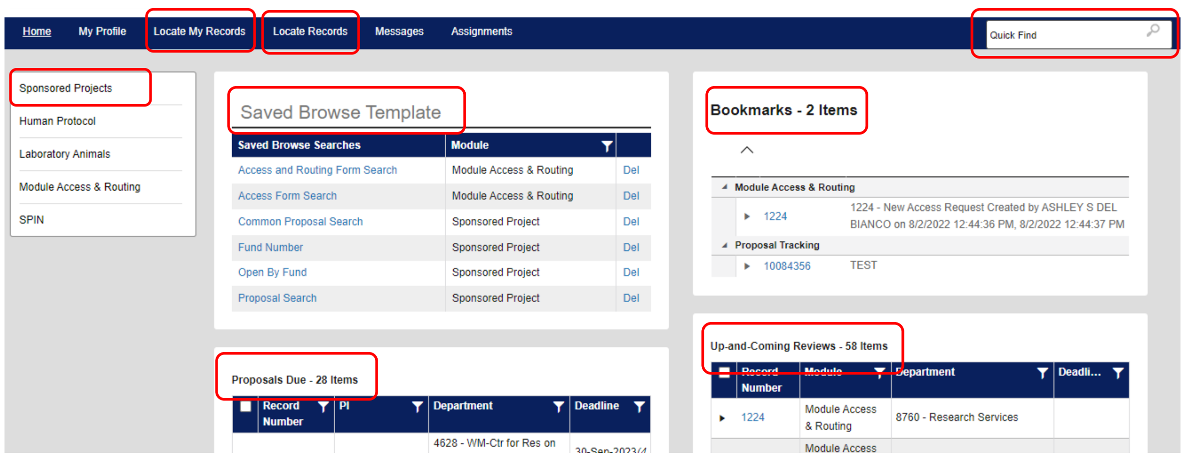


Working in PennERA

Overview

The Header, Sidebar, and Widgets on the Portal Home page provide the ability to search for, view, edit existing proposal records and to create new proposal records. In general for Sponsored Projects, clicking the hyperlinked Record Number will allow the user to **Edit or View** the **Proposal Development (PD) or Proposal Tracking (PT)** side of the record, view **Overview Info** and **Account Info** at a glance, **Bookmark** the record, or **Delete** the record.



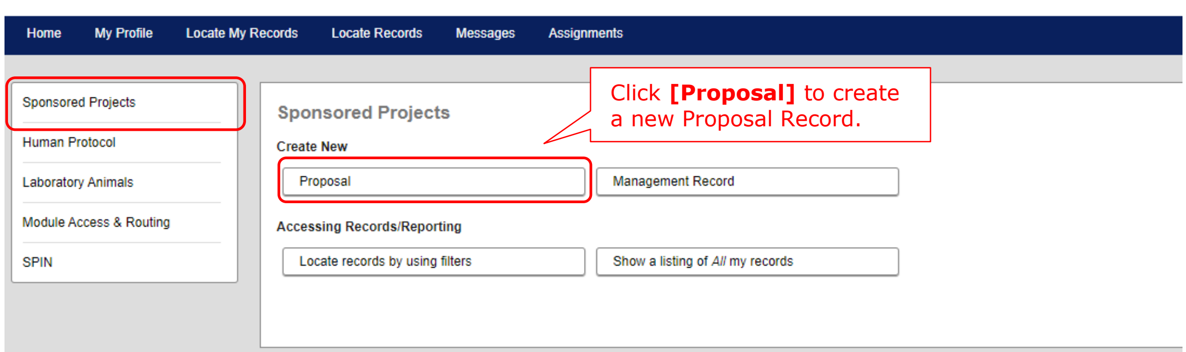


Header

- **Locate My Records** – Displays a list of all records for which the current user is the PI / Record Owner.
- **Locate Records** – Overlays a window on top of the Portal which allows the user to locate records using a variety of search criteria across each of the PennERA modules (Sponsored Projects, Human Protocol, Laboratory Animals, and Module Access & Routing).
- **Quick Find** - A search bar that allows users to locate records with simple criteria of either the PI Last Name, Record Number, Title, Sponsor, or Fund Number.

Sidebar

- **Sponsored Projects –** Create a new Proposal Record



Widgets

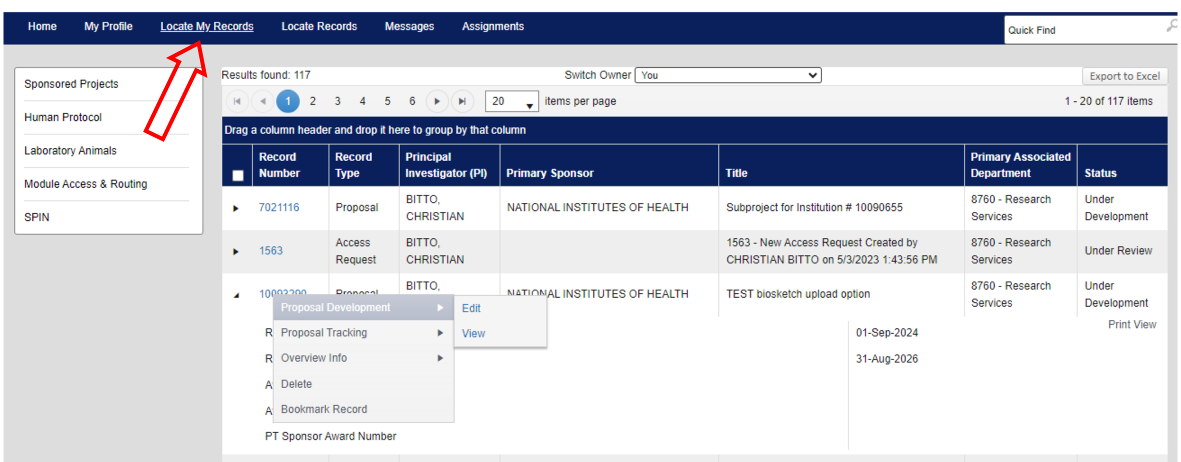
- **Saved Browse Template** – Users can save their frequently used search criteria to use as a template when locating records later. Certain search criteria templates will be pre-loaded to start with for all users. Clicking the hyperlinked saved search will overlay a window for locating records.
- **Bookmarks** – Users can Bookmark frequently used records across any of the PennERA modules, which will display here. Users can later Remove the bookmark designation from the record.
- **Proposals Due –** This displays all proposal records the user has security access for that have upcoming deadlines.
- **Up-and-coming Reviews –** This displays all records where the user is in the routing path. The records here have been routed but are not yet ready for review/approval at the user's step. This is intended to show you what will be coming your way soon.

Locate My Records

Click on **[Locate My Records]** to display a list of all records for which the current user is the Principal Investigator / Record Owner. This will include records across all PennERA modules: Sponsored Projects, Human Protocol, Laboratory Animals, and Module Access & Routing requests.

Features

- The information displayed in the results lines is similar to, but not exactly the same as, the **Sample Results** presented in the **Locate Records** details (see next section). The main difference is that the results for **Locate My Records** will display information across all modules by default, because it is displaying <u>all</u> records where the current user is the PI / Record Owner. Please note the column titles to avoid any confusion.
- Results lines contain information about the proposal, either displayed or can be shown by clicking the arrow in the left-most column to expand. Click the arrow again to collapse.
- Click the hyperlinked Record Number to Edit/View in PD or PT, view Overview and Account Info, Bookmark the record, or Delete the record.

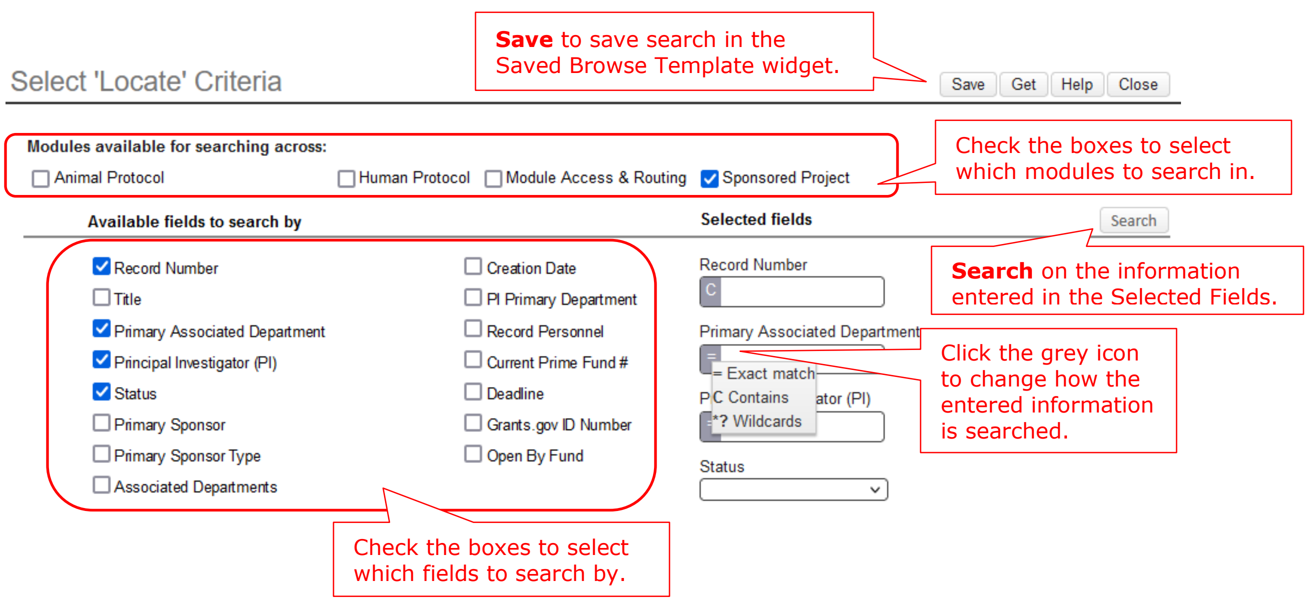


Locate Records

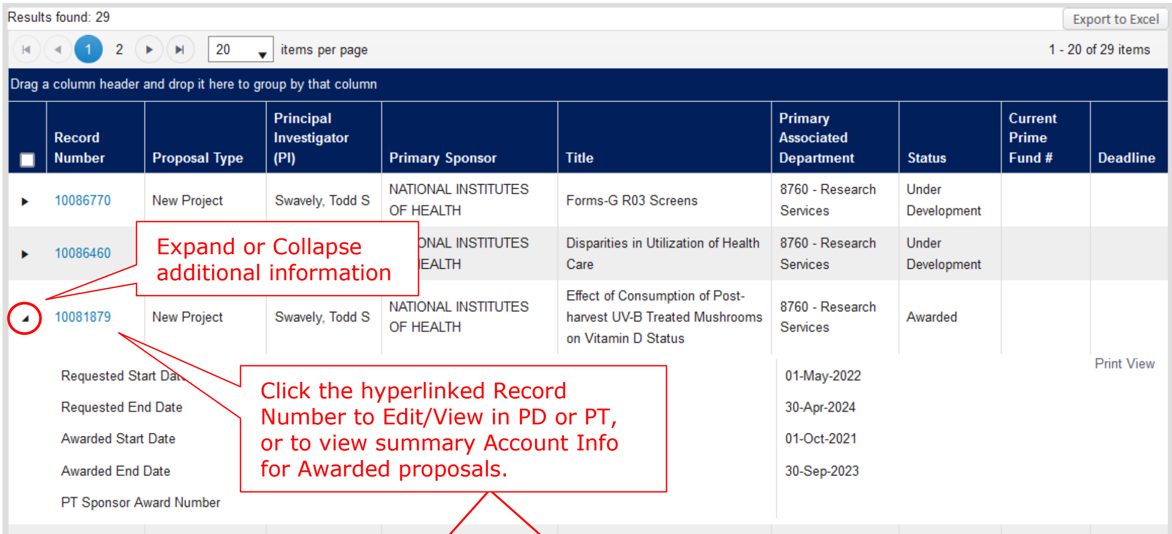
Click on **[Locate Records]** or any of the hyperlinked Saved Browse Searches within the **Saved Browse Template** widget to overlay a window for locating records.

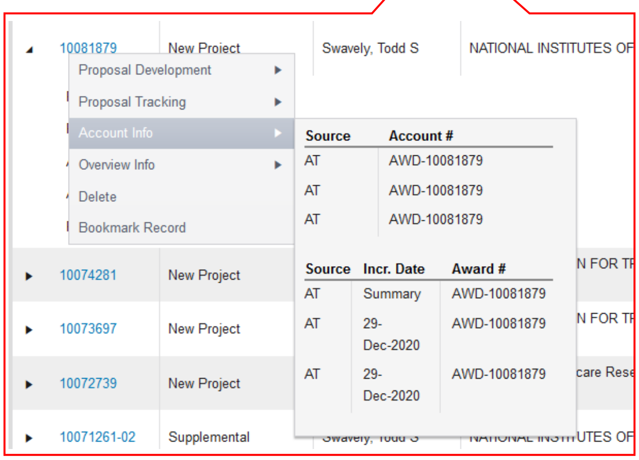
Features

- Click which module to search. PennERA proposal records will be found in the **Sponsored Project** module.
- Click the desired **Available fields to search by**. You can choose as many or as few as needed.
- Click the grey icon in the **Selected Fields** to change how the search is conducted. Options generally include **= Exact Match**; **C Contains**; ***? Wildcards**. For Dates, there will be options to search for a range.
- In most search fields, there is the option to enter information, select from a predictive text, or select from a drop-down menu.
- All column headings for the results may be sorted in ascending or descending order. Default sort is by Record Number.
- Results lines contain information about the record, either displayed or can be shown by clicking the arrow in the left-most column to expand. Click the arrow again to collapse.
- Click the hyperlinked Record Number to Edit/View in PD or PT, view Overview and Account Info, Bookmark the record, or Delete the record.



Sample Results



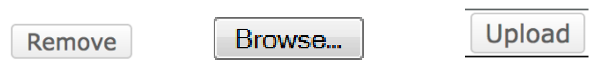


Sponsored Projects General Features

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

Buttons, Drop-Down Boxes, Links, Etc.

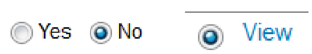
Action buttons allow you to process within the screen. Click on the button to initiate the appropriate action.



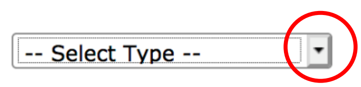
Save, an Action button, located at the top left of the screen, is only available once you are in a Proposal record and should always be used to save work done on the proposal.

Done, 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.

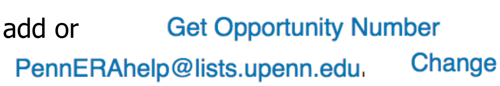
Radio buttons are for unique selections. Click on the button to select an item or answer a question.



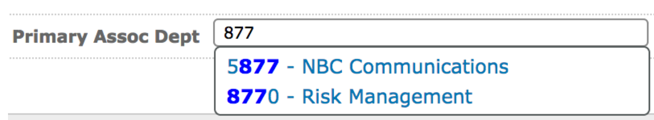
Drop-down boxes are for selection. To use a drop-down box, move the cursor over the inverted triangle and click to allow drop-down selections to appear. Click to select the appropriate item.



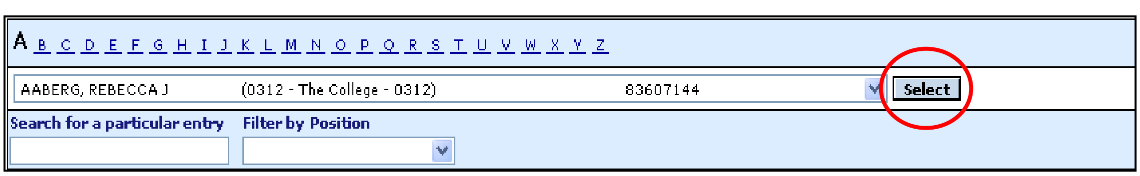
Links are used to open/edit sections of the proposal, to add or remove sections, to upload attachments, etc.



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.



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



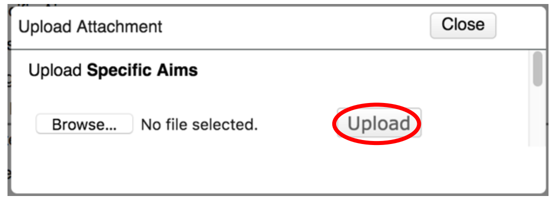
Select a letter; use the drop-down box or search for a particular entry by typing the person's name. Highlight the desired entry and click **[Select]**.

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]**.

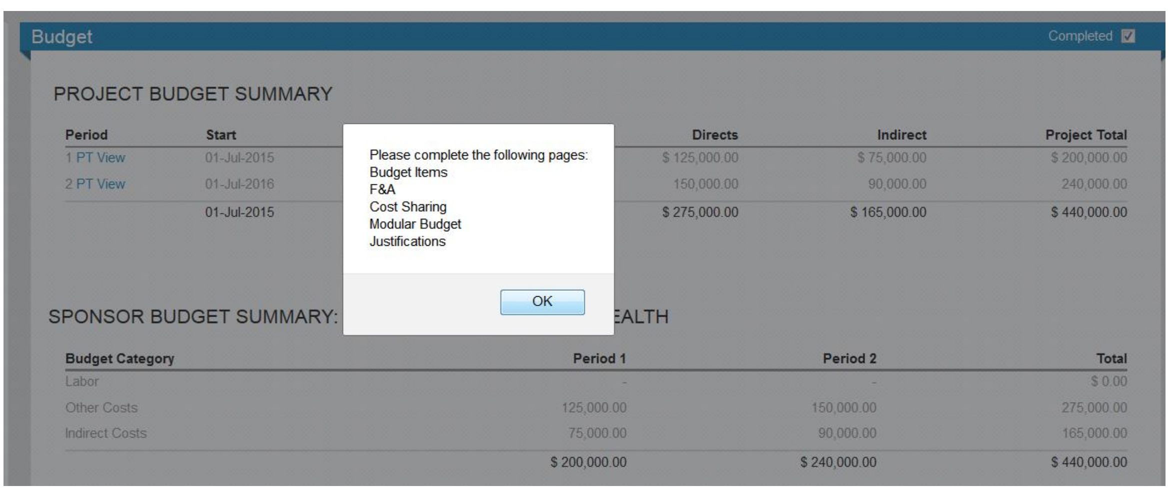


The successfully uploaded document can be viewed in the Original format or as the converted PDF, and can be Removed.

***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.

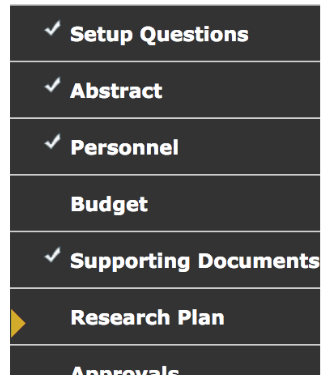


Completing Each Section of the Proposal

- 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.

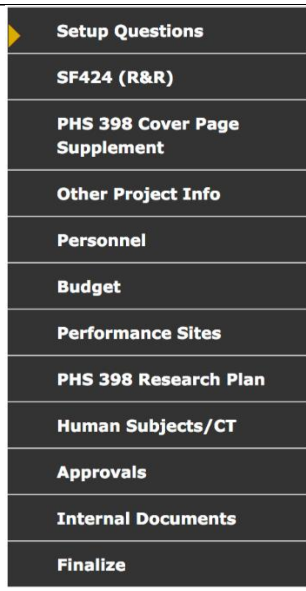
Note*: It is very important to exit when finished working with a specific proposal so that others may gain edit access to the entire proposal if you are no longer actively working in the record.*

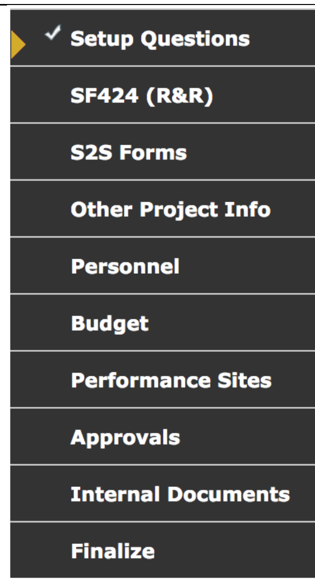
Do not open multiple proposals at once. Work on one proposal at a time. Save and Close it before opening another proposal.

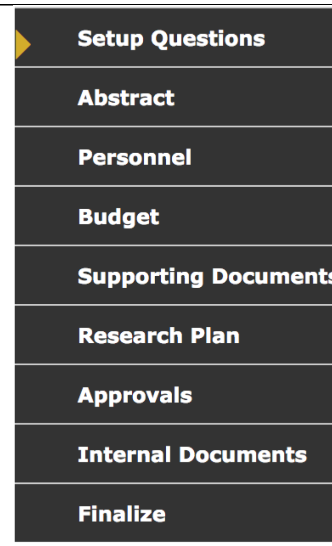
Create New Proposal

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:

<table>
<tr><th>NIH SF424
Navigation Menu</th><th>NSF SF424
Navigation Menu</th><th>Penn-Specific Generic
Sponsor Formset
Navigation Menu</th></tr>
<tr>
<td>


</td>
<td>


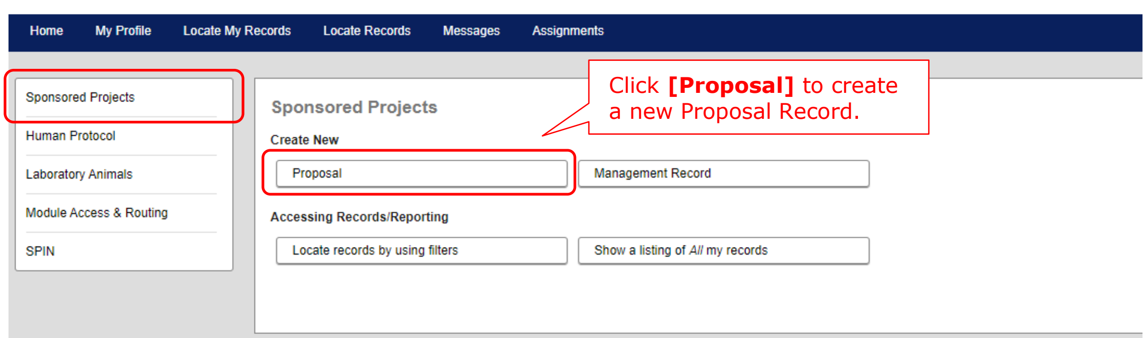
</td>
<td>


</td>
</tr>
</table>

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.

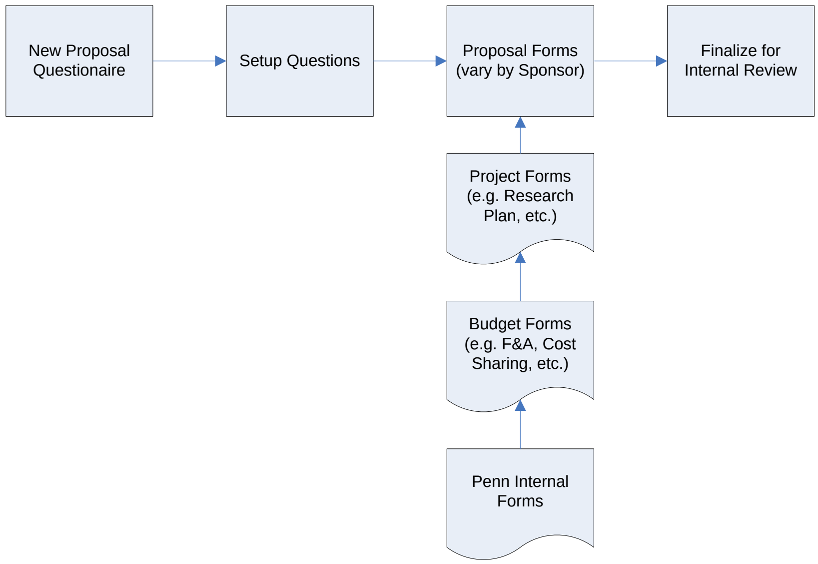
Sponsored Projects > Create New > Proposal



Process Overview

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

Create a Proposal



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:

- Project Summary
- Human Subjects and/or vertebrate animals
- CVs/biosketches and/or Other Support for Key Personnel
- Project Narrative
- Facilities and Other Resources
- Major Equipment
- References Cited
- Additional attachments as needed

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

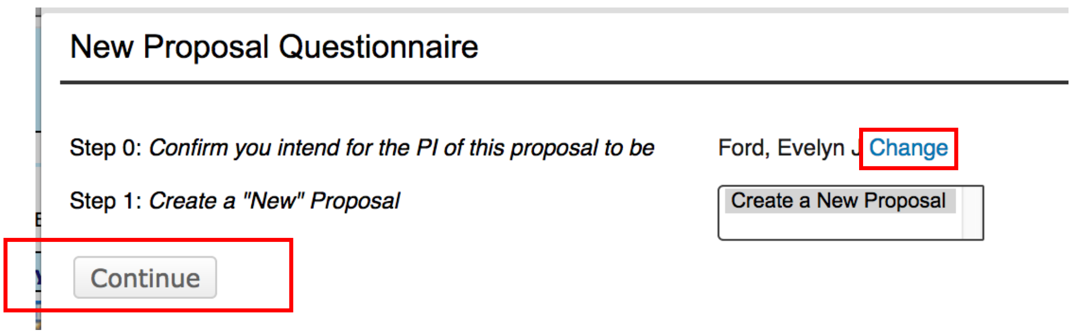
Overview

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.



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.

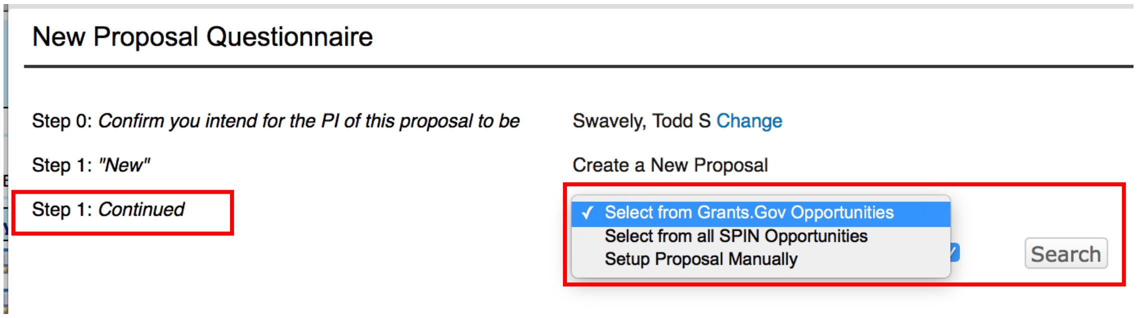
Create a New Proposal

- Click **[Continue]**.

Step 1, Continued… – Find Funding Opportunity

Features

- Allows access to SPIN funding database, if necessary.



- 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.*

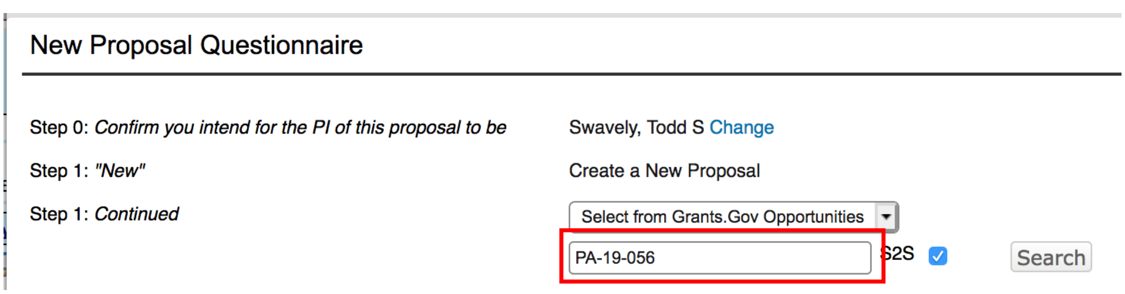
Select from Grants.Gov Opportunities

Features

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

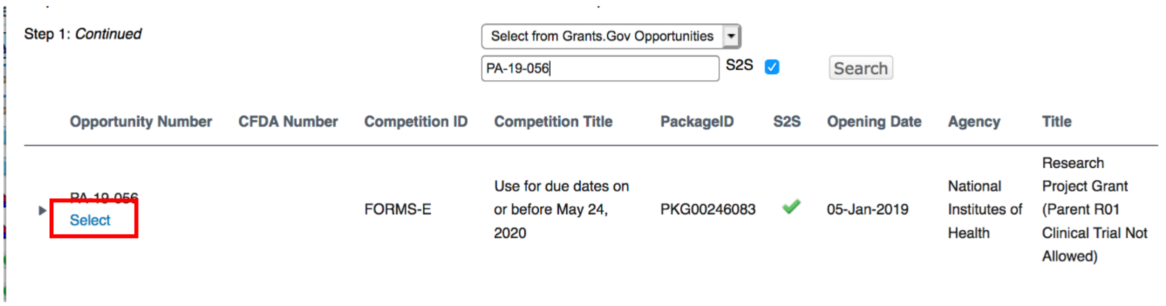
Note*: Although there are several options for locating the Funding Opportunity Announcement, the method presented here is recommended.*

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



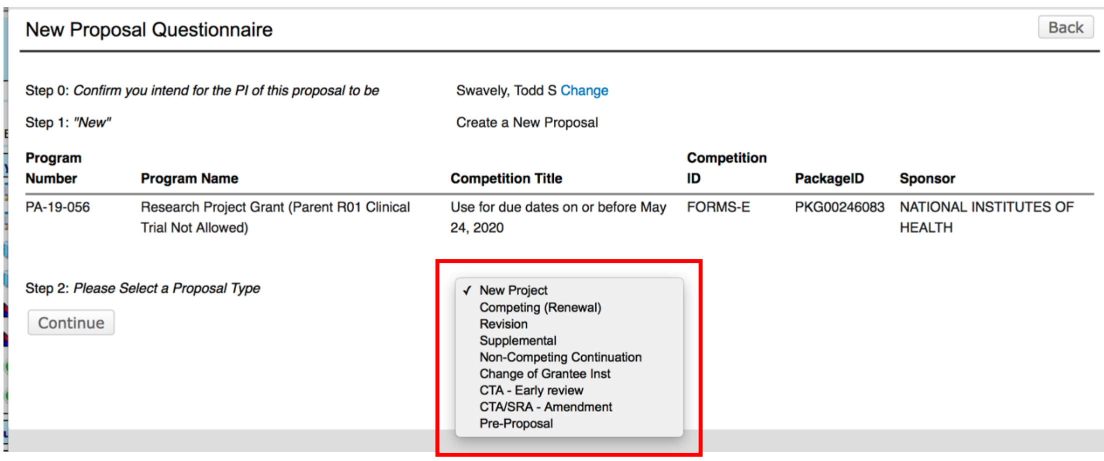
- Type in the search criteria. Examples:
  - Funding Opportunity Announcement Number: "Parent R01".
  - Part of the Opportunity Title: "Parent R01".
  - Can also enter keywords.
  - "S2S" is selected by default.
- Click **[Search].**

Wait for the screen to refresh with the program information.



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

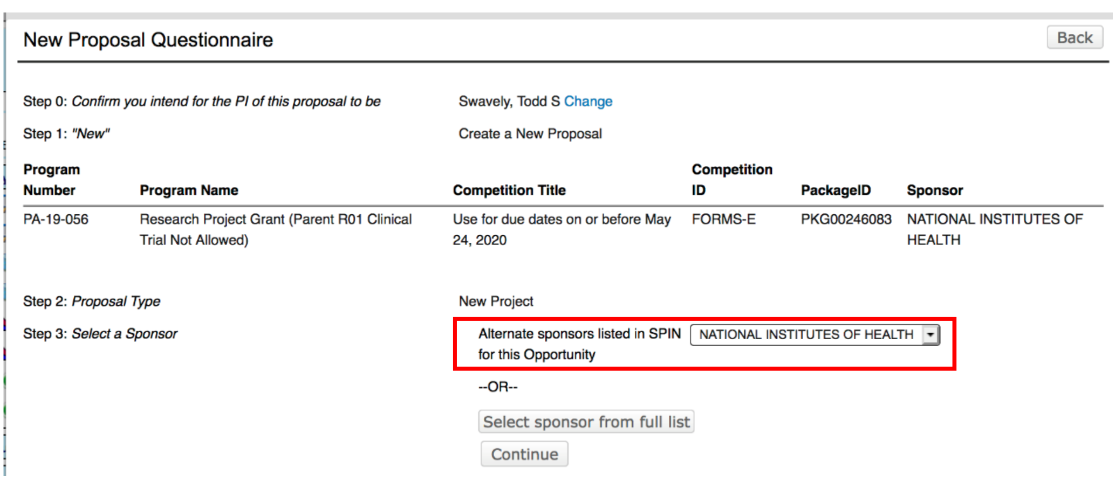
Step 2 – Select Proposal Type



- 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.



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

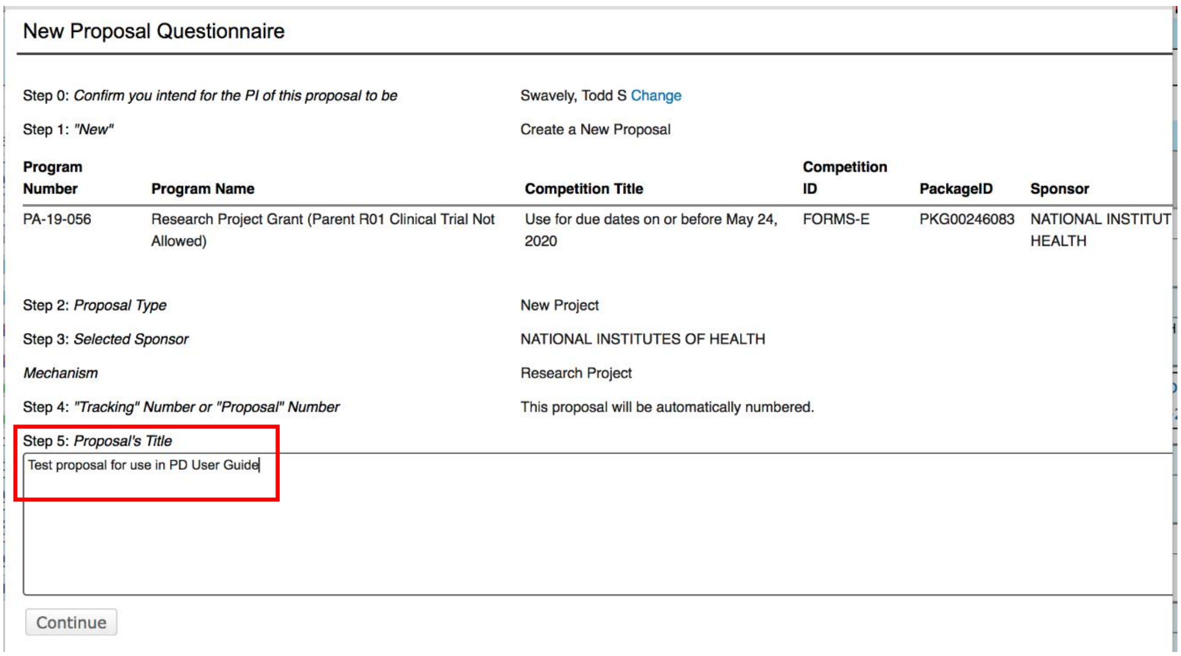
Step 4 – Tracking Number of Record Number (Proposal Number)

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

> ***Note:*** *If you are requested to manually enter a Record Number (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.*

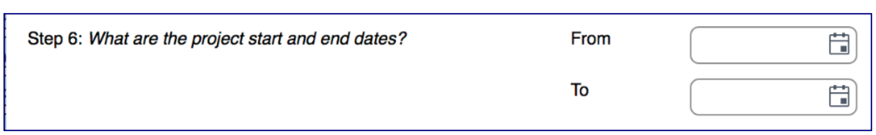
Step 5 – Enter the Proposal's Title

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



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.



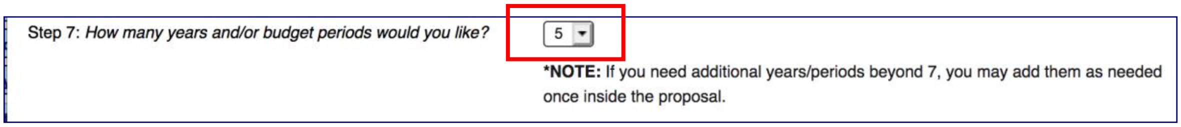
> ***Note:*** *Some Proposal types validate date information based on Sponsor Mechanism Type.*

- Click **[Continue]**.

Step 7 – Confirm Budget Periods, Create Proposal

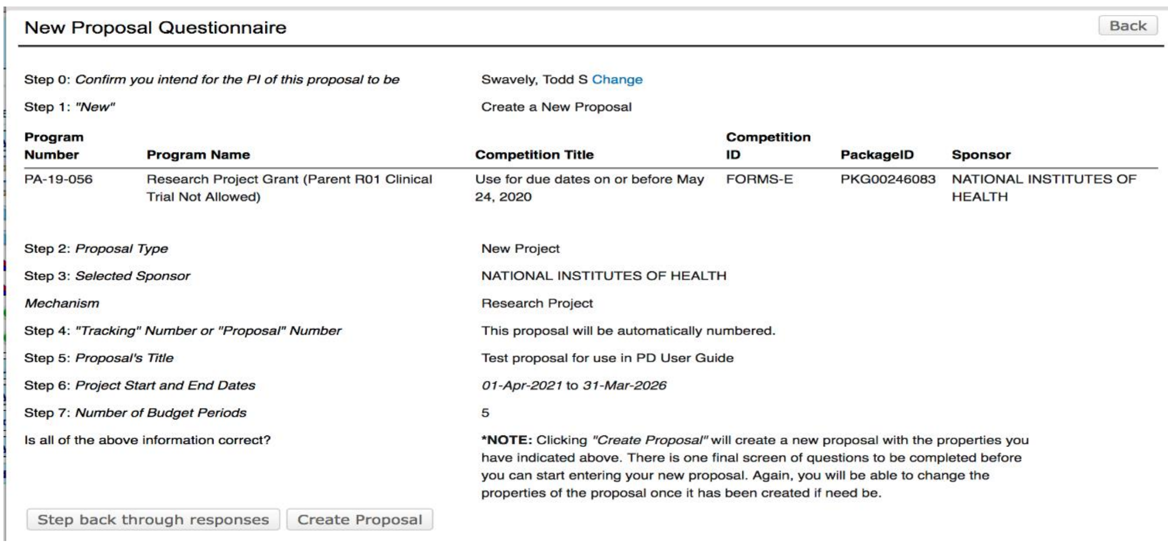
Features

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



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

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



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 Record Number (i.e., Proposal Number) when you complete this step.

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

Setup Questions

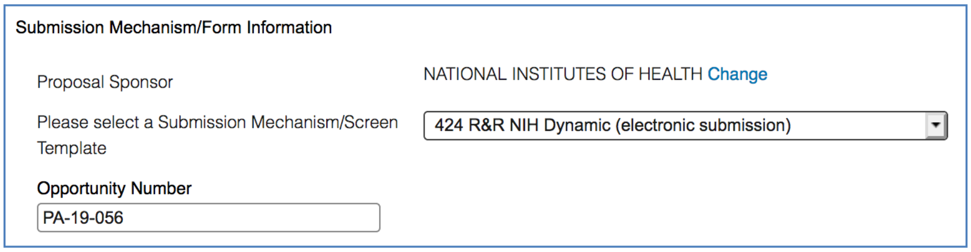
Overview

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: 424 R&R NIH Dynamic (electronic submission)

Opportunity Number: PA-19-056

- **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	*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.*
CFDA Number	
CFDA Description	
Competition ID	FORMS-E
Competition Title	*Use for due dates on or before May 24, 2020*
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	✓
PHS398_CoverPageSupplement_4_0	PHS398_CoverPageSupplement_4_0-V4.0	✓
Other Project Info	RR_OtherProjectInfo_1_4-V1.4	✓
PerformanceSite_2_0-V2.0	PerformanceSite_2_0-V2.0	✓
RR_KeyPersonExpanded_2_0-V2.0	RR_KeyPersonExpanded_2_0-V2.0	✓
PHS398_ResearchPlan_4_0	PHS398_ResearchPlan_4_0-V4.0	✓
PHSHumanSubjectsAndClinicalTrialsInfo	PHSHumanSubjectsAndClinicalTrialsInfo-V1.0	✓
RR_Budget_1_4-V1.4	RR_Budget_1_4-V1.4	☑
RR_SubawardBudget30_1_4-V1.4	RR_SubawardBudget30_1_4-V1.4	☐
PHS398_ModularBudget_1_2-V1.2	PHS398_ModularBudget_1_2-V1.2	☐
PHS_AssignmentRequestForm_2_0-V2.0	PHS_AssignmentRequestForm_2_0-V2.0	☐

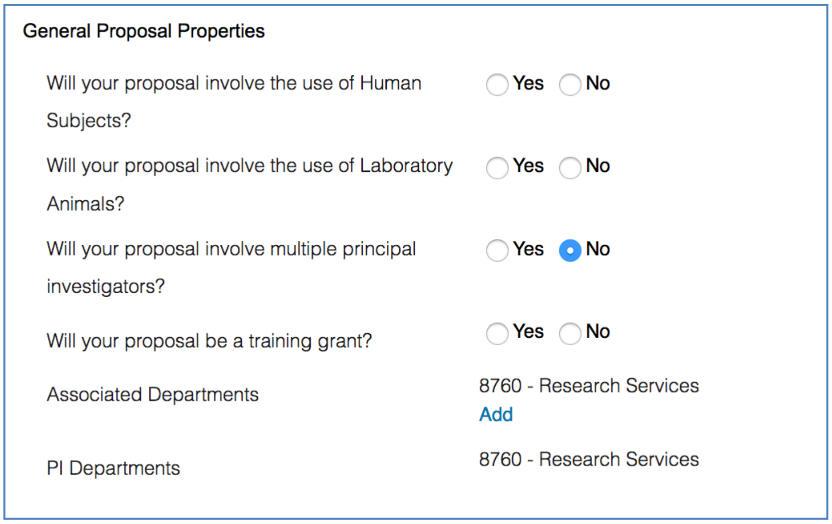
2. Deadline Information

- 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

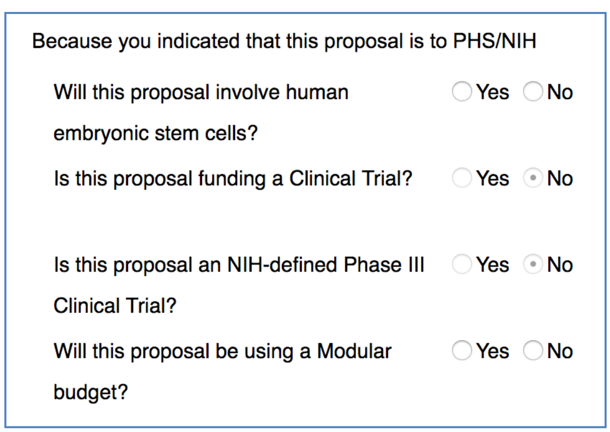
Will your proposal be a training grant? Yes No

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

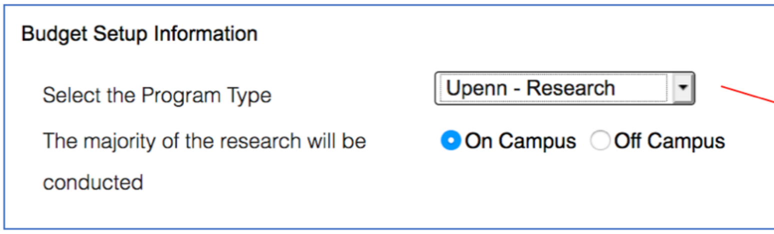
Will this proposal involve human embryonic stem cells? Yes No

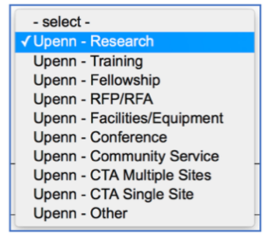
Is this proposal funding a Clinical Trial? Yes No

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





- 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.

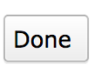
The following pages in this section use the **SF424 (R&R)** forms as required by the sponsor NIH to illustrate system features, processes, and procedures. The use of other sponsors, while displaying a different set of forms, will be processed in the same way, using the same system features, functions,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

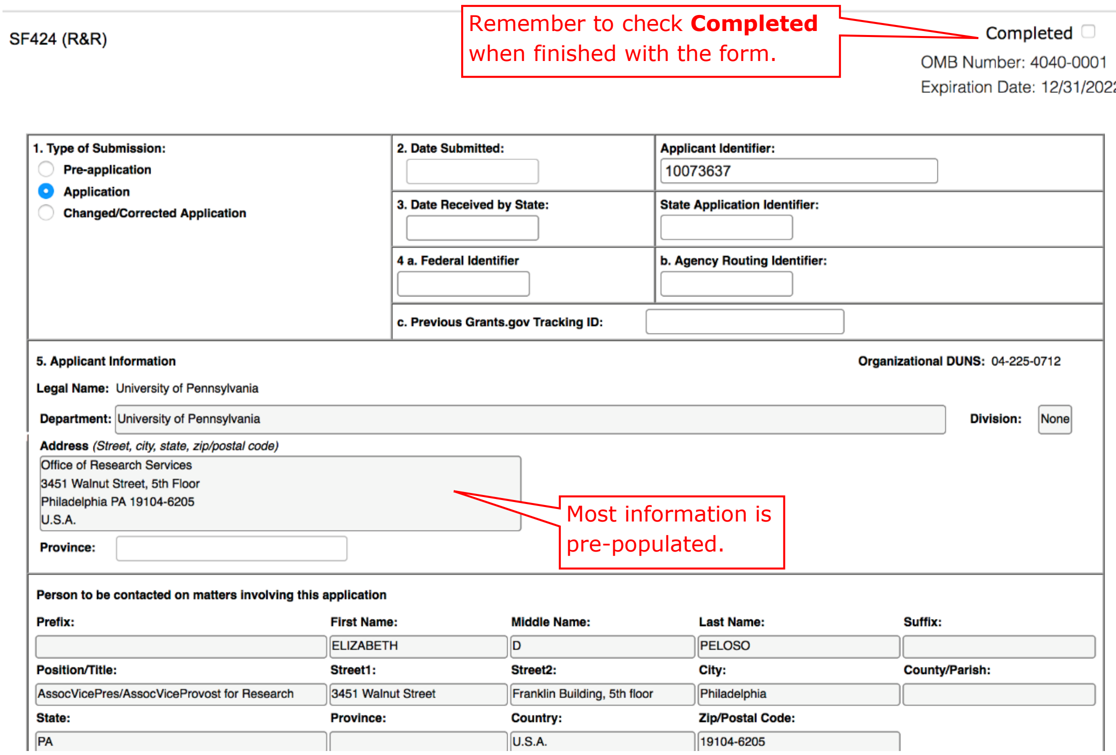
- **All Proposal Tabs** – Click on any tab to navigate between screens in your proposal.

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

1. Type of Submission:
Pre-application
Application
Changed/Corrected Application

2. Date Submitted:

Applicant Identifier: 10073637

3. Date Received by State:

State Application Identifier:

4 a. Federal Identifier

b. Agency Routing Identifier:

c. Previous Grants.gov Tracking ID:

5. Applicant Information

Organizational DUNS: 04-225-0712

Legal Name: University of Pennsylvania

Department: University of Pennsylvania

Division: None

Address *(Street, city, state, zip/postal code)*
Office of Research Services
3451 Walnut Street, 5th Floor
Philadelphia PA 19104-6205
U.S.A.

Province:

Most information is pre-populated.

Person to be contacted on matters involving this application

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
	ELIZABETH	D	PELOSO	
Position/Title:	**Street1:**	**Street2:**	**City:**	**County/Parish:**
AssocVicePres/AssocViceProvost for Research	3451 Walnut Street	Franklin Building, 5th floor	Philadelphia	
State:	**Province:**	**Country:**	**Zip/Postal Code:**	
PA		U.S.A.	19104-6205	

If Revision, mark appropriate box(es).

☐ A. Increase Award ☐ B. Decrease Award

☐ C. Increase Duration ☐ D Decrease Duration

☐ E. Other *(specify)*:

9. NAME OF FEDERAL AGENCY:

National Institutes of Health

Is this application being submitted to other agencies?

YES ○ NO ○

What other Agencies

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

TITLE (Name of Program):

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

CM Setup test

12. PROPOSED PROJECT

Start Date: 31-Jul-2015

Ending Date: 01-Aug-2016

13. CONGRESSIONAL DISTRICTS OF:

a. Applicant

PA-002

14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION Change

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
	STEPHEN		FRATANTARO	

Position/Title:	Organization Name:	Department:	Division:
Associate Director	The Trustees of the University of Pennsylvania	4423 - PS-Mental Health Services	None

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

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

Province:

Phone Number:	Fax Number:	Email:
2155732555	2158989708	pennera_notifications@lists.upenn.edu

15. ESTIMATED FUNDING:

a. Total Federal Funds Requested	$	0.00
b. Total Non-Federal Funds	$	0.00
c. Total Federal & Non-Federal Funds	$	0.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. Yes ○ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE:

b. No ◉ PROGRAM IS NOT COVERED BY E. O. 12372

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)

☐ I agree

** 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.*

18. SFLLL (Disclosure of Lobbying Activities) or other Explanatory Documentation Upload

19. Authorized Representative

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

Title:	Organization Name:
	The Trustees of the University of Pennsylvania

Department:	Division:
8760 - Research Services	None

Click on any of the yellow fields to open the form.

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

Phone Number	Fax Number	Email:

***Signature of Authorized Representative**

Completed on submission to Grants.gov

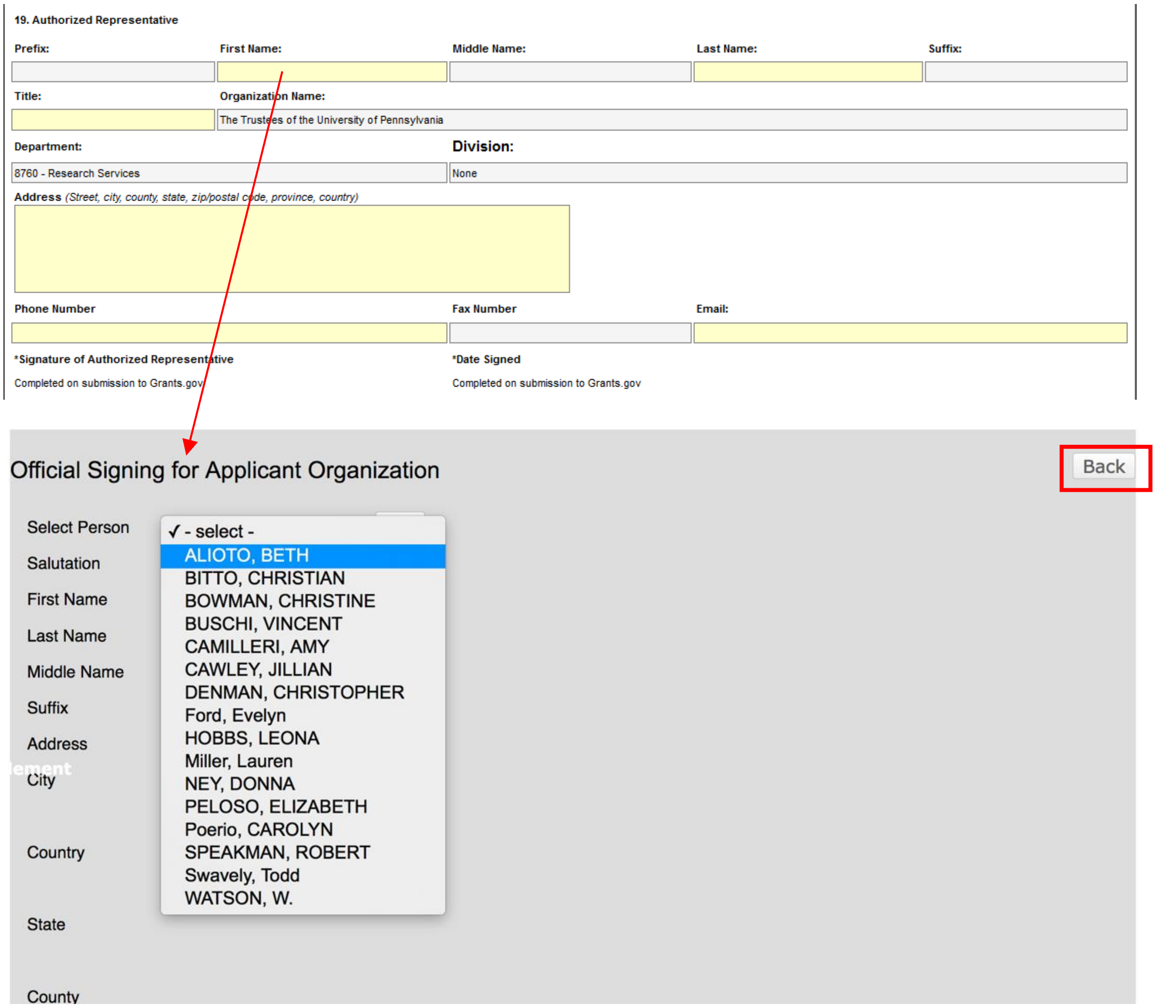
***Date Signed**

Completed on submission to Grants.gov

20. Pre-application Upload

21. Cover Letter Attachment Upload

- 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]**.



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

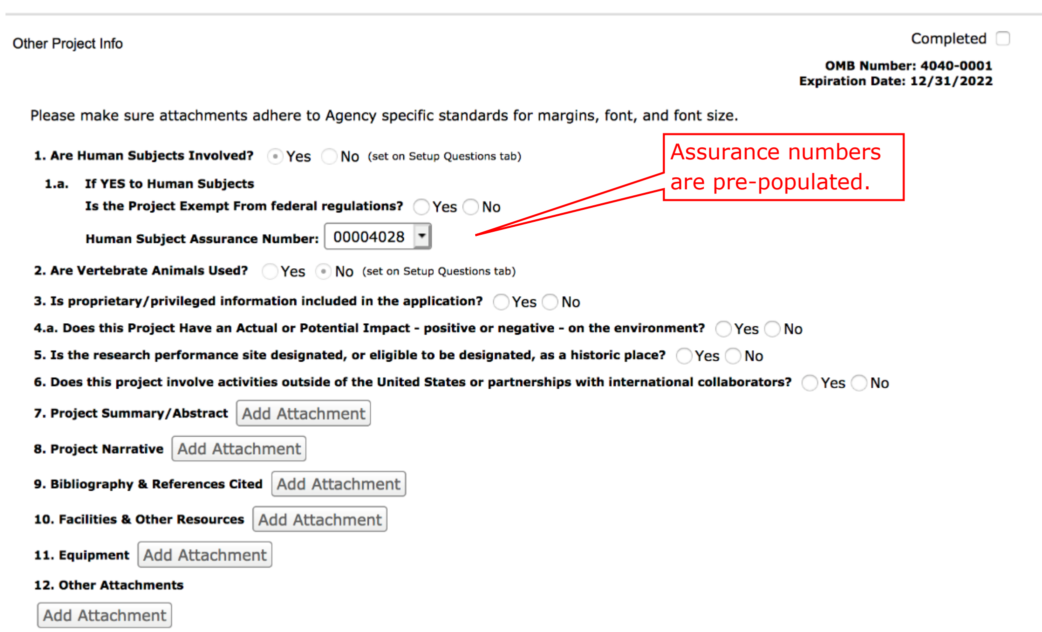
Answer federal-required questions (human subjects, vertebrate animals, environment, etc.) and provide descriptive documents related to the overall project.

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 record 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 Add Attachment

8. Project Narrative Add Attachment

9. Bibliography & References Cited Add Attachment

10. Facilities & Other Resources Add Attachment

11. Equipment Add Attachment

12. Other Attachments

Add Attachment

Performance Sites

Overview

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

Performance Sites

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

Sequence	Organization Name		Address		
1	The Trustees of the University of Pennsylvania		Address	School of Nursing 418 Curie Blvd.	
	DUNS Number	04-225-0712	City	Philadelphia	
	Congressional District	PA-003	State	Pennsylvania	
			Non-US State/Province 4 Characters only		
			Province		
			Zip/Postal Code	19104-4217	
			County	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	10065-6275	
			County	New York	
			Country	USA	

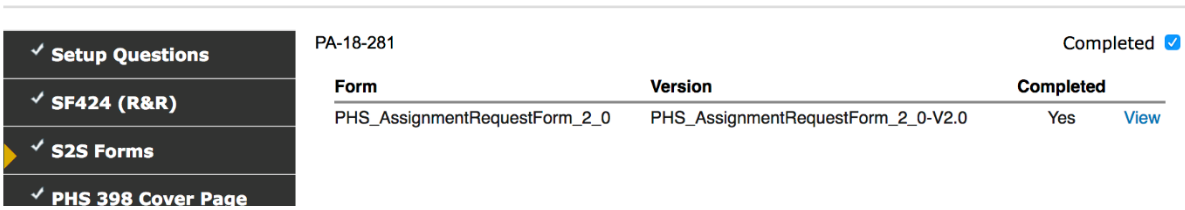
Features

- Change the first site to the primary associated department address.
  - Don’t change the Organization Name, UEI 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****.*

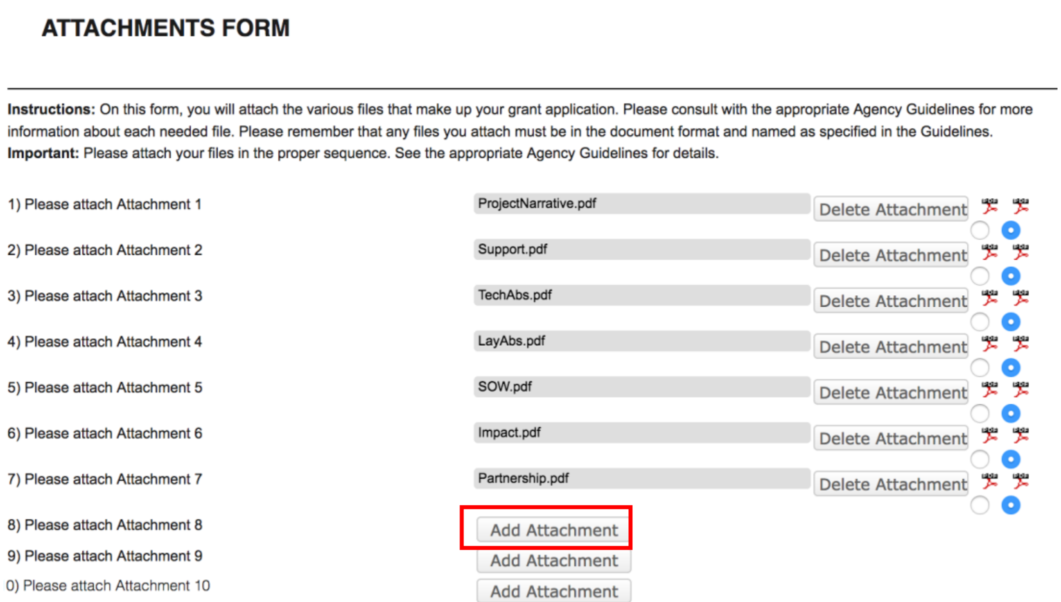


Features

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.*

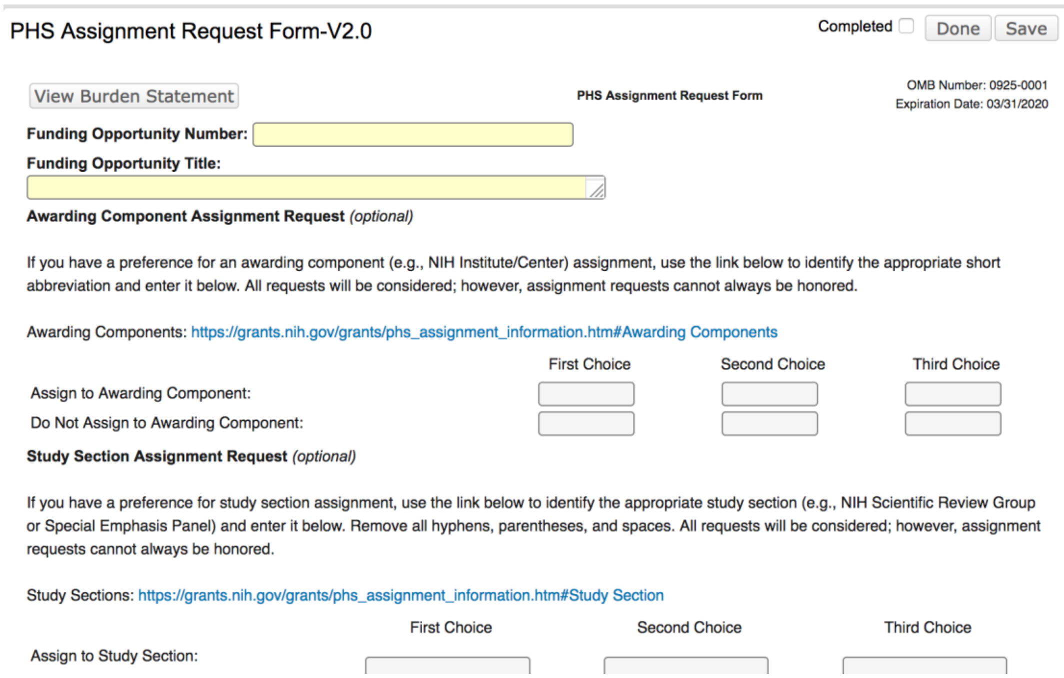
Option 1

- 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.



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 Done Save

View Burden Statement

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

	First Choice	Second Choice	Third Choice
Assign to Awarding Component:			
Do Not Assign to Awarding Component:			

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

	First Choice	Second Choice	Third Choice
Assign to Study Section:			

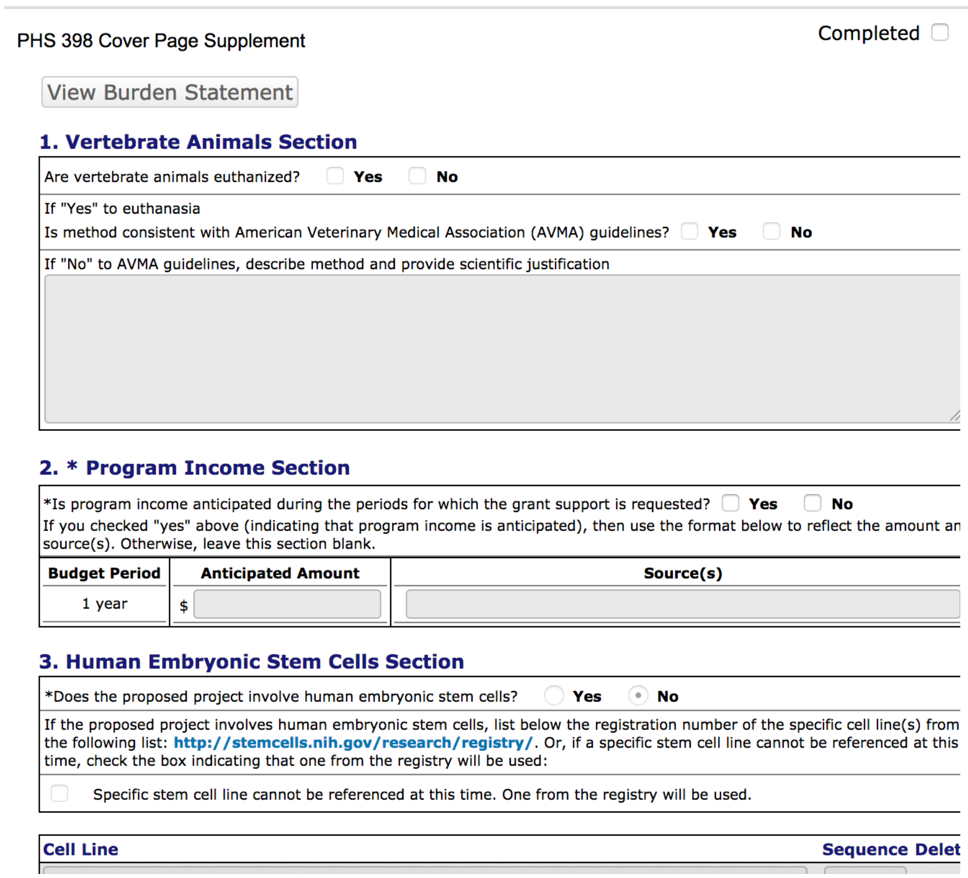
PHS 398 Cover Page Supplement

Overview

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

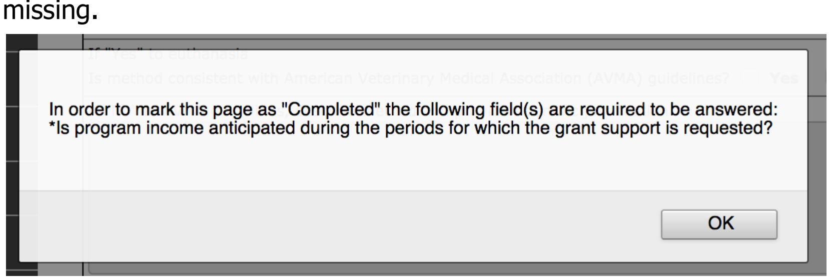
This is an NIH-specific form. Other sponsors may have specific forms, but these are usually included on the S2S Forms screen, rather than appearing as separately named screens.

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



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.



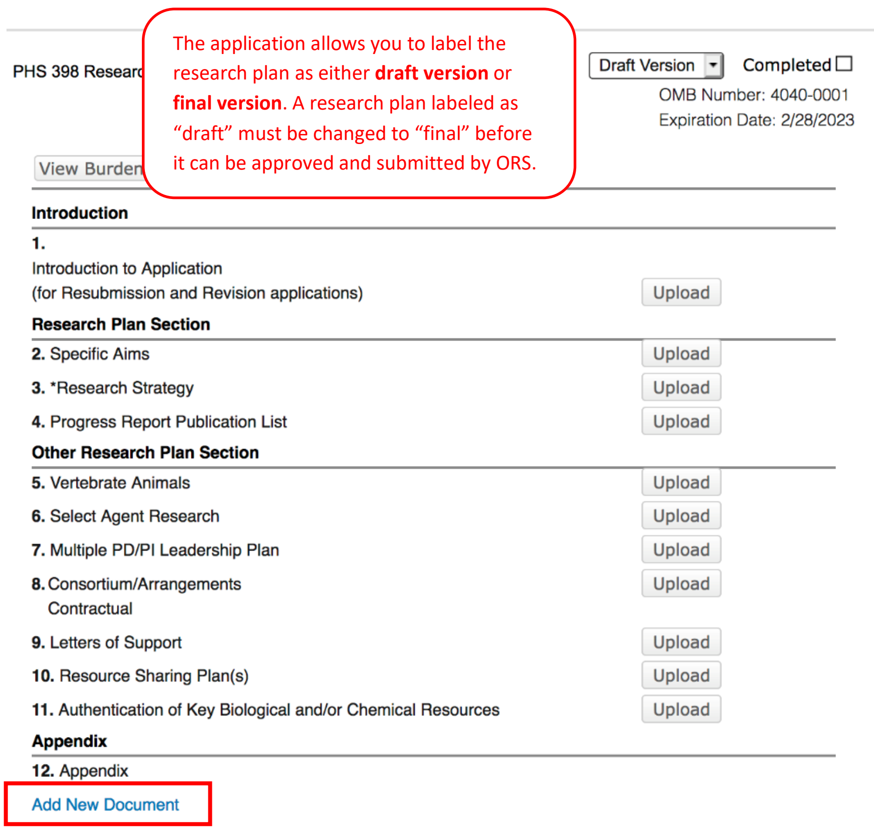
PHS 398 Research Plan

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**.

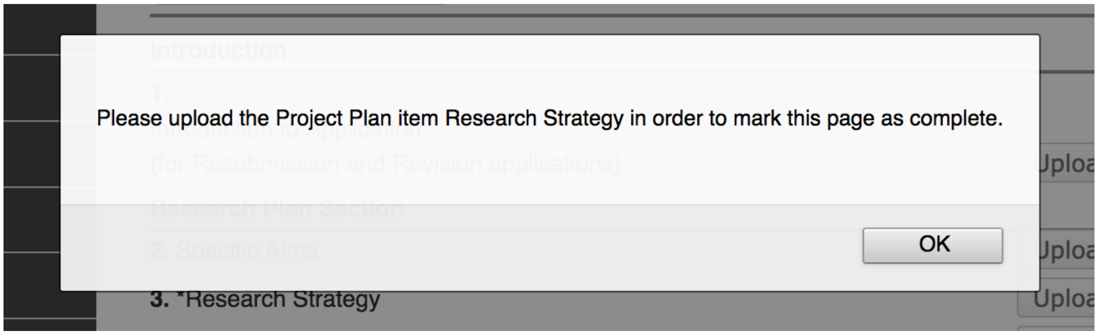
Note*: To allow investigators as much time as possible, proposals may be submitted for internal review with Draft Version selected. However, Grants.Gov requires the proposal to be submitted with Final Version. The Office of Research Services is unable to submit a* ***Draft Version*** *to Grants.Gov. 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.*



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.*

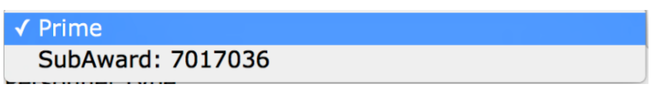
Features

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

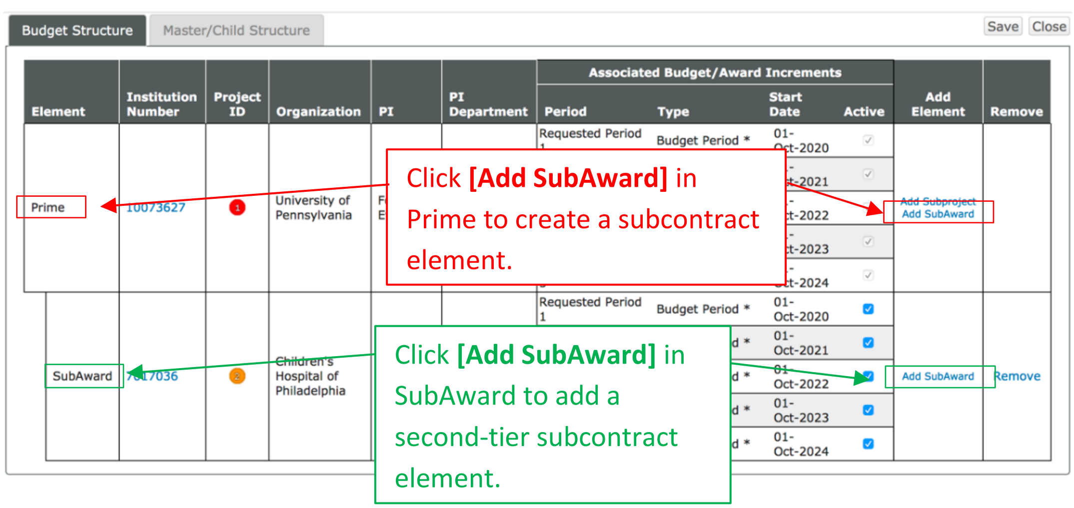
Personnel Basic Data Entry

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.



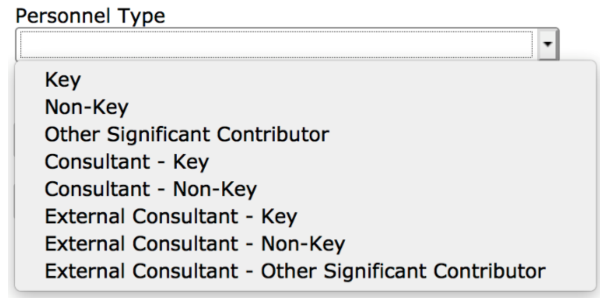
   - Click Proposal Structure to add SubAwards (subcontracts) and view the elements in the proposal record.



Important Note: *Always contact 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.

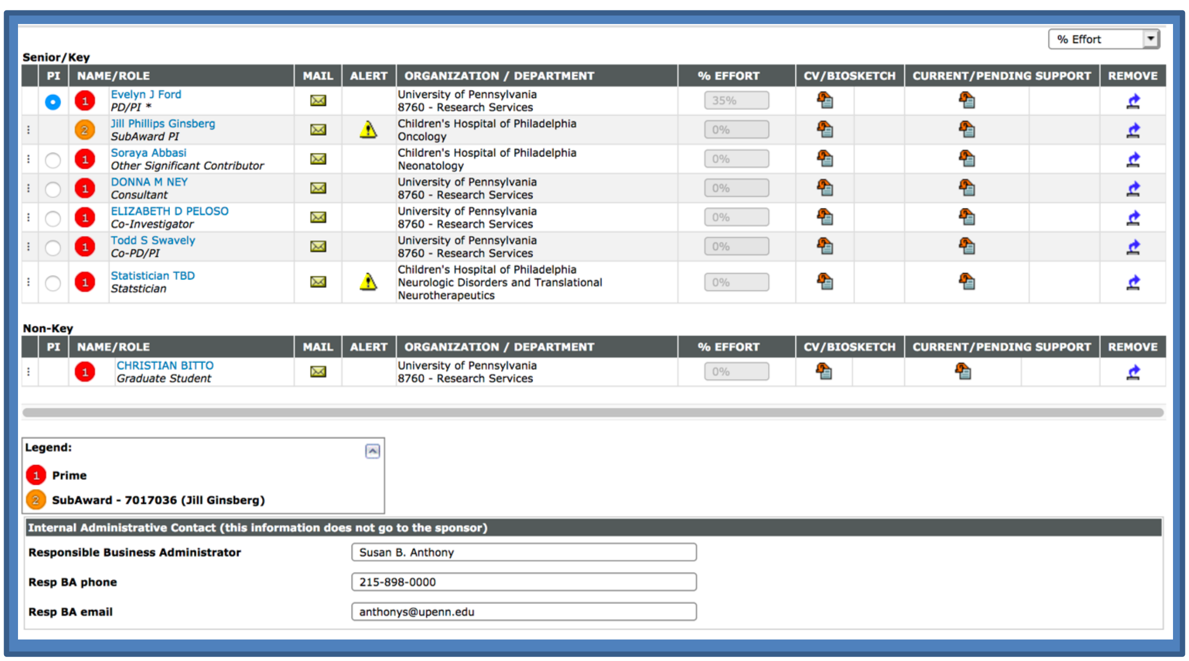
4. *Create Profile – Action*

   - 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 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



% Effort

Senior/Key

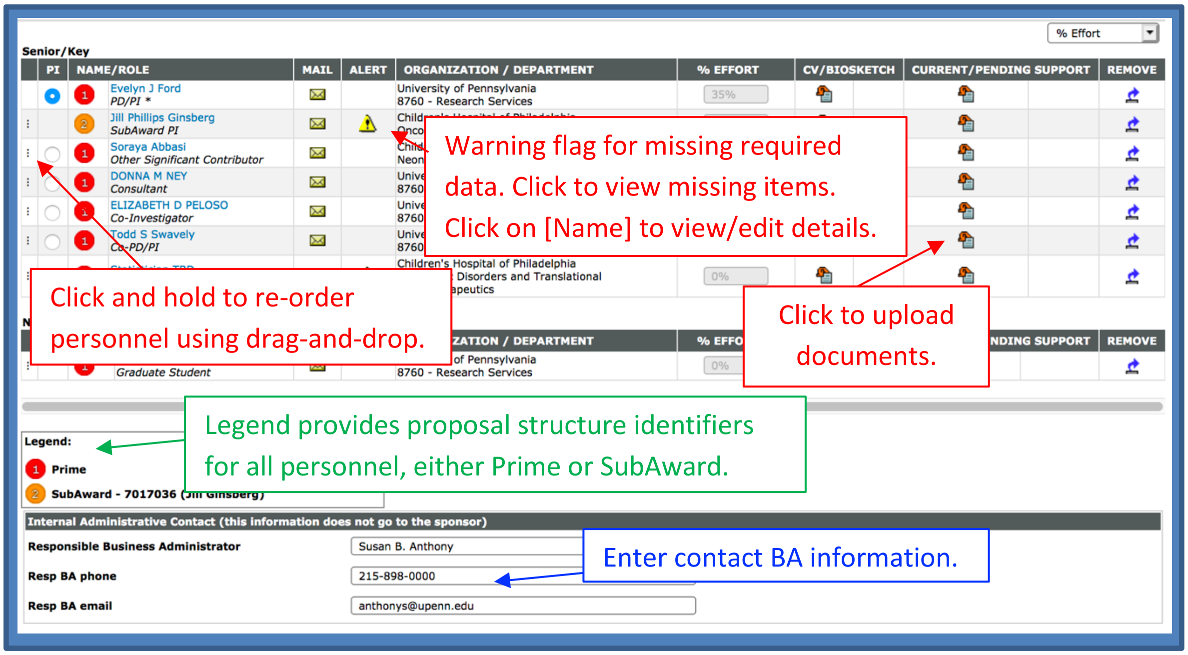
PI		NAME/ROLE	MAIL	ALERT	ORGANIZATION / DEPARTMENT	% EFFORT	CV/BIOSKETCH	CURRENT/PENDING SUPPORT	REMOVE
	1	Evelyn J Ford *PD/PI **			University of Pennsylvania 8760 - Research Services	35%			
	2	Jill Phillips Ginsberg *SubAward PI*			Children's Hospital of Philadelphia Oncology	0%			
	1	Soraya Abbasi *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 Swavely *Co-PD/PI*			University of Pennsylvania 8760 - Research Services	0%			
	1	Statistician TBD *Statstician*			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	Susan B. Anthony
Resp BA phone	215-898-0000
Resp BA email	anthonys@upenn.edu



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 1, 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

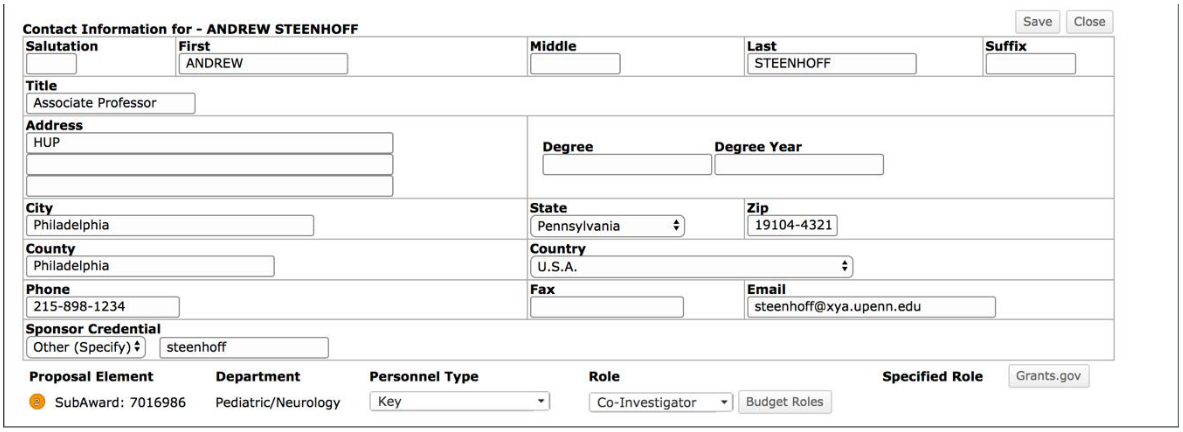
- Upload locations (see below for more information).

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.



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.

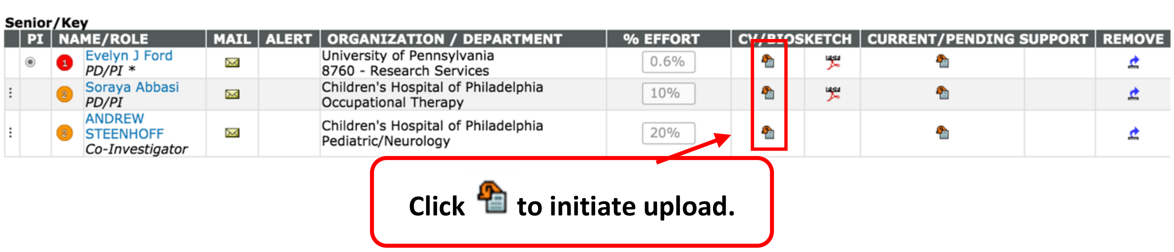
Application-specific information:

- 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

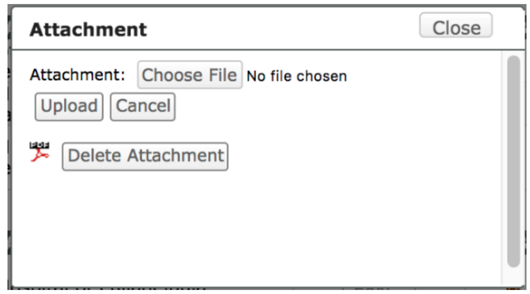
Overview – All Key Personnel require a CV (Biosketch) to be added to the proposal. Key Personnel are listed as PI first then in alpha order but the information can be "ordered" as you prefer. Current and Pending Support information may also be added to the proposal. In NSF proposals, Collaborators and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



CV/Biosketch Column
Curr/Pend Support Column

- Click the **Get** icon.
- Click **[Choose File]** to locate the document.
- 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. *Begin typing to select Personnel Name...*
   - 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. ***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 Save immediately below Create Profile, ***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. *Begin typing to select Personnel Name...*
   - 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. ***Do not*** enter "placeholder" names or create new profiles for existing staff.

4. Select a name from search results.
5. Click [Save] immediately below [Create Profile], ***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. [*Begin typing to select Personnel Name...*]
   - 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. ***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 [Save] immediately below [Create Profile], ***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

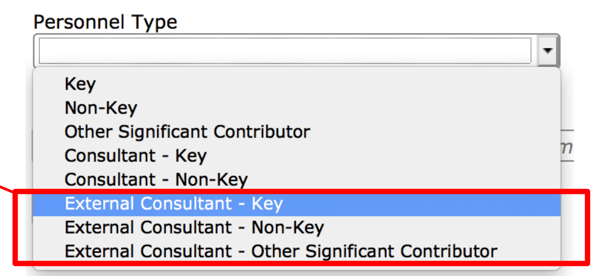
1. On the Personnel screen, confirm the Proposal Structure element = Prime.
2. Select "Personnel Type = Non-Key".
   - TBD personnel cannot be Key Personnel Types (e.g., Key, Other Significant Contributor).
3. Click [Create Profile].
4. In New Profile pop-up window:
   - Leave Temporary Profile selected.
   - Enter First Name.

        - Use brief description to differentiate from other TBDs (e.g., "Statistician").
    - Enter "TBD" for Last Name.
    - Click **[Set]** next to Department. * Department Set
        - 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 Locate.
        - 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 Save 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 Save button immediately below Create Profile, ***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 Begin typing to select a Subaward Institution name.
    - If an entity is not available, stop and write to PennERAhelp@lists.upenn.edu.
        - Provide the entity's name, address including 9-digit Zip Code, and UEI #.
        - ***Do not use*** a "placeholder" Institution name.
4. Begin typing the person's name in **Name** field Begin typing to select Personnel Name....
    - 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 Create Profile.
    - 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 Save 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 Save button immediately below Create Profile 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.

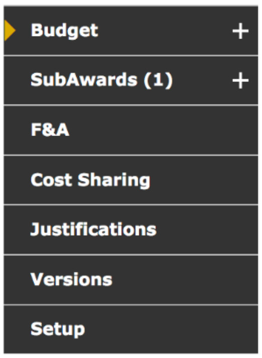
Budget

Overview

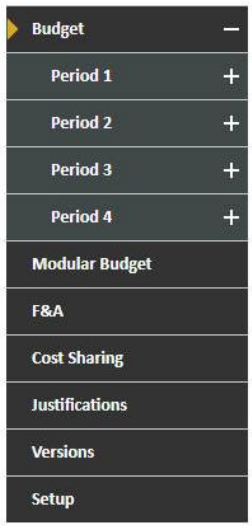
The Budget section has individual screens that comprise all data entry related to the budget.

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:

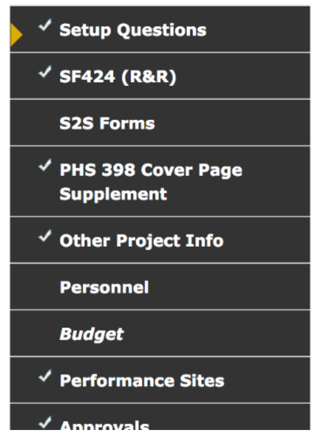
Budget Screens
Detailed Budget



Budget Screens
Modular Budget



Budget Screens
Summary Budget



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.

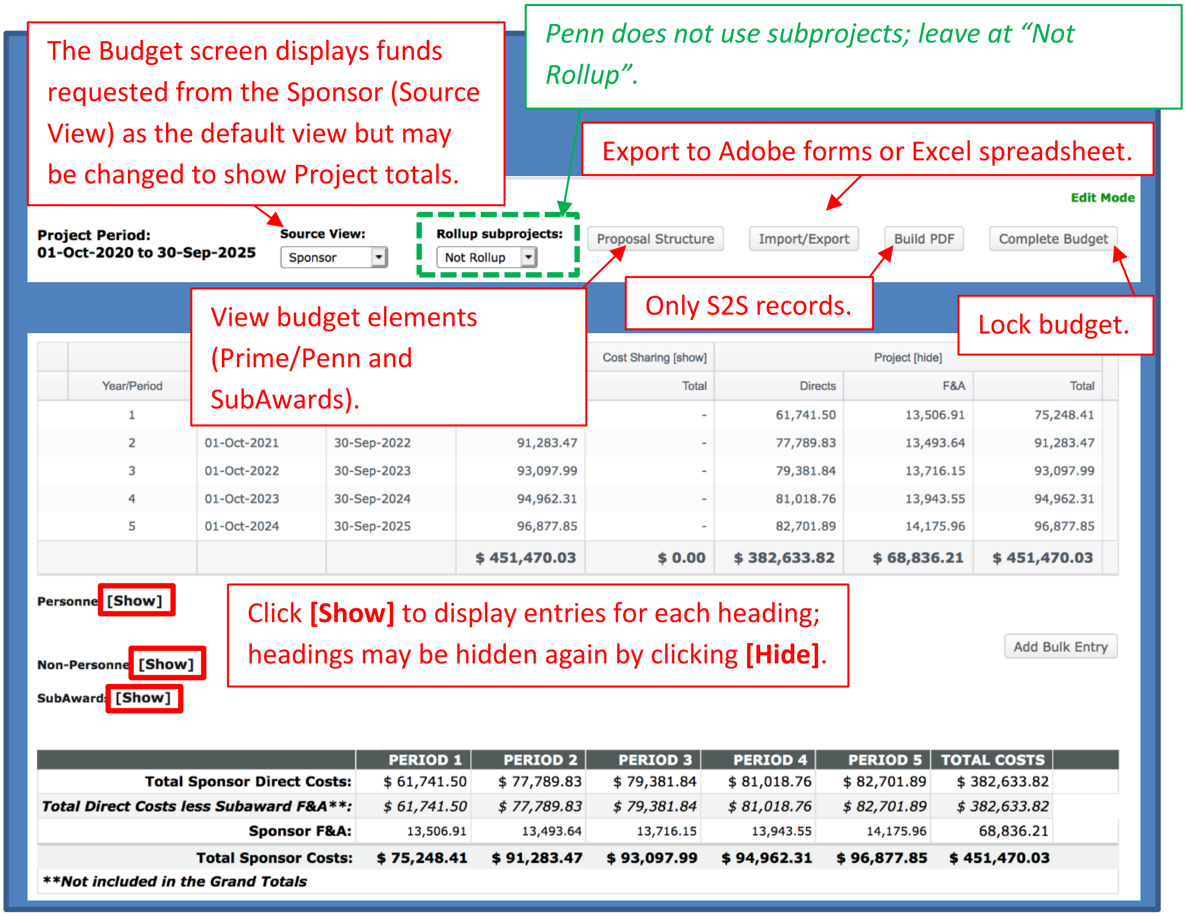
Versions

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

Setup

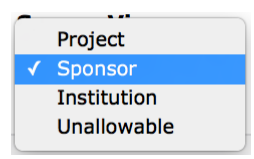
- Miscellaneous settings may be edited in this section including:
    - Period/Dates – Add/remove Periods and change Project/Period Dates.
    - Change PI.
    - Mechanism Opt In/Out – Opt out of miscellaneous high-level validations when appropriate, such as budget limits.

Budget Screen Display



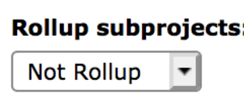
1. *Source View*

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



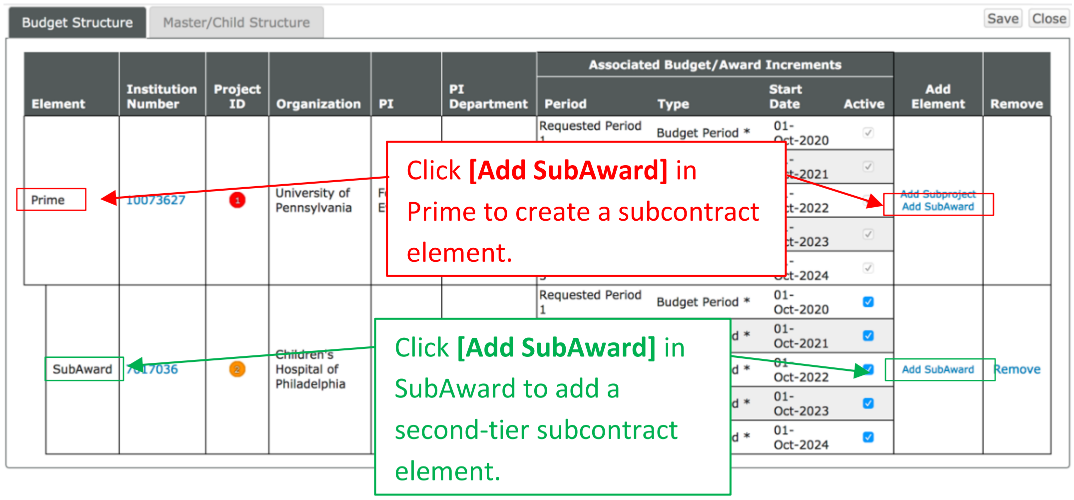
2. *Rollup Subprojects*

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



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.



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.

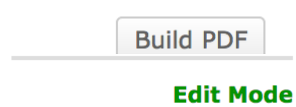
- Import a budget from Adobe Forms if this is a generic record and you have already completed this package.

  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

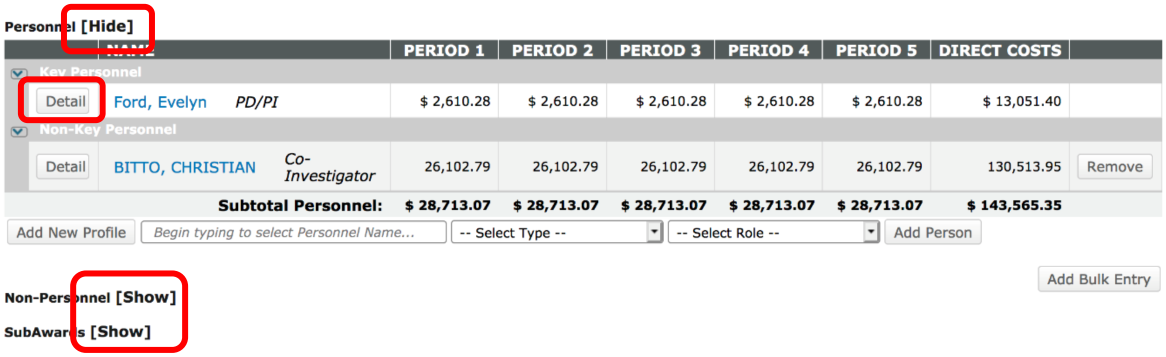


- In S2S records, the budget may be built to display a PDF of the completed budget form.

6. Complete Budget

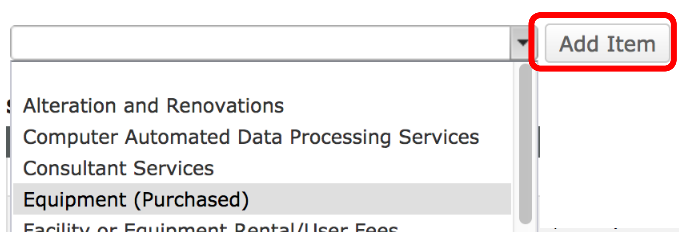
- Click this option to lock the budget when all data entry is completed.

Budget Basic Data Entry

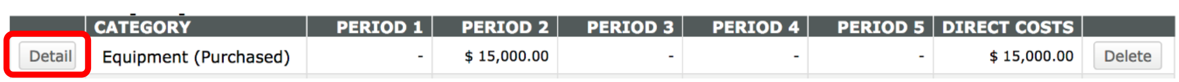


1. *Personnel, Non-Personnel, and SubAwards Headings*
   - All expense is entered in one of these three sections.
   - Click **[Hide]** to hide the information in that section and leave only the heading visible.
     - Once hidden, click **[Show]** to redisplay the section.
2. *Personnel*
   - Personnel 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*

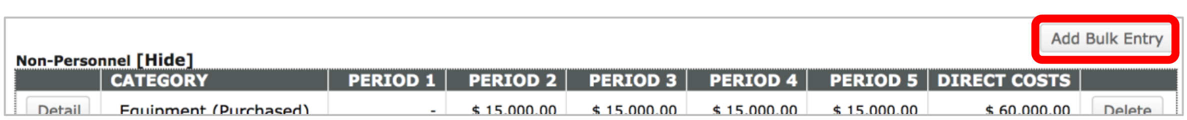
   - Begin typing to select a Budget Category.



   - Click **[Add Item]**.

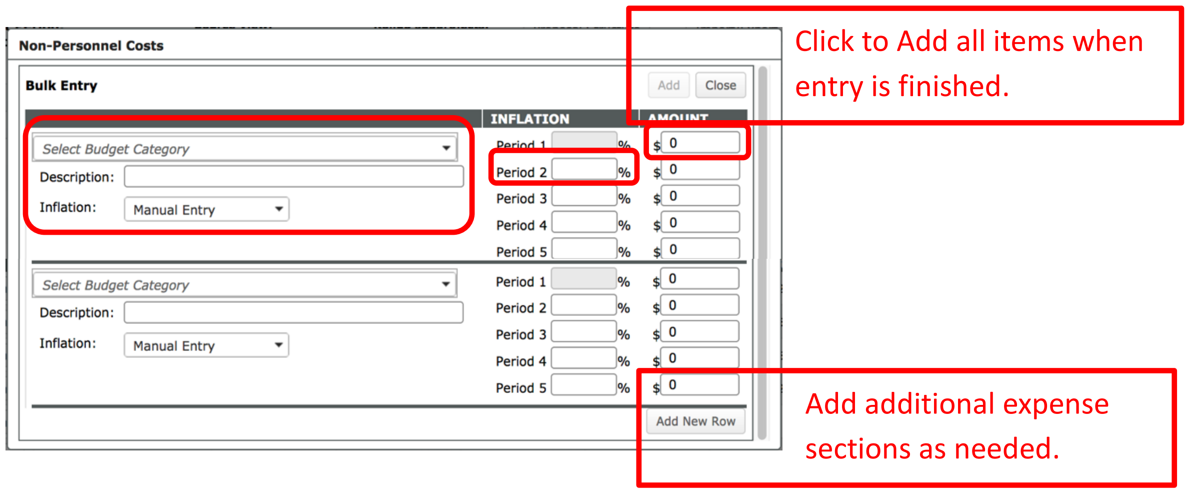


   - Click Detail to enter amounts for each Period.
4. *Non-Personnel – Bulk expense entry*

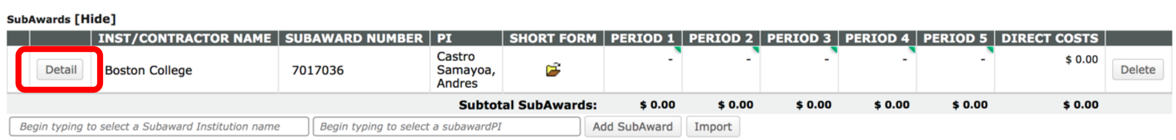


   - Click **[Add Bulk Entry]** to begin.

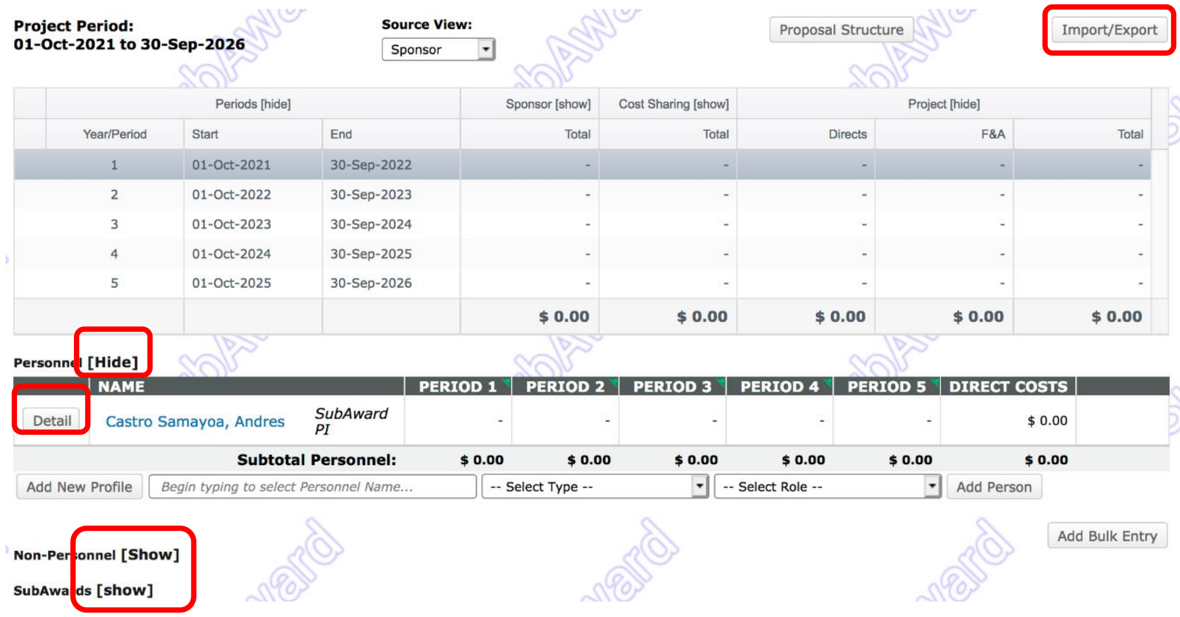
- In the Bulk Entry screen for each expense item:
    - Select Budget Category and enter Description.
    - Choose Inflation option (manual or a specific value; manual is shown).
    - Enter expense amount for Period 1 and Inflation % for Period 2.
    - Future years will be automatically calculated.



5. *SubAwards*



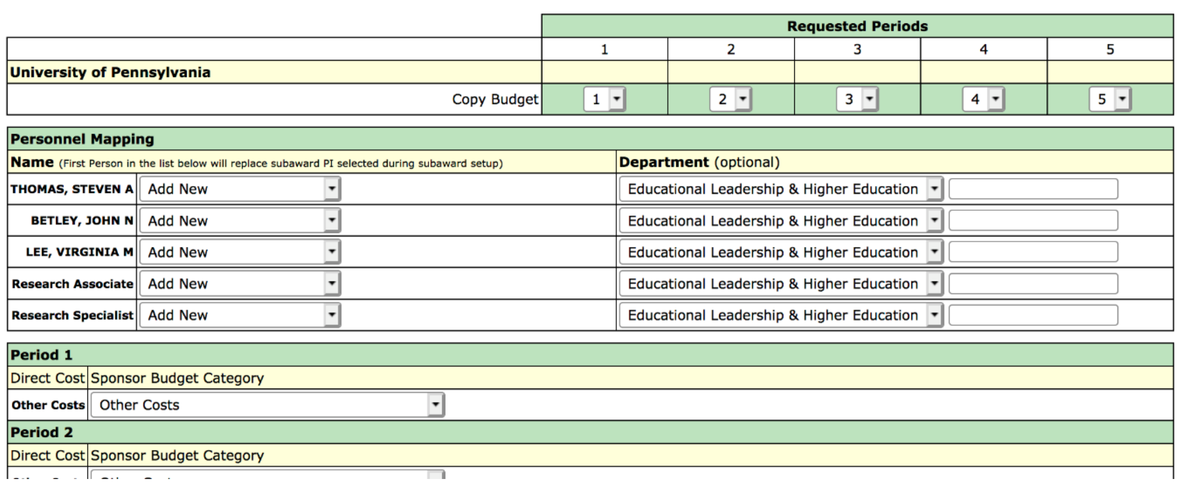
- SubAwards created in Personnel will already be displayed here, but additional SubAwards may be added.
- Click Detail to manually enter budget details for each SubAward or to import from Adobe Forms.
- Each SubAward screen displays with a "watermark" to aid in identifying that this is a SubAward budget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



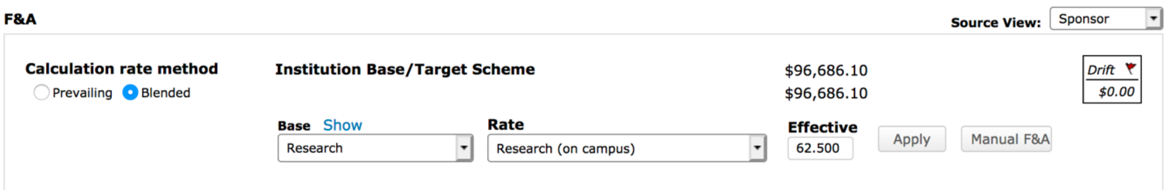
- The data entry sections and method are identical to entering information in the Prime/Penn budget screens; those instructions may be followed to manually complete the information.

  OR

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

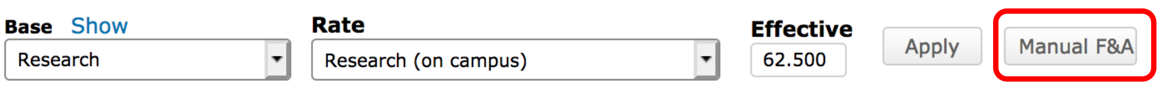


F&A Basic Data Entry



1. 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%.

2. 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.



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

Prime**

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

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
Direct Cost Totals	$ 150,000.00	$ 150,000.00	$ 150,000.00	$ 150,000.00	$ 150,000.00	**$ 750,000.00**
F&A Base Totals**	$ 150,000.00	$ 150,000.00	$ 150,000.00	$ 150,000.00	$ 150,000.00	**$ 750,000.00**
F&A Totals	$ 93,187.50	$ 93,750.00	$ 93,750.00	$ 93,750.00	$ 93,750.00	**$ 468,187.50**
Grand Totals	**$ 243,187.50**	**$ 243,750.00**	**$ 243,750.00**	**$ 243,750.00**	**$ 243,750.00**	**$ 1,218,187.50**

***Not included in Grand Totals*

F&A Breakdown

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

Cost Sharing Data Entry

Non-Personnel Costs

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

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

COST SHARING BY BREAKDOWN | COST SHARING BY BUILD UP | + ADD SOURCE

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
SPONSOR [Hide]					
Percent	100.000	100.000	100.000	100.000	100.000
Cost	150,000.00	150,000.00	150,000.00	150,000.00	150,000.00
Type					
Category					
INSTITUTION [Hide]					
Percent	0.000	0.000	0.000	0.000	0.000
Cost	0.00	0.00	0.00	0.00	0.00
Type					
Category					

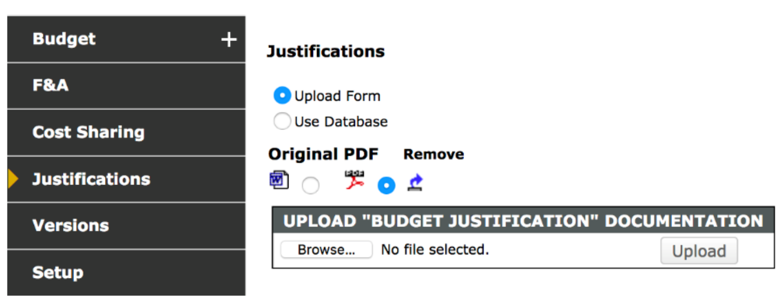
3. Enter a Percent value in either the Sponsor or Institution section, and PennERA will automatically recalculate the Percent for the future years and for the other funding source.

COST SHARING BY BREAKDOWN | COST SHARING BY BUILD UP | + ADD SOURCE

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5
SPONSOR [Hide]					
Percent	90.000	90	90.000	90.000	90.000
Cost	135,000.00	135,000.00	135,000.00	135,000.00	135,000.00
Type					
Category					
INSTITUTION [Hide]					
Percent	10.000	10.000	10.000	10.000	10.000
Cost	15,000.00	15,000.00	15,000.00	15,000.00	15,000.00
Type					
Category					

Justifications Upload

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



Versions

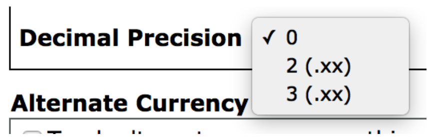
Multiple versions may be created of the budget. See How do I… create different versions of the budget?

Setup

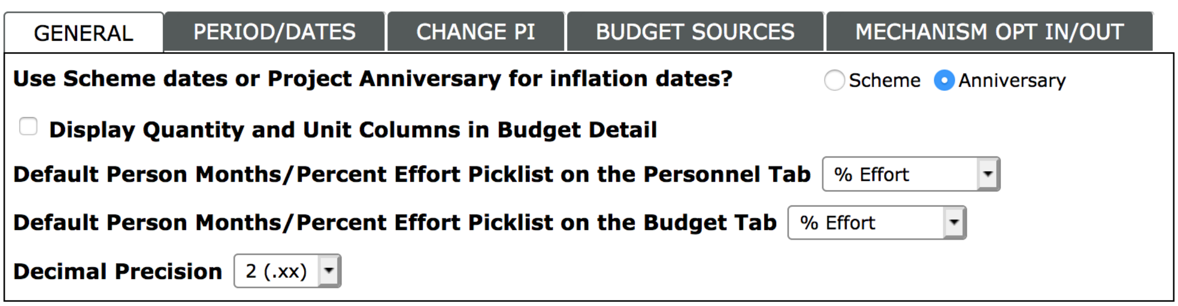
- PennERA defaults to the current F&A rate for Research projects and calculates all future years based on the negotiated rate agreement.
- The rate may also be adjusted for those federal proposals that have other negotiated rates or a mandated rate listed in the Funding Opportunity Announcement.
    - 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:

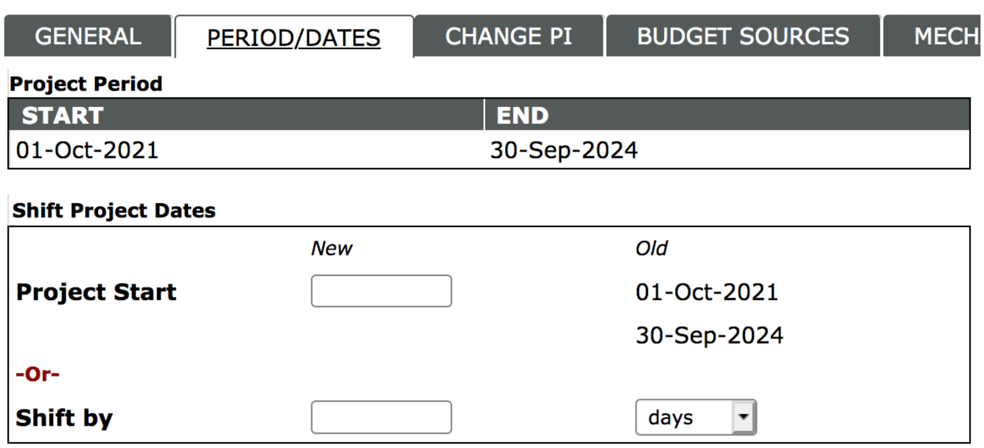
1. *General > Decimal Precision*
    - Choose a decimal precision level.
    - System default is 2.xx decimal precision.



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.*



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.



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

Budget Period Add Delete

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

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

-Or-

Switch PI To.... Select

NAME	DEPARTMENT	NEW PI
Ford, Evelyn J	8760 - Research Services	☑
BITTO, CHRISTIAN	8760 - Research Services	☐

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

Currently Active Program Validations Opt Out Refresh Values

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

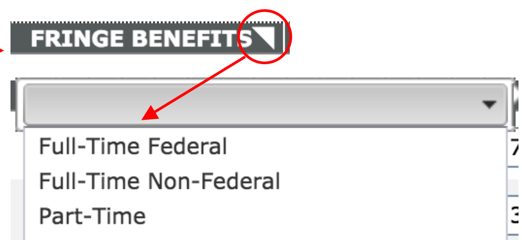
Budget Detail Data Entry Steps

➤ 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.

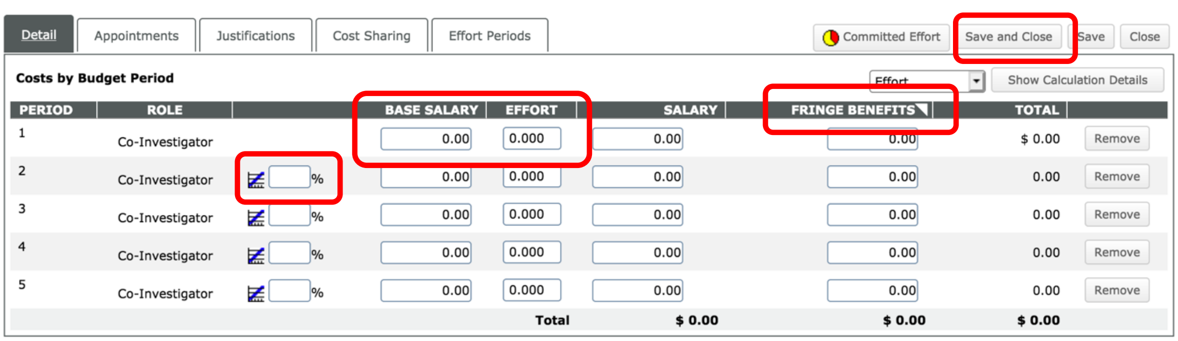
Data Entry Steps

1. Open the Budget section, which will open on the main Budget screen, then click the Detail 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.

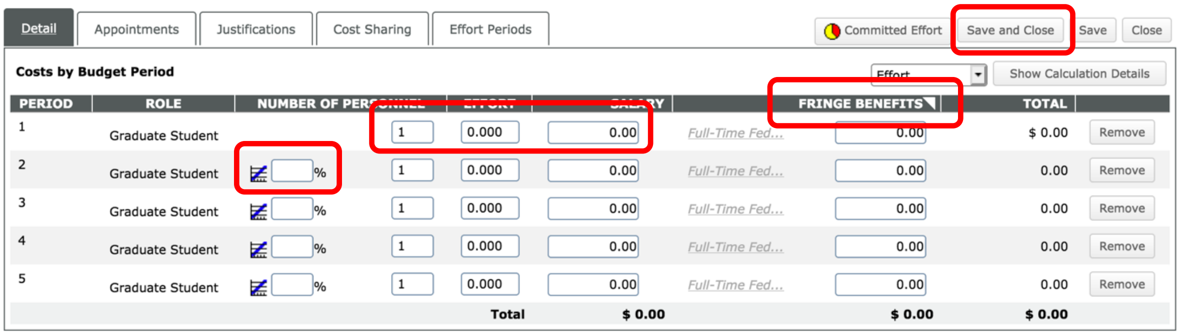


3. For Non-Key Personnel:
   - Enter Number of Personnel, Effort, and Salary (requested) in Period 1.
   - Enter Escalation percent in Period 2.
   - Choose a Fringe Benefit option (see screen shot above).
   - Let the screen refresh.
   - PD will automatically calculate the requested amount.
4. Click Save and Close.

Key Personnel Detail Screen



Non-Key Personnel Detail Screen



➤ Edit Penn Personnel Expenses

Data Entry Steps

1. Click the Detail 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 Save and Close.

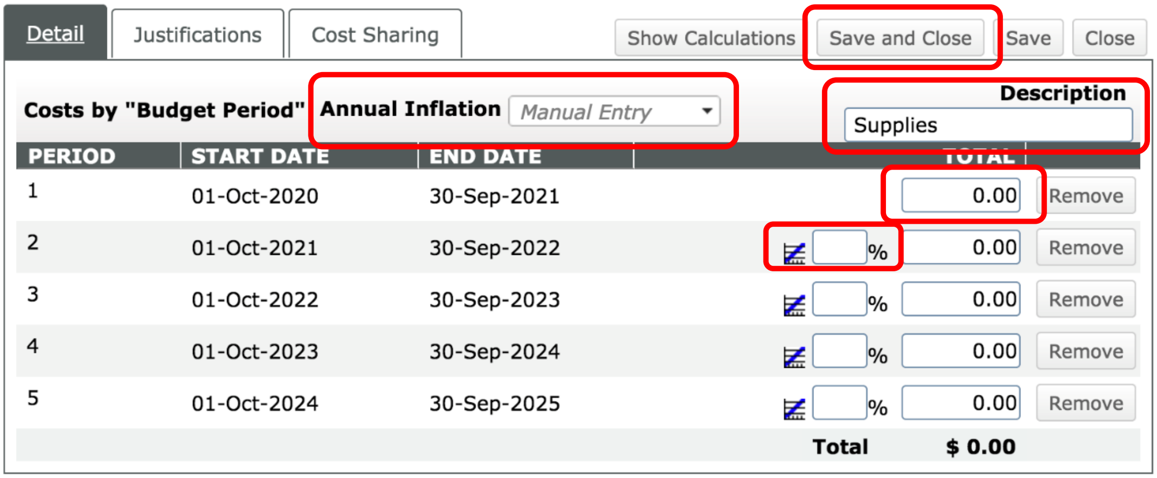
➤ Add Non-Personnel Expense

- In S2S records, the selected Budget Category is used to calculate F&A. Be sure to select the appropriate categories.

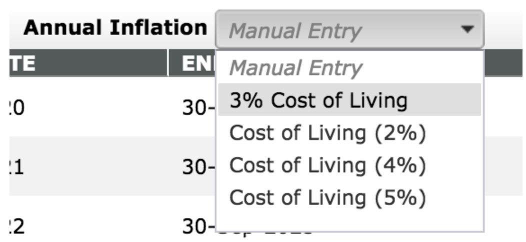
- In an S2S record, only three Budget Categories may be selected that have an asterisk at the end (e.g., "Other Costs*"). The R&R Detail Budget form does not permit more than three of these categories to be used.

Data Entry Steps

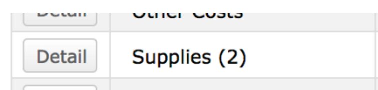
1. Open the Budget section, which will open the main Budget data entry screen.
2. To enter Non-Personnel expense items one line at a time, go to Step 3 below; to enter several items at once, see Step 6 for Bulk Entry steps.
3. Enter one item:
   - Start typing in *Select Budget Category* or select the down arrow to view the Budget Category list, select a category, then click **[Add Item]**.
     Select Budget Category 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 Save and Close.



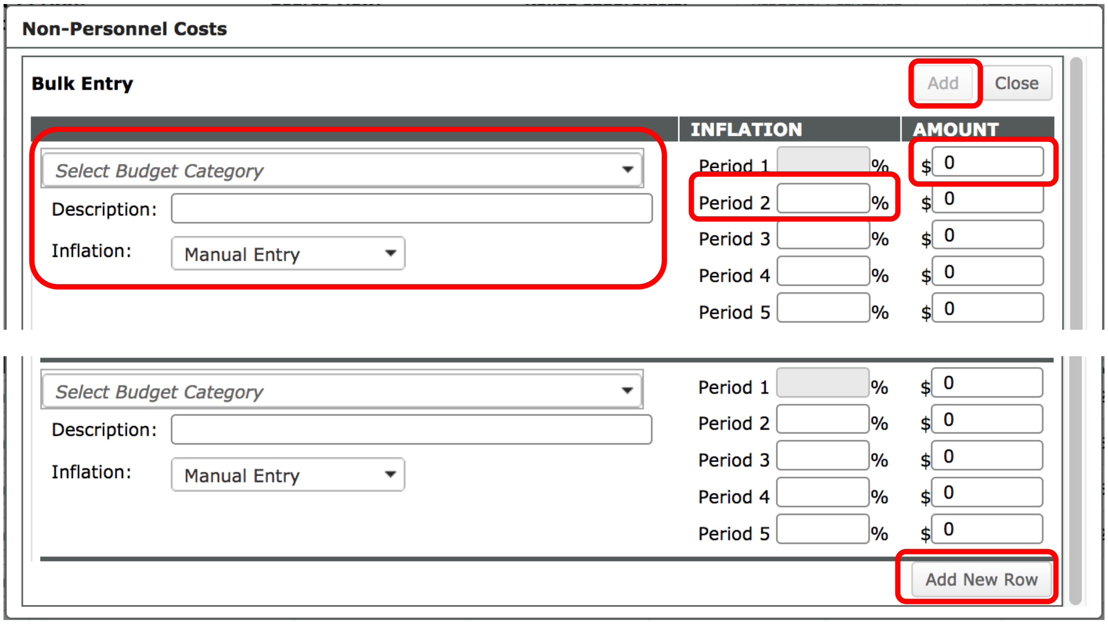
4. Instead of *Manual Entry*, choose an **Annual Inflation** option.
   - Enter Period 1 value.
   - Future periods will automatically populate.
   - Click Save and Close.



5. If more than one expense line is entered using the same Budget Category, PD groups them into one line on the Budget screen.
   - Click the associated Detail button to access each expense line to edit or remove.



6. Use Bulk Entry:
   - Click Add Bulk Entry located at the extreme right of the Non-Personnel heading.
   - 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.
   - If more rows are needed, click **[Add New Row]** at the bottom right of the screen.
   - Once all items have been entered, click Add in the upper right corner.



➤ Edit Non-Personnel Expense

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

Data Entry Steps

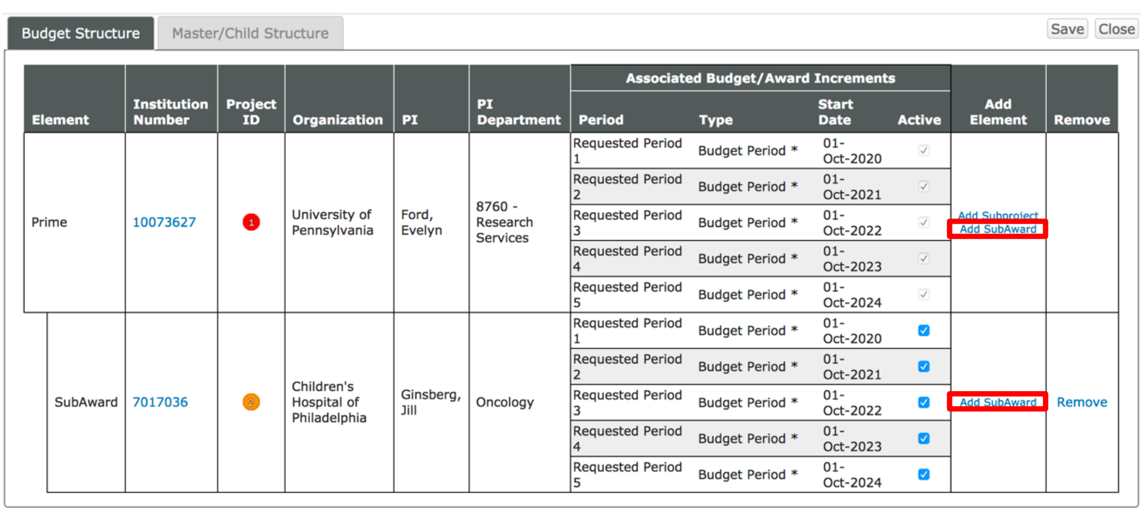
1. Open Detail view for each expense item to be edited.
2. Enter revised value in each changed period.
3. Click Save and Close.

➤ 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.



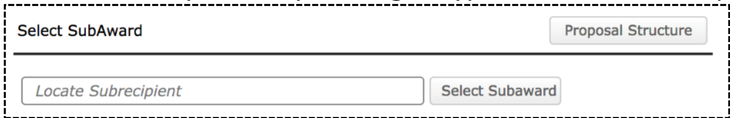
Budget Structure | Master/Child Structure | Save | Close

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

- 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]**.

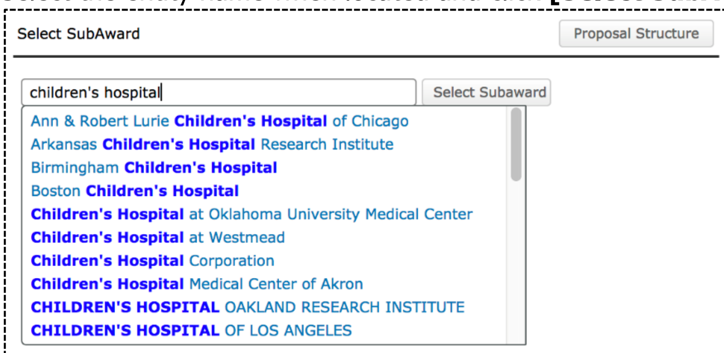
Note: *Check with PennERAhelp@lists.upenn.edu before adding a second-tier SubAward.*

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

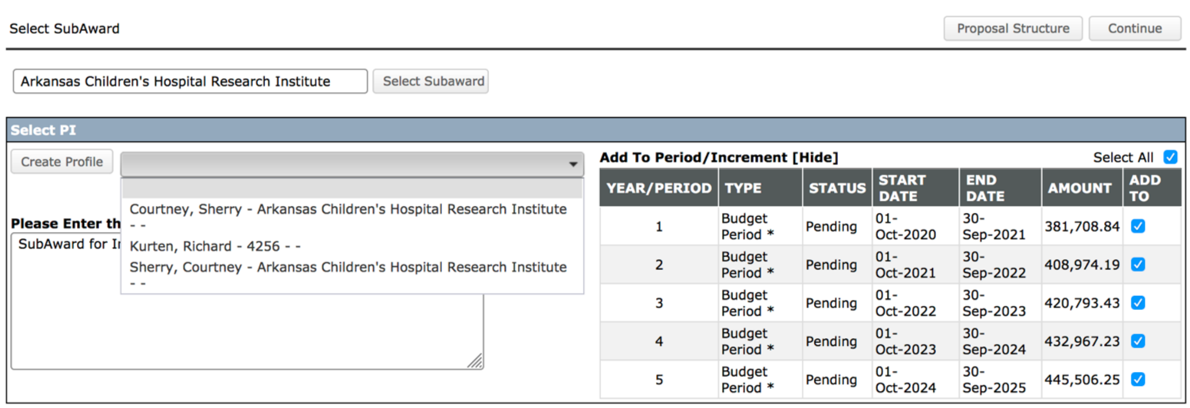


  - This is a predictive search field; use the least common keyword in the entity name to locate the name.
  - If the Subrecipient is not available, write to PennERAhelp@lists.upenn.edu.
    Do not select another entity name as a temporary placeholder.

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



- 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.



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

Initiating the SubAward in the Budget Section

- Click Proposal Structure 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

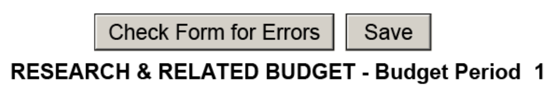
- In the SubAwards section, open Detail view for the SubAward.
- Follow the instructions for Data Entry in the above sections to enter expense in SubAwards or import the information from an Adobe forms package provided by the SubAwardee.

Import SubAwards

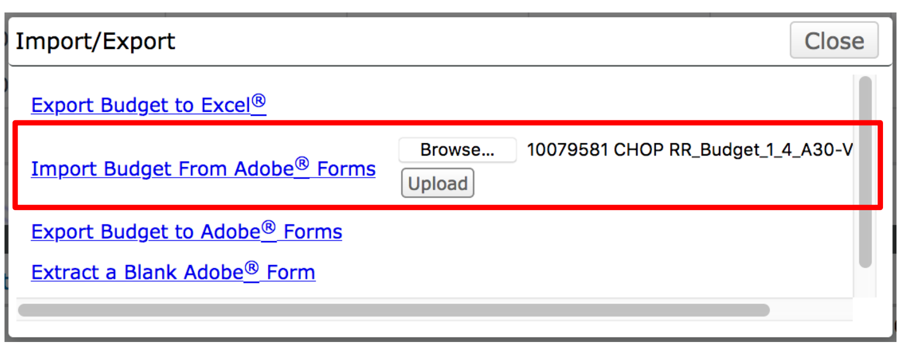
For external subcontracts to Penn, users have the ability to import completed budget data directly from Adobe Research & Related (R&R) form sets into their Proposal Development records instead of entering the data manually.

- 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 Import/Export in the SubAward detail screen.

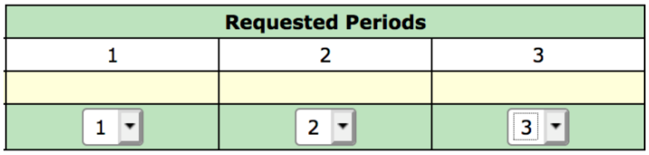
Note: *Users should click* ***[Check Form for Errors]*** *in the Adobe form they plan to import if this option is available. Users should also check the form for data consistency in values entered into the form. All errors should be corrected prior to importing into PD.*



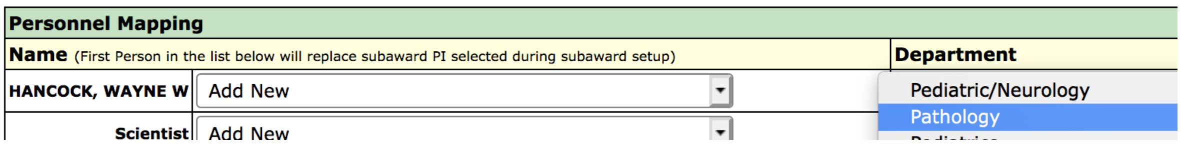
- Open the Budget section of the proposal record.
- In the SubAwards section, open the Detail view for the subcontract you plan to import.
- Click Import/Export .
- Locate and upload the Subcontractor's completed SF424_R&R Budget form.



- 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.

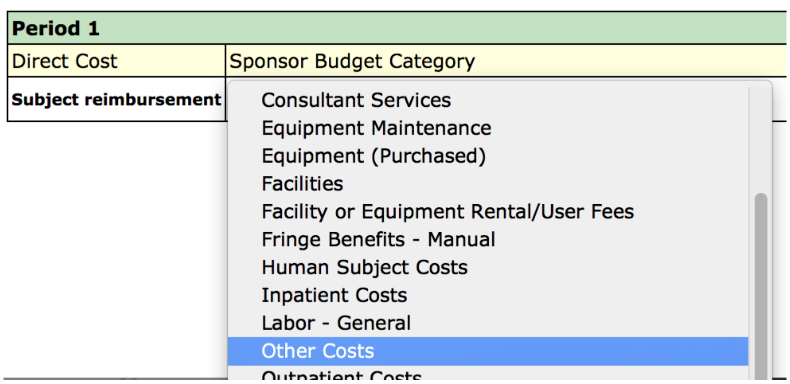


- Complete Personnel Mapping.
    - Valid Department Names must be selected for all personnel at the time they are added to the record. Select from the existing list or Add New.



***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.

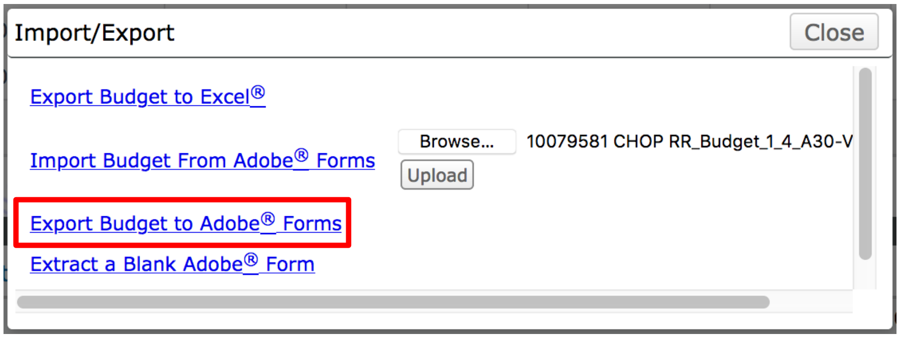


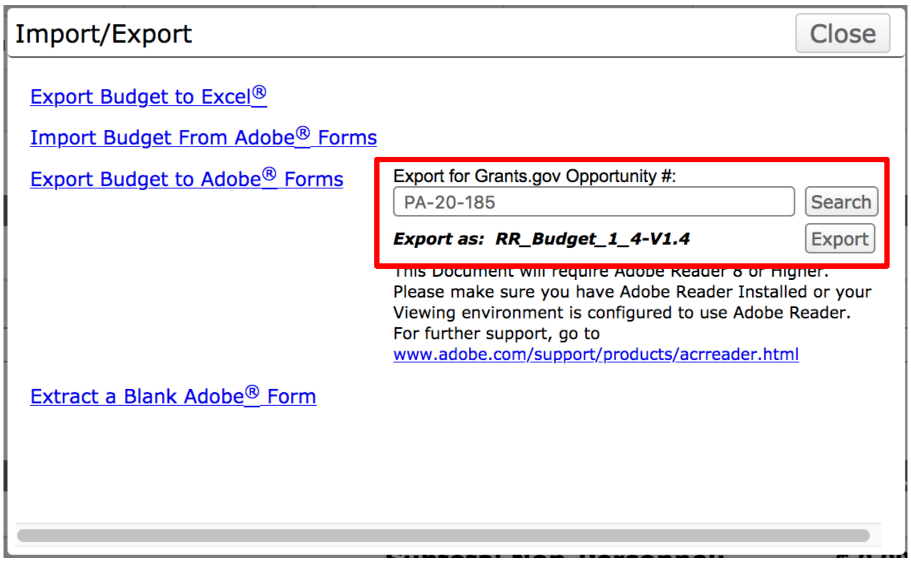
- Click [Process] in the upper right corner.

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.



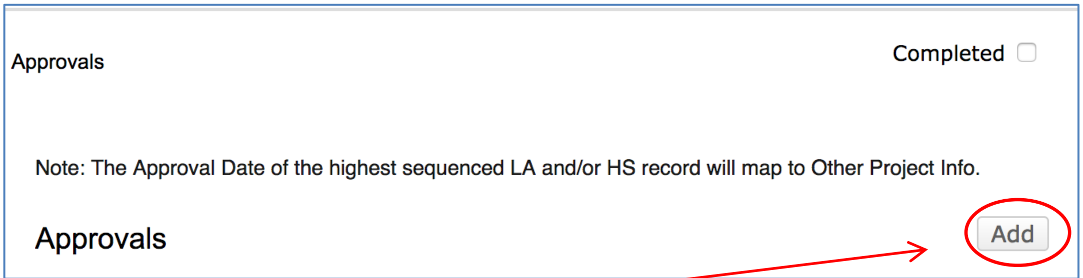


- Map the Budget Periods available in the Adobe forms to the Budget Periods in the PD record.
    - Some subcontracts may not be for the same number of budget periods as Penn's project. If collaborators send a forms package with fewer budget periods, this step ensures you map the information to the correct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

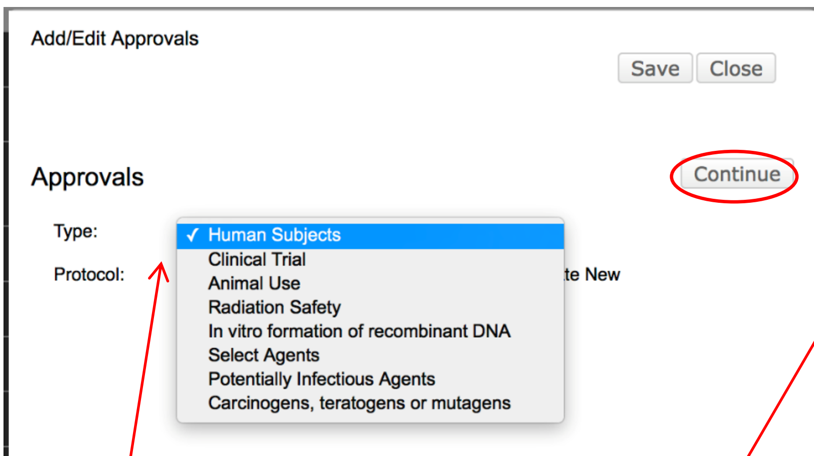
Approvals

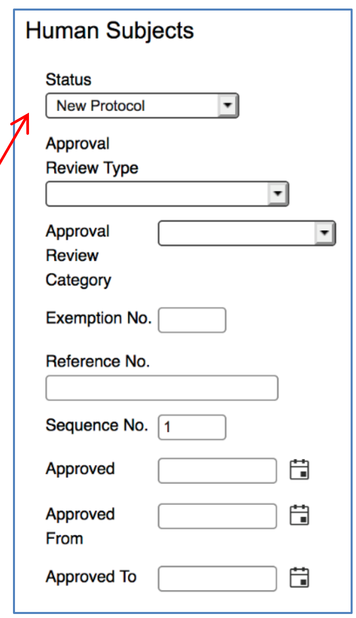
Overview

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



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





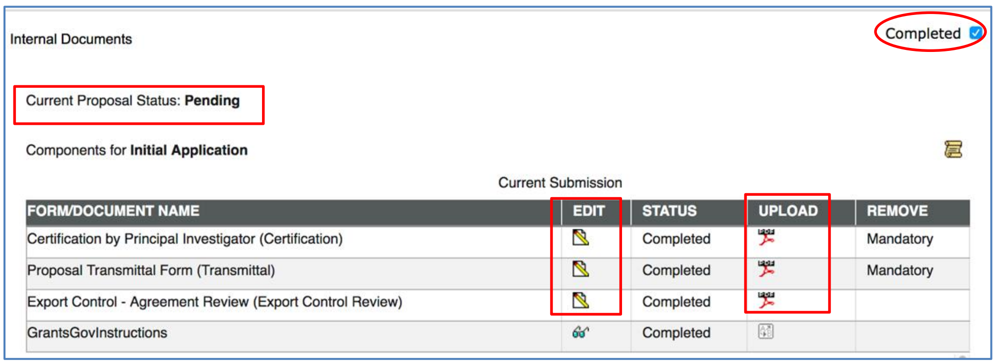
- Select the Type from the drop-down box.
- Click **[Continue]**.
- From the drop-down box select the status of the protocol.
- Complete other known information.
- Click the **[Save]** button.
- Check ☑ the **Completed** box at the top of the form.

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.

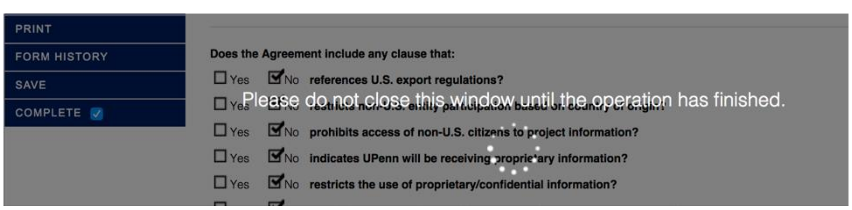
> ***Important Note**: The PI Certification and the Proposal Transmittal forms should **not** be completed until the proposal is ready for internal review and approval. This is a compliance issue in that the PI and the BA are attesting to the accuracy and completeness of the proposal information.*

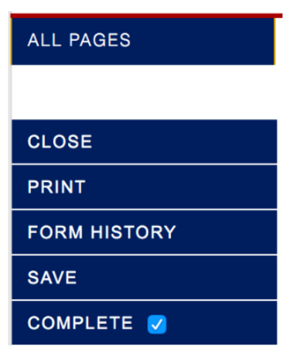


Features

- 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.)





- 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

PennERA
Electronic Research Administration

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

ALL PAGES

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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)

☑ 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?fastStart=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

☑ 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

PennERA Electronic Research Administration

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

ALL PAGES

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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 #	* ORG #	* PROG #	* CREF #
580	5803	2000	3048

Subaccount Segment Requests

CNAC	ORG	PROG	CREF

Sponsoring Agency/Granting Organization Information

Sponsor Contact Name
Sponsor Contact Title
Sponsor Contact E-mail
Contact Phone
Contact Fax
Sponsor Contact Address

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)

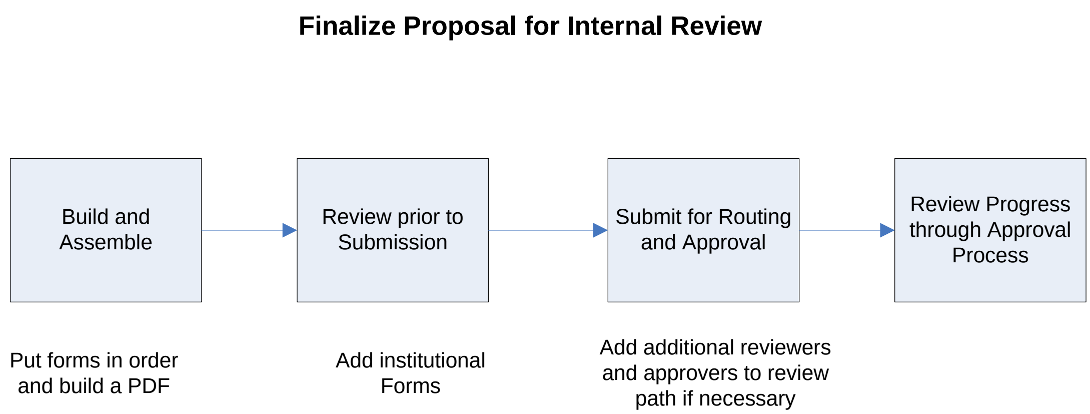
* The budget and other administrative information on this Transmittal Form and in the attached proposal record are complete and accurate to the best of my knowledge. If an award is made as a result of this proposal, I will administer it in accordance with the policies of the sponsor and the University.

☑ 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"**.



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

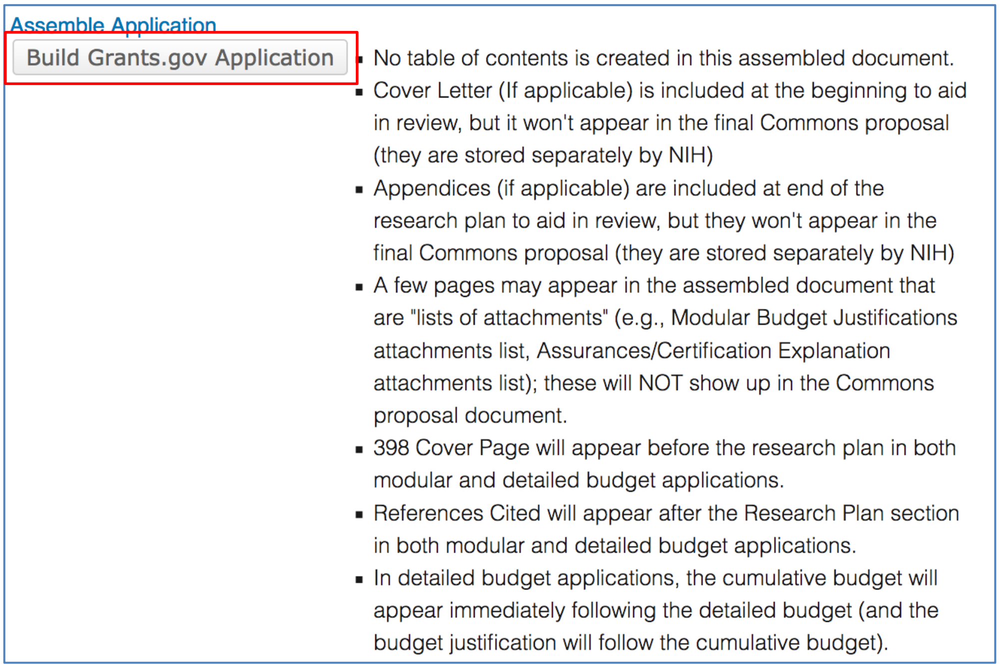
Form Page	Build	Last Built	Built By
SF424 (R&R)			
Other Project Info			
Personnel			
Budget			
Performance Sites			
PHS398_ResearchPlan			
PHS398_CoverPageSupplement			
Human Subjects/CT			

- 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)	View	15-Apr-2019 8:21:33 AM	TORRES, TERRY
PHS 398 Cover Page Supplement	View	15-Apr-2019 8:21:26 AM	TORRES, TERRY
Other Project Info	View	15-Apr-2019 8:21:16 AM	TORRES, TERRY
Personnel	View	15-Apr-2019 8:21:30 AM	TORRES, TERRY
Budget	View	15-Apr-2019 8:21:19 AM	TORRES, TERRY
Performance Sites	View	15-Apr-2019 8:21:28 AM	TORRES, TERRY
PHS 398 Research Plan	View	15-Apr-2019 8:21:21 AM	TORRES, TERRY
Human Subjects/CT	View	15-Apr-2019 8:21:24 AM	TORRES, TERRY
PHS_AssignmentRequestForm_2_0	View	15-Apr-2019 8:21:28 AM	TORRES, TERRY

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



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

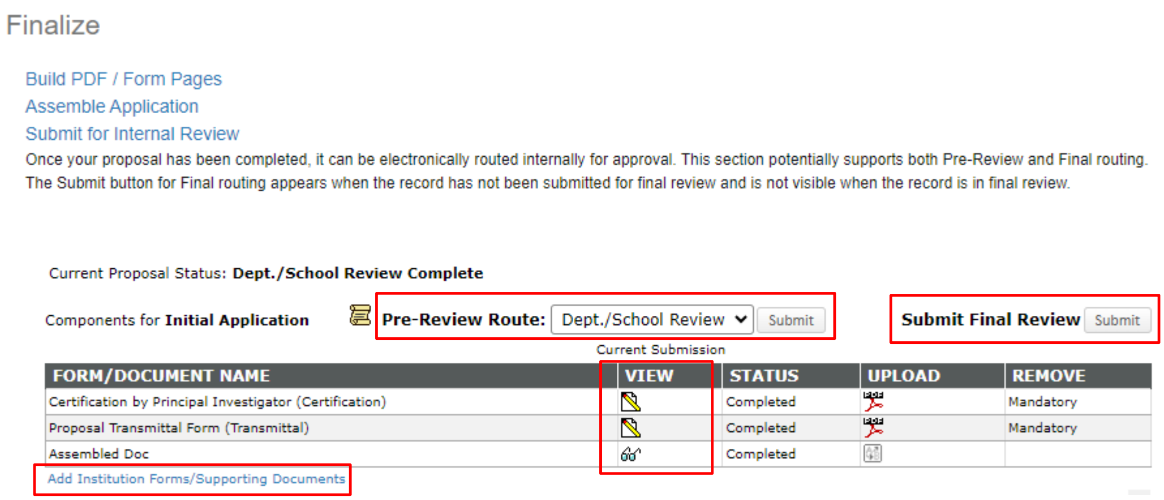
Note: *For system-to-system applications, these forms are built for the purpose of making the review easier, so that reviewers may view the form in a close approximation to its final appearance in the sponsoring agency's electronic system. PennERA does NOT send these forms to the sponsor.*

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**.



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, submit to the Internal Review process.
  - 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

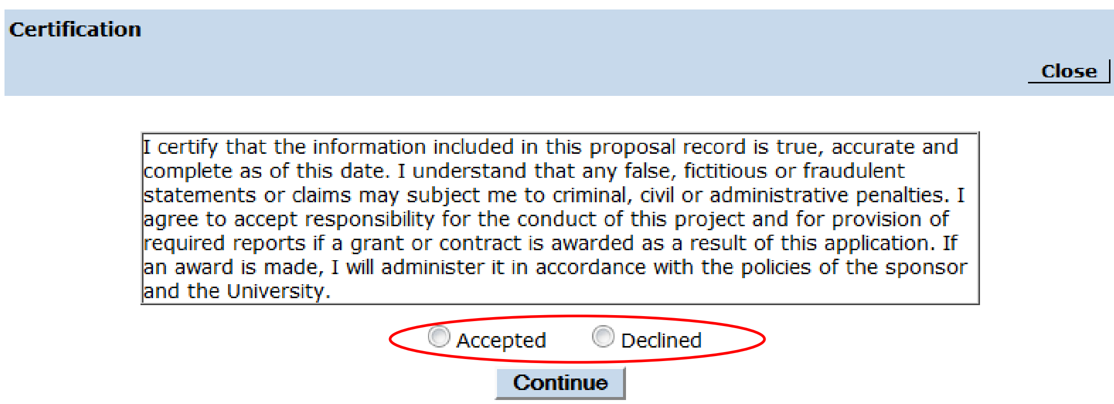
Overview

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

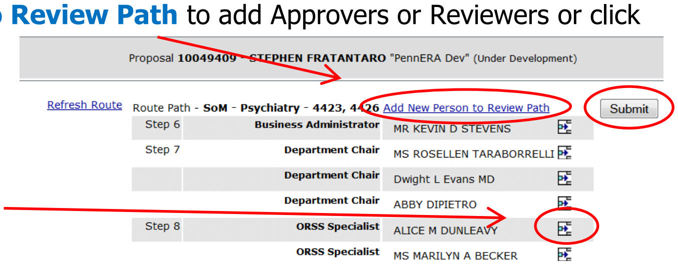
Features

- Click 

to begin the routing process.
- A certification will be displayed.

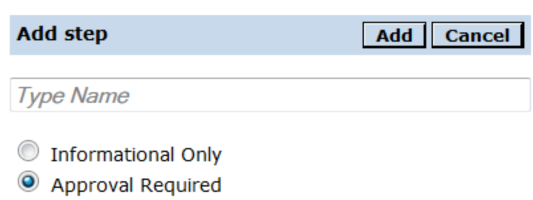


- Read, select "Accepted", if appropriate, and click **[Continue]**.
- Click the link **Add New Person to Review Path** to add Approvers or Reviewers or click **[Submit]**.



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

- People added to a route can be an Approver or a Reviewer. To make someone a Reviewer, select the radio button, "Information only" when adding them to a route. To make someone an Approver, select the radio button, "Approval Required" when adding them to a route.

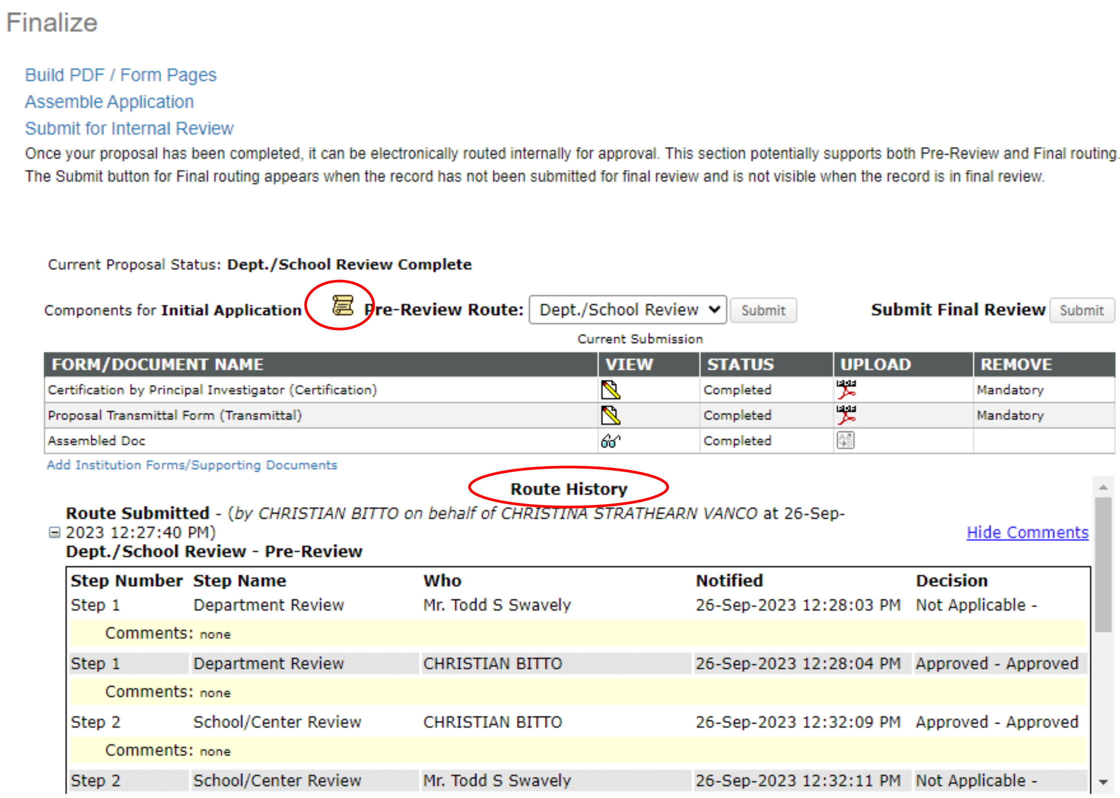


- Begin typing the name and select the correct option from the list.
- Click **[Add]**.
- Click **[Submit]** to send the proposal into the approval queue.

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 approval. This section potentially supports both Pre-Review and Final routing. The Submit button for Final routing appears when the record has not been submitted for final review and is not visible when the record is in final review.

Current Proposal Status: **Dept./School Review Complete**

Components for **Initial Application** **Pre-Review Route:** Dept./School Review Submit **Submit Final Review** Submit

Current Submission

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

Add Institution Forms/Supporting Documents

Route History

Route Submitted - (*by CHRISTIAN BITTO on behalf of CHRISTINA STRATHEARN VANCO* at 26-Sep-2023 12:27:40 PM) Hide Comments

Dept./School Review - Pre-Review

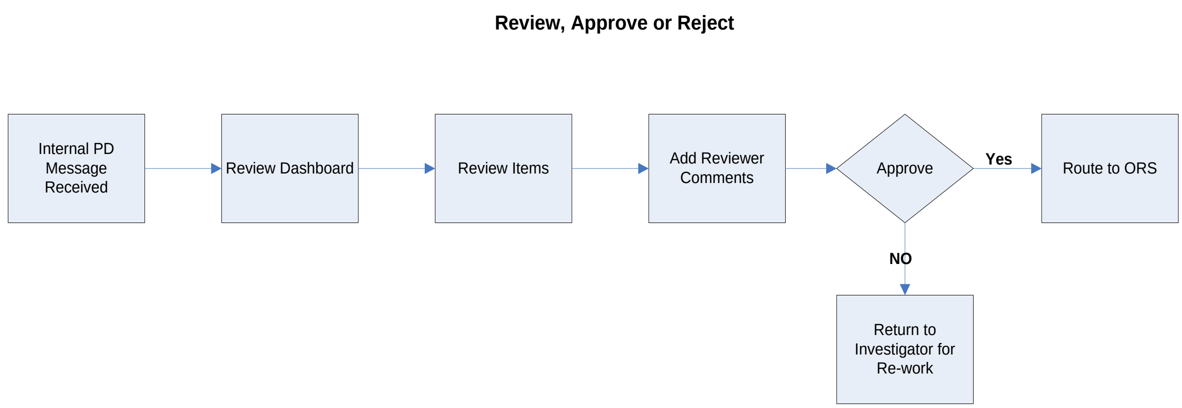
Step Number	Step Name	Who	Notified	Decision
Step 1	Department Review	Mr. Todd S Swavely	26-Sep-2023 12:28:03 PM	Not Applicable -
Comments: none				
Step 1	Department Review	CHRISTIAN BITTO	26-Sep-2023 12:28:04 PM	Approved - Approved
Comments: none				
Step 2	School/Center Review	CHRISTIAN BITTO	26-Sep-2023 12:32:09 PM	Approved - Approved
Comments: none				
Step 2	School/Center Review	Mr. Todd S Swavely	26-Sep-2023 12:32:11 PM	Not Applicable -

1. Each person on the approval route will receive an email and a PennERA message to alert them to your proposal.
2. Click the 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.



- 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

From: Swavely, Todd　　Sent: Sat 7/4/2015 4:10 PM
To: Bitto, Christian
Cc:
Subject: Approval Needed - 10052608 - 8710 - Finance Administration

Proposal 10052608 submitted by ORG 8710 - Finance Administration for ELIZABETH D PELOSO from 8710 - Finance Administration requires your approval. Your prompt attention to this request is appreciated. If you have any concerns about the proposal, please contact your departmental administrator.

2

To review, approve or disapprove this proposal click: Reviewer Dashboard

External Email – For Reviewer

From: Swavely, Todd　　Sent: Fri 6/26/2015 4:38
To: Bitto, Christian
Cc:
Subject: Proposal review available - 10052813

Proposal 10052813 submitted by ROBERT R GUTOWSKI from 6003 - Arboretum Administration is available for your review. Please note that you are able to view the proposal but you are not required to approve the proposal. The proposal will continue its routing and approval path regardless if you open the submission package. However, if you do open the submission package and you have concerns with any of the information that is presented in the proposal such as participating faculty effort, space allocation or other concerns, you must contact your departmental administrator so that she/he can contact the necessary officials if the proposal should not be submitted to the sponsor. Failure to communicate any concerns in a timely manner will result in the proposal continuing on the routing and approval path established.

Click here to Open Submission Package

1

The Review Dashboard may also be accessed through **Assignments** in the PennERA Portal Header.

Home　My Profile　Locate My Records　Locate Records　Messages　Assignments　Quick Find

Sponsored Projects
Human Protocol
Laboratory Animals
Module Access & Routing
SPIN

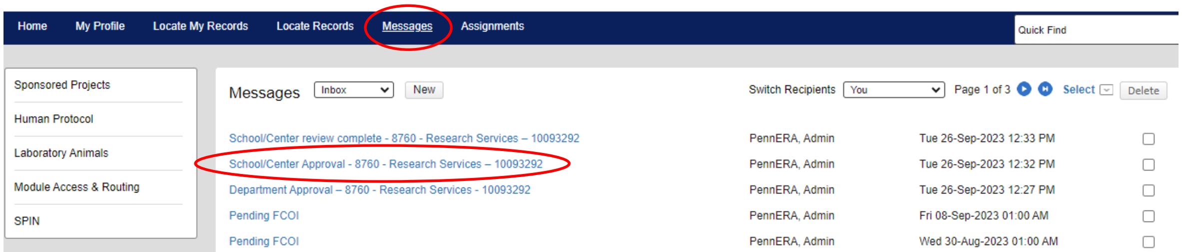
Assignments　Open　Your action items

Drag a column header and drop it here to group by that column

	Module	Record Number	Principal Investigator (PI)	Object	Assignment Type	Status	Subject	Assigned
▸	Module Access & Routing	1565	STRATHEARN VANCO, CHRISTINA	Access Request	Dashboard	Request Under Review	Module Access and/or Routing Request - CHRISTINA M STRATHEARN - 8760 - Research Services	23-Aug-2023 9:23:04 AM
▸	Proposal Tracking	10093253	NEY, DONNA M	Initial Application	Dashboard	Final Review - Proposal Complete	Final Approval - 8760 - Research Services – 10093253	18-May-2023 1:46:35 PM
▸	Proposal Tracking	10085015	NEY, DONNA M	Initial Application	Dashboard	Final Review - Proposal Complete	Final Approval - 8760 - Research Services – 10085015	17-May-2023 2:00:37 PM

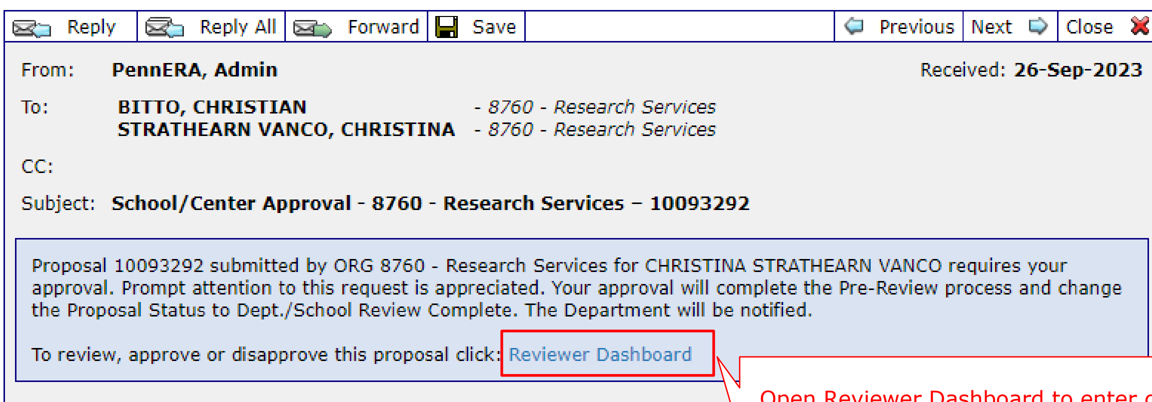
- Click on the hyperlinked Record Number to open the Review Dashboard for a given proposal in the list of Assignments.
- Previously reviewed and completed items may be displayed by changing the view from **Open** to **Closed** in the top right corner.

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



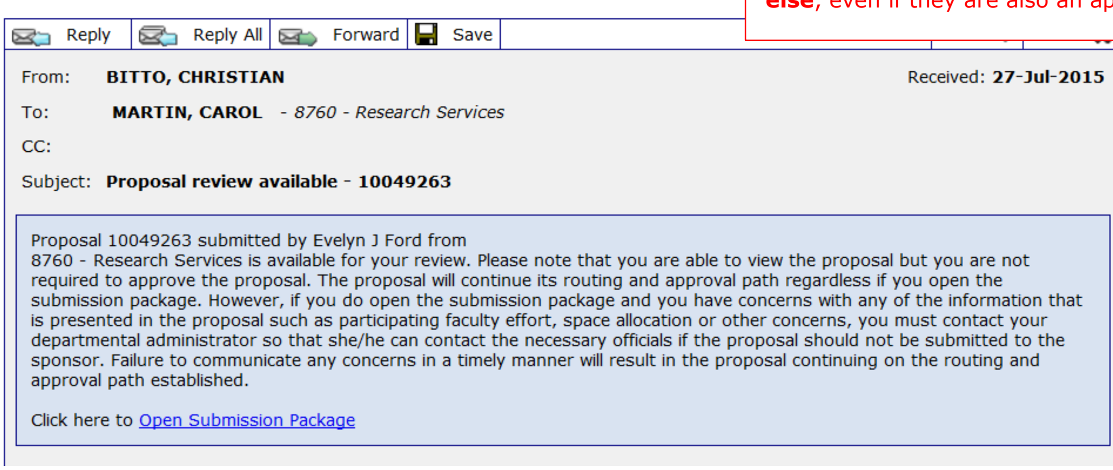
- Click on the hyperlinked Message title to view the message.
- Access the Review Dashboard or the Proposal from the message.

Internal Email – for Approver



Open Reviewer Dashboard to enter decision. This link is specific to the security access for the recipient of the email. **It will not work if you forward this email to someone else**, even if they are also an approver.

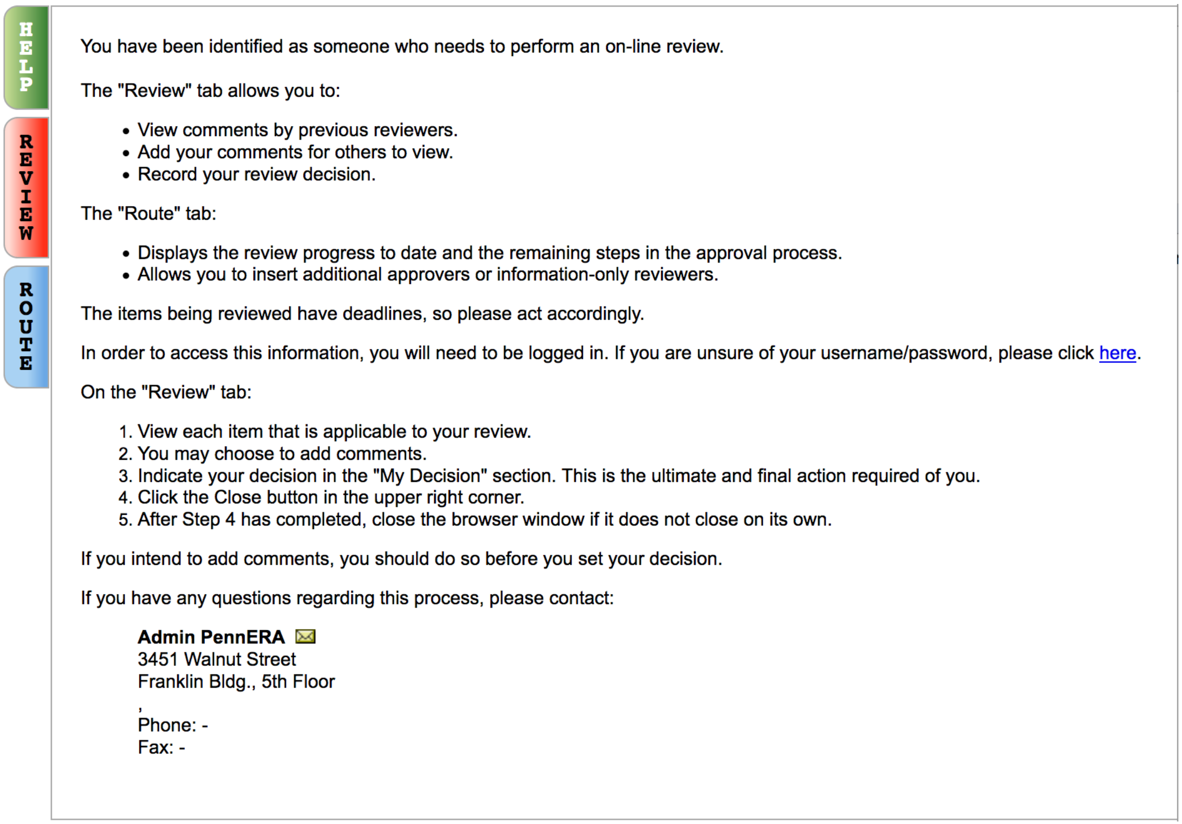
Internal Email – for Reviewer



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

REVIEW

ROUTE

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.

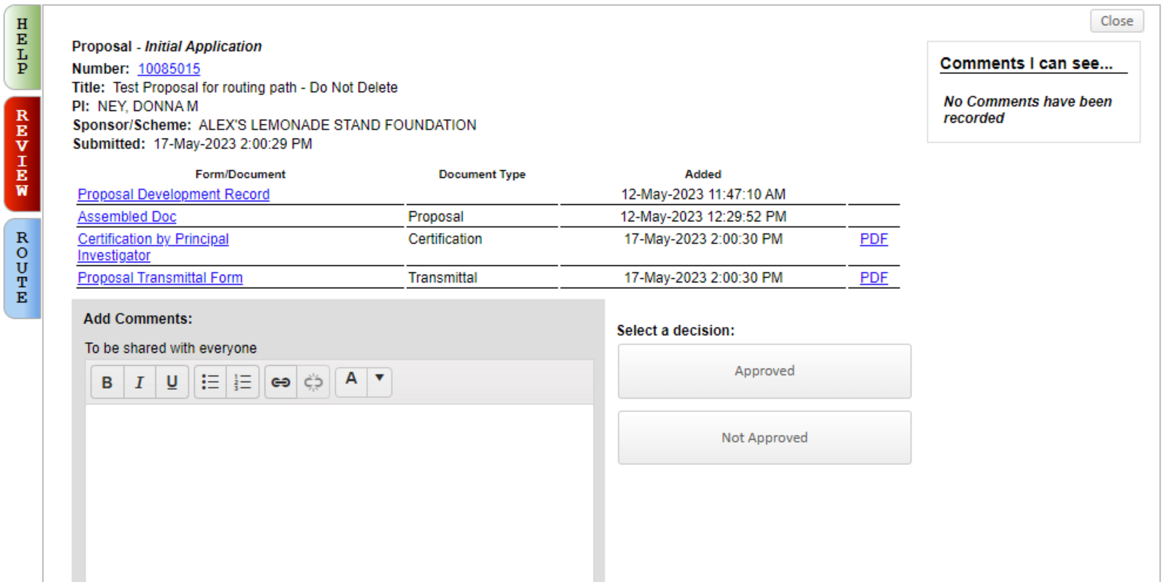
If you have any questions regarding this process, please contact:

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

- Click on **[Review]**.

Reviewer Dashboard – Review Screen

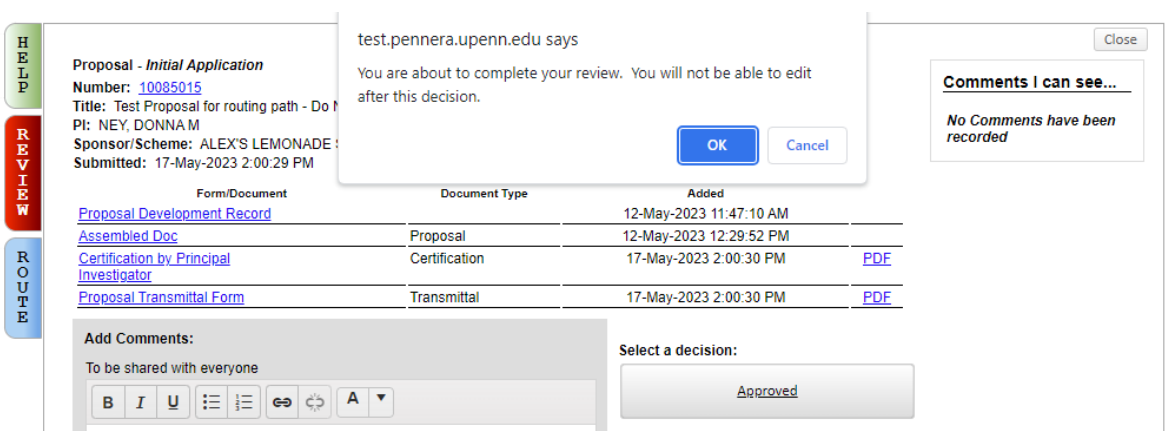
This screen allows an approver to approve or reject a proposal, add comments, and track the proposal.



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.
- Add Comments where appropriate. You may not add comments after you enter your decision to approve or not approve the proposal.
- When you're ready, click on Approved or Not Approved.

- Select "Approved" or "Not Approved" from the dropdown.
- Click on the **Save** icon.
- 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.



- Click **[OK]**.

Note: *Changes can be made by any user who has access/edit privileges during the proposal development and pre-review process. Any changes to the record while in review require the record to be built and assembled again.*

Changes needed after a record has been submitted to final review require the reviewer to return the record to the department.

NIH Pre-Submission 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	View	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.

Grants.gov Submission Resubmit to Grants.gov *Submitted by Evelyn Ford* Grants History XML Validation

Submitted Date	Grants.Gov ID	Receipt Date	Receipt Status
21-Apr-2020 4:50:37 PM	GRANT13078253	4/21/2020 4:58:08 PM	Agency Tracking Number Assigned

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

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

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?

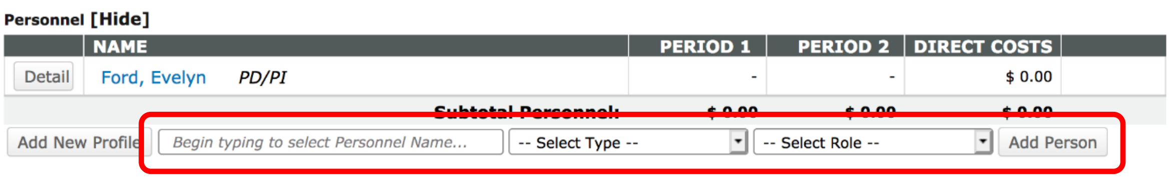
> ***Note:*** *While you may use this process for adding personnel, the preferred method is to add personnel on the Personnel screen.*

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.

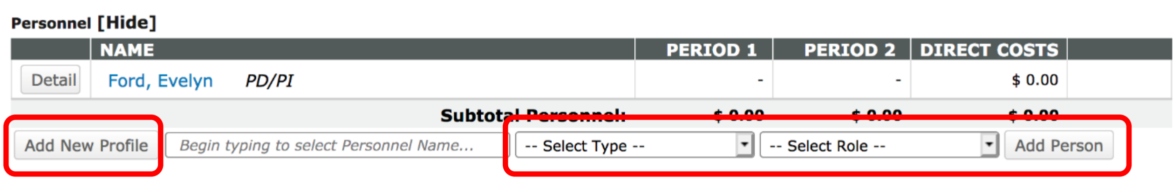
Add Existing Personnel to the Penn Budget



- Begin typing in "*select Personnel Name…*" to locate and select an existing staff name.
  - Notify PennERAhelp@lists.upenn.edu if a name cannot be located.
- Select Personnel Type and Role.
- Click Add Person once these three fields are completed.
- Once the name appears in the Personnel list, click Detail 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.



- 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. * Department Set
    - 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 Locate.
- 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 Save 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 Save button immediately below Create Profile, ***not*** the Save option in the upper left corner.

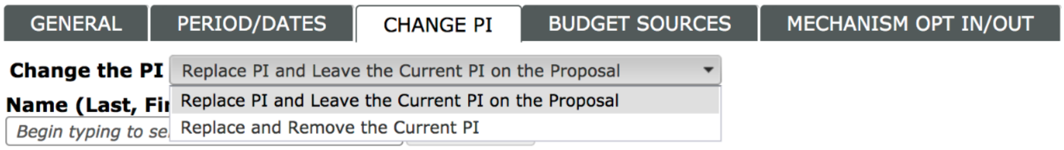
Add Personnel to a SubAward

- 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.

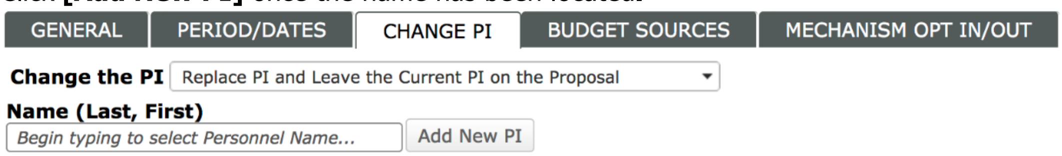
How do I… change the PI?

Budget

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



- 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**.**



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.*

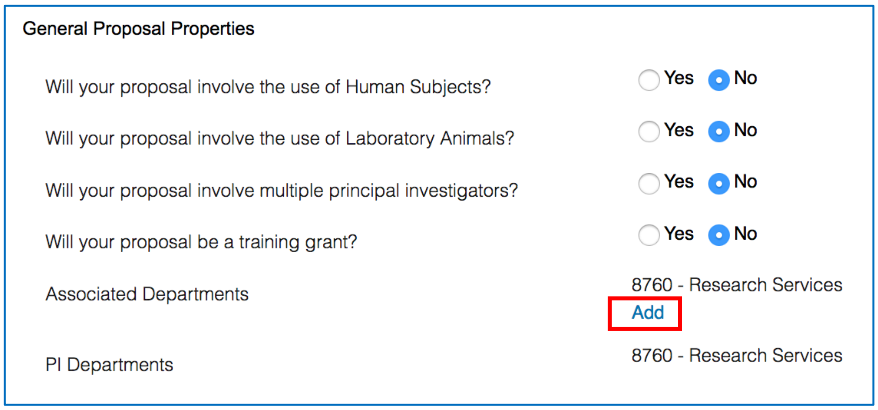
Other forms that may need to be changed, if the PI is changed, are:

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

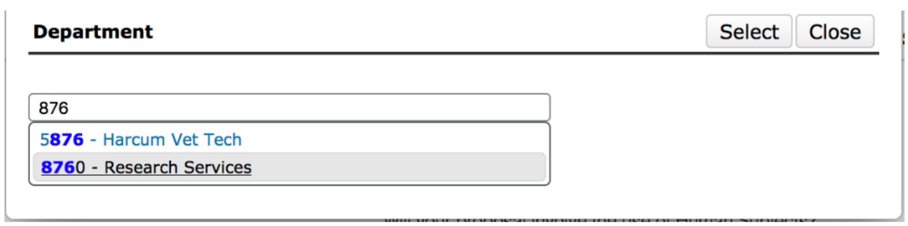
How do I… add or change the default Associated Department?

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.

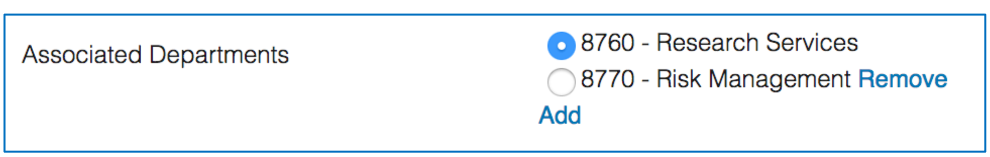
- On the **Setup Questions** screen, in the **General Proposal Properties** section of the questionnaire, click the **Add** link in the Associated Departments row.



- 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.



- 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.



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.

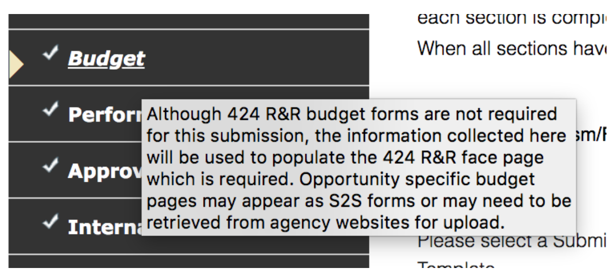
- Child records for non-competing continuations and non-S2S supplementals.
- S2S records that do not use one of the RR Detail Budget forms.

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.

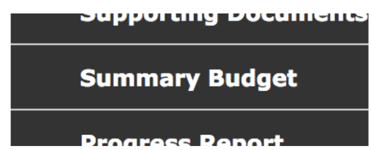
- Some S2S submissions do not permit any entry into the ***Budget*** section. These records have a sponsor-specific budget form available on S2S Forms, which populates both the summary budget section and the SF424. An example is an NIH T32 training grant.

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 Complete Budget 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:

Non-Personnel [hide]

	CATEGORY	PERIOD 1	PERIOD 2	DIRECT COSTS	
Detail	Equipment (Purchased)	$ 15,000.00	$ 15,000.00	$ 30,000.00	Delete
Detail	Other Costs	125,000.00	150,000.00	275,000.00	Delete
	Subtotal Non-Personnel:	**$ 140,000.00**	**$ 165,000.00**	**$ 305,000.00**	

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

Non-Personnel Costs

	PERIOD 1	PERIOD 2	TOTAL
Equipment (Purchased)			
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
Other Costs			
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
Directs & F&A Total	**$ 218,125.00**	**$ 258,750.00**	**$ 476,875.00**

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

	PERIOD 1	PERIOD 2	TOTAL
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 [Proposal Structure] 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).
  - [Begin typing to select a Subaward Institution name] [Begin typing to select a subawardPI] [Add SubAward]
  - 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

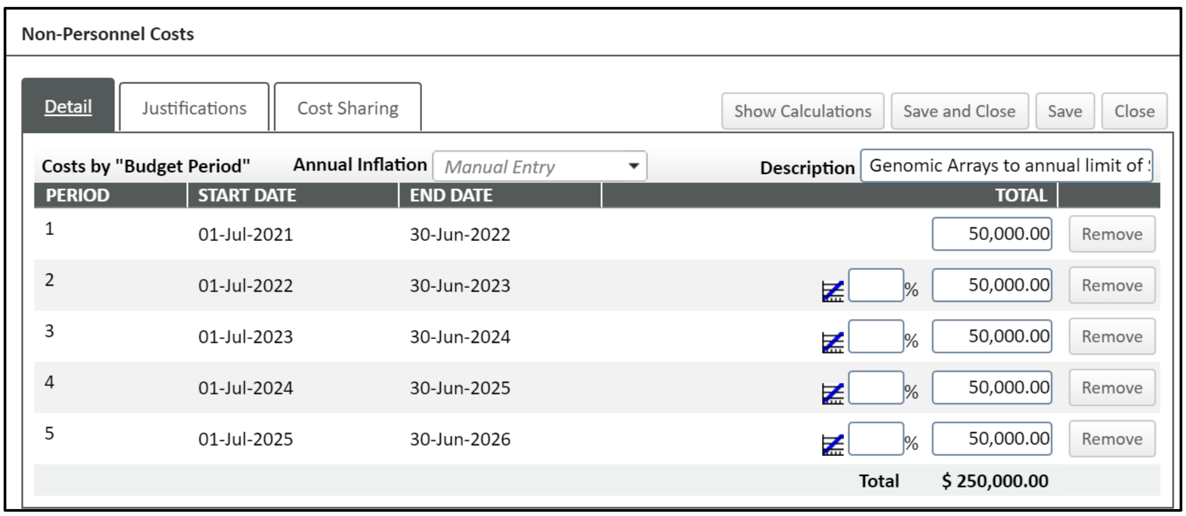
- Upload a "biosketch" for the "PI" of the GA SubAward.
- Do not use a formatted biosketch or NIH biosketch form; create a standard Word document with the following text:

> 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: Manual Entry | 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	%	50,000.00	Remove
3	01-Jul-2023	30-Jun-2024	%	50,000.00	Remove
4	01-Jul-2024	30-Jun-2025	%	50,000.00	Remove
5	01-Jul-2025	30-Jun-2026	%	50,000.00	Remove
			Total	$ 250,000.00	

Genomic Arrays "SubAward" Budget Screen

Done Save

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

Proposal
10073738

Edit Mode

- Budget +
- SubAwards (1) −
  - GENOMIC ARRAYS - EXTERNAL −
    - Period 1 +
    - Period 2 +
    - Period 3 +
    - Period 4 +
    - Period 5 +
    - Cost Sharing
    - Justifications
- F&A
- Cost Sharing
- Justifications

Project Period:
01-Jul-2021 to 30-Jun-2026

Source View: Sponsor

Proposal Structure | Import/Export

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
Detail	Arrays, Genomic	*SubAward PI*	-	-	-	-	-	$ 0.00
		Subtotal Personnel:	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

Add New Profile | *Begin typing to select Personnel Name...* | -- Select Type -- | -- Select Role -- | Add Pers

Add Bulk Entry

Non-Personnel [hide]

	CATEGORY	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	DIRECT COSTS	
Detail	Other Costs	$ 25,000.00	$ 100,000.00	$ 100,000.00	$ 75,000.00	$ 50,000.00	$ 350,000.00	Delete
	Subtotal Non-Personnel:	**$ 25,000.00**	**$ 100,000.00**	**$ 100,000.00**	**$ 75,000.00**	**$ 50,000.00**	**$ 350,000.00**	

Select Budget Category | Add Item

SubAwards [show]

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL COSTS
Total Sponsor Direct Costs:	$ 25,000.00	$ 100,000.00	$ 100,000.00	$ 75,000.00	$ 50,000.00	$ 350,000.00
Sponsor F&A:	0.00	0.00	0.00	0.00	0.00	0.00
Total Sponsor Costs:	**$ 25,000.00**	**$ 100,000.00**	**$ 100,000.00**	**$ 75,000.00**	**$ 50,000.00**	**$ 350,000.00**

F&A Screen

Edit Mode

F&A

Source View: Sponsor

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

Prevailing Blended $171,875.00

Drift *$0.00*

Base Show	**Rate**	**Rate**	**Effective**		
Research	Manual Entry	0.000	62.500	Apply	Manual F&A

SubAwards

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
GENOMIC ARRAYS - EXTERNAL						
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
Directs & F&A Total	**$ 56,250.00**	**$ 131,250.00**	**$ 131,250.00**	**$ 106,250.00**	**$ 81,250.00**	**$ 506,250.00**

Prime**

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
NEY, DONNA - 10073738						
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*
Directs & F&A Total	***$ 121,875.00***	***$ 196,875.00***	***$ 212,500.00***	***$ 187,500.00***	***$ 162,500.00***	***$ 881,250.00***

	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**
Grand Totals	**$ 121,875.00**	**$ 196,875.00**	**$ 212,500.00**	**$ 187,500.00**	**$ 162,500.00**	**$ 881,250.00**

***Not included in Grand Totals*

F&A Breakdown

PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT
1 Detail	01-Jul-2021	30-Jun-2022	Research	62.500	75,000.00	46,875.00
2 Detail	01-Jul-2022	30-Jun-2023	Research	62.500	75,000.00	46,875.00
3 Detail	01-Jul-2023	30-Jun-2024	Research	62.500	75,000.00	46,875.00
4 Detail	01-Jul-2024	30-Jun-2025	Research	62.500	75,000.00	46,875.00
5 Detail	01-Jul-2025	30-Jun-2026	Research	62.500	75,000.00	46,875.00
				Total	**$ 375,000.00**	**$ 234,375.00**

SubAwards

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
GENOMIC ARRAYS - EXTERNAL						
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
Directs & F&A Total	**$ 56,250.00**	**$ 131,250.00**	**$ 131,250.00**	**$ 106,250.00**	**$ 81,250.00**	**$ 506,250.00**

Prime**

	PERIOD 1	PERIOD 2	PERIOD 3	PERIOD 4	PERIOD 5	TOTAL
NEY, DONNA - 10073738						
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*
Directs & F&A Total	***$ 121,875.00***	***$ 196,875.00***	***$ 212,500.00***	***$ 187,500.00***	***$ 162,500.00***	***$ 881,250.00***

	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**
Grand Totals	**$ 121,875.00**	**$ 196,875.00**	**$ 212,500.00**	**$ 187,500.00**	**$ 162,500.00**	**$ 881,250.00**

***Not included in Grand Totals*

F&A Breakdown

PERIOD	START DATE	END DATE	INDIRECT COST TYPE	RATE	BASE	AMOUNT
1 Detail	01-Jul-2021	30-Jun-2022	Research	62.500	75,000.00	46,875.00
2 Detail	01-Jul-2022	30-Jun-2023	Research	62.500	75,000.00	46,875.00
3 Detail	01-Jul-2023	30-Jun-2024	Research	62.500	75,000.00	46,875.00
4 Detail	01-Jul-2024	30-Jun-2025	Research	62.500	75,000.00	46,875.00
5 Detail	01-Jul-2025	30-Jun-2026	Research	62.500	75,000.00	46,875.00
				Total	**$ 375,000.00**	**$ 234,375.00**

How do I… upload documents and flatten files?

Overview

PennERA Proposal Development (PD) meets Grants.gov requirements that most uploads must be PDFs and that these are flattened files. Every upload is automatically transformed to meet these Grants.gov specifications.

What is a flattened file?

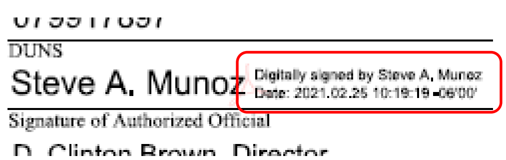
A PDF that has fillable fields, electronic signatures, bookmarks, and text boxes or images inserted, becomes layered, with each of these elements representing a layer. A flattened PDF is one in which all the layers are electronically merged into a single layer.

PennERA refers to these flattened files as "Transformed".

What does PennERA PD do when a file is uploaded?

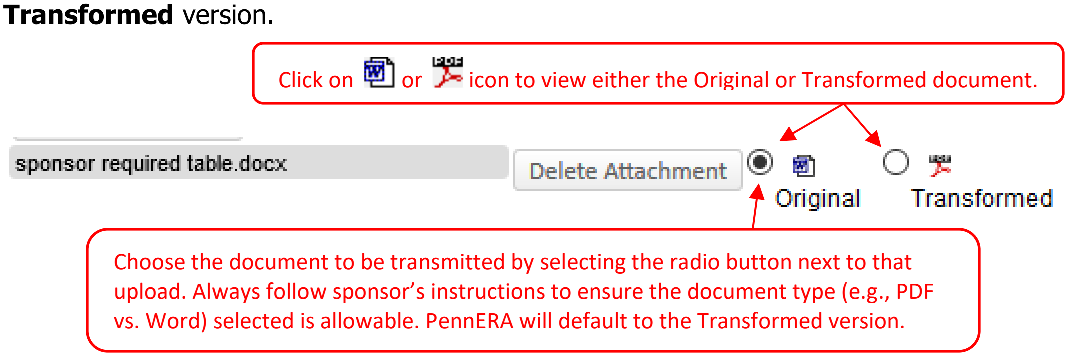
PennERA PD automatically performs two actions on all uploads:

- Excel and Word documents are converted to PDFs.
- PDFs containing unallowable features (by Grants.gov or specific sponsoring agency restrictions) are transformed to flat files to eliminate those features.
  - Examples of unallowable features are active forms fields, electronic/digital signatures, hi-resolution images, and bookmarks.
  - All information contained in these unallowable features is still visible in the transformed PDF file and is transmitted in the S2S submission. See screenshot below of a "flattened" digital signature.



In many locations, both the original upload and the transformed/flattened PDF are available to view.

- When the federal sponsor requires or permits selection of a Word or Excel document, that specific document can be selected to include in the S2S application instead of the transformed PDF.
- NSF requires use of their specific formatted documents for CV/biosketch and Current and Pending Support, so users should select the **Original** PDF upload, rather than the **Transformed** version.



Creating transformed (flattened) documents to upload

> **Important Note:** If a digital signature is required by the sponsor, do not transform/flatten a file on your local drive. Upload the required file and allow PennERA PD to do the transformation. We are required to maintain the original, unflattened version of the document in our records, even though we transmit a flattened file.

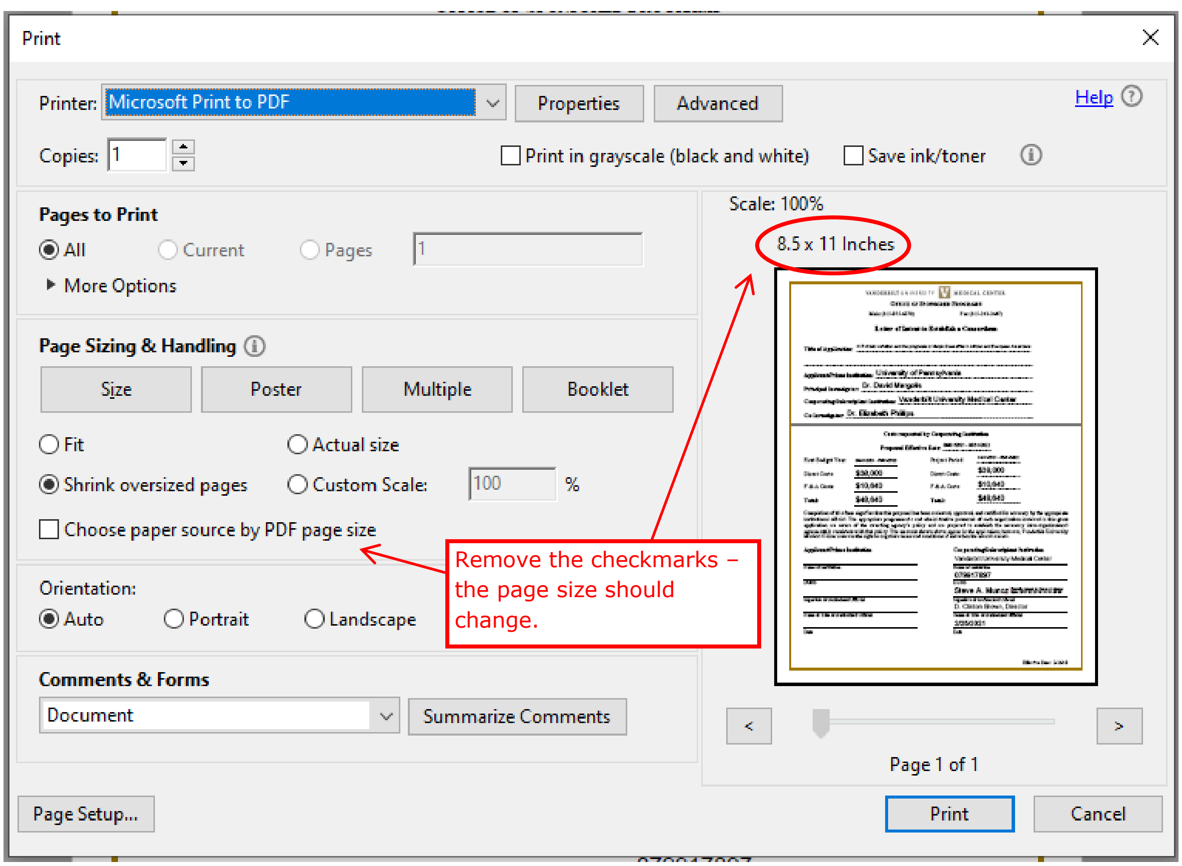
Users may need to create transformed documents on their local drives in some situations, rather than having PennERA complete the transformation. User then uploads the already flattened file.

- Flatten PDFs in Windows using "Microsoft print to PDF" option in Acrobat Pro.
- Flatten PDFs in Mac OS using the Preview option.

Follow these instructions on a PC using Windows:

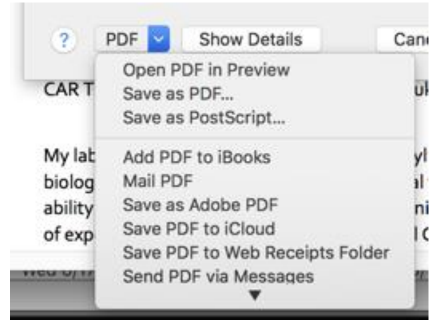
- Open the **Print** dialog box from the File menu.
- Choose "Microsoft Print to PDF".
- If you are re-sizing a scanned document, remove the checkmarks, if present, from **Choose Paper Source**. Document measurements should change to 8.5 x 11 inches.
- Click **[Print]** to create the flat file.

Word and Excel documents may also be converted to PDF's directly in their native applications, but this often does not remove all unallowable features from the resulting PDF. A second transformation directly in Adobe Acrobat Pro may be required.



Follow these instructions on a Mac:

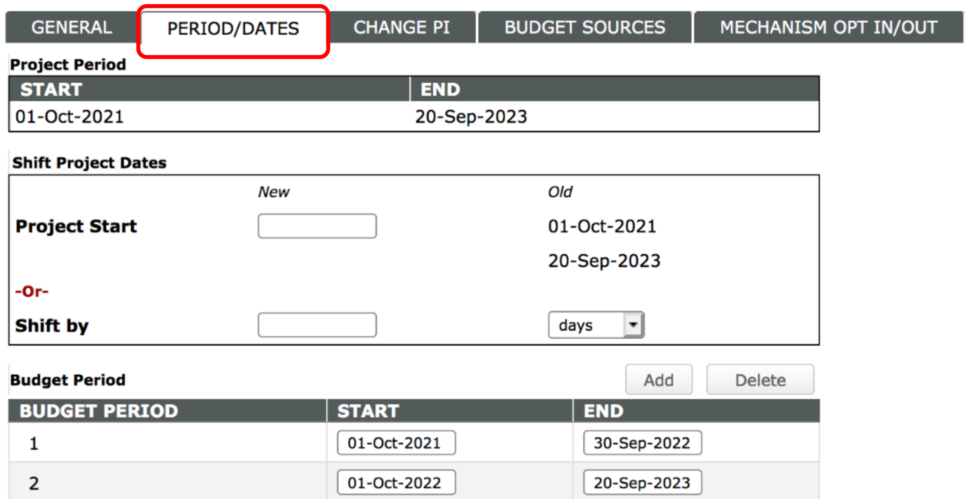
- Open the PDF in Preview.
- Choose “Print”.
- In Print dialog window, in the PDF option list at the bottom left, choose “Save as PDF…”.



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**.
- There should be no alerts, such as a security password required, and no active form fields.

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



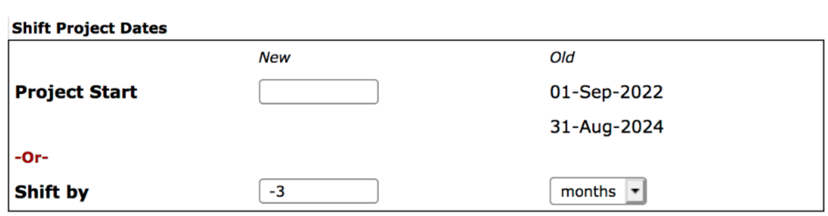
Note: After any change in dates, always review any budget data already entered to ensure that the budget figures are still as expected.

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

Adding and Deleting Budget Periods

- 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 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.

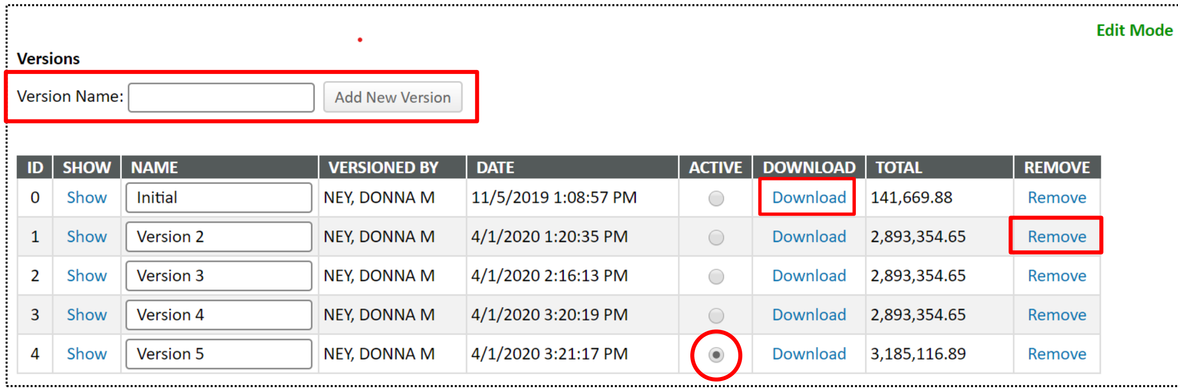
Periods [show]	Sponsor [show]	Cost Sharing [show]	Project [show]
Year/Period	Total	Total	Total
1	74,014.87	13,248.14	87,263.01
2	75,078.18	13,645.57	88,723.75
	$ 149,093.05	**$ 26,893.71**	**$ 175,986.76**

- 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
	$ 149,093.05	**$ 26,893.71**	**$ 0.00**	**$ 0.00**	**$ 26,893.71**	**$ 175,986.76**

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: Add New Version

ID	SHOW	NAME	VERSIONED BY	DATE	ACTIVE	DOWNLOAD	TOTAL	REMOVE
0	Show	Initial	NEY, DONNA M	11/5/2019 1:08:57 PM		Download	141,669.88	Remove
1	Show	Version 2	NEY, DONNA M	4/1/2020 1:20:35 PM		Download	2,893,354.65	Remove
2	Show	Version 3	NEY, DONNA M	4/1/2020 2:16:13 PM		Download	2,893,354.65	Remove
3	Show	Version 4	NEY, DONNA M	4/1/2020 3:20:19 PM		Download	2,893,354.65	Remove
4	Show	Version 5	NEY, DONNA M	4/1/2020 3:21:17 PM		Download	3,185,116.89	Remove

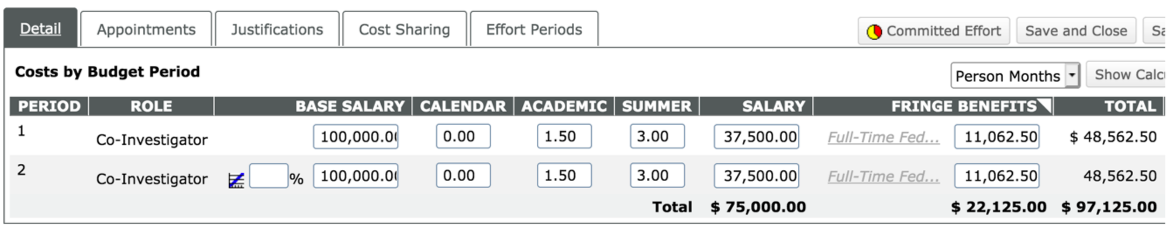
- Navigate to Budget > Versions.
  - Enter the new budget name in the **Version Name** field.
    - Click **[Add New Version]**.
    - Go to the **Active** column and click on the newly added version to make it the active budget version.
- Click **[Budget]** in the **Sidebar Menu.**
  - The system will 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 moths in that period.



PERIOD	ROLE		BASE SALARY	CALENDAR	ACADEMIC	SUMMER	SALARY	FRINGE BENEFITS		TOTAL
1	Co-Investigator		100,000.0	0.00	1.50	3.00	37,500.00	Full-Time Fed...	11,062.50	$ 48,562.50
2	Co-Investigator	%	100,000.0	0.00	1.50	3.00	37,500.00	Full-Time Fed...	11,062.50	48,562.50
						Total	$ 75,000.00		$ 22,125.00	$ 97,125.00

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:

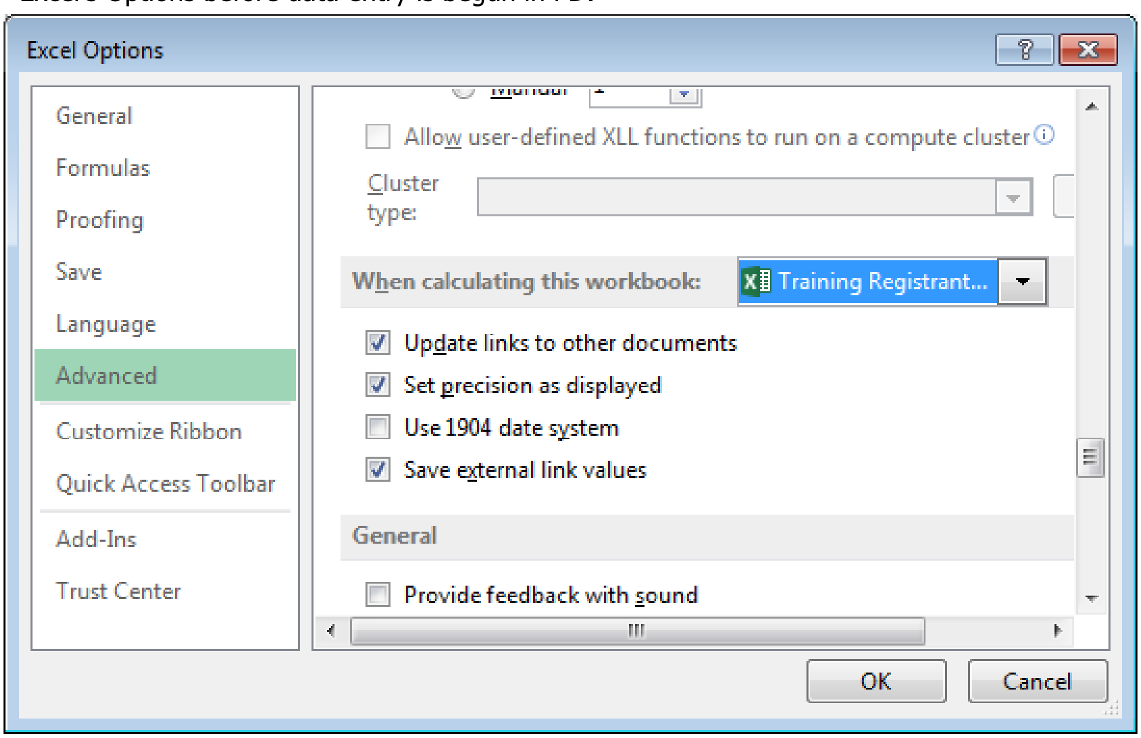
  = equal to?
  > greater than?
  < less than?
  ≤ equal to *or* less than?
  ≥ equal to *or* greater than?

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.

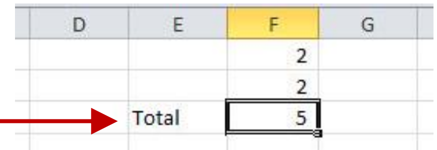
Before Entering the Budget

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

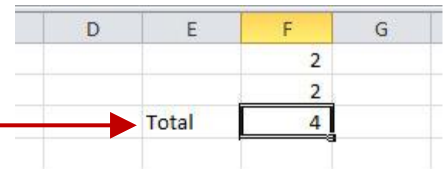


- Failure to ensure precision calculations may return inaccurate display results.
    - Actual entered or calculated values

    - Displayed values (decimal precision = no decimals displayed)



    - Displayed values after setting "precision as displayed"



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?

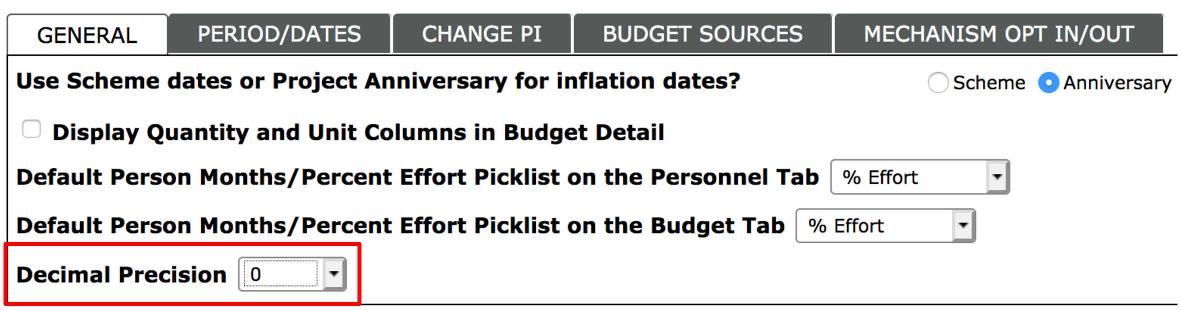
Changing Decimal Precision to Control Rounding Issues

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.



How do I… manually adjust F&A?

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

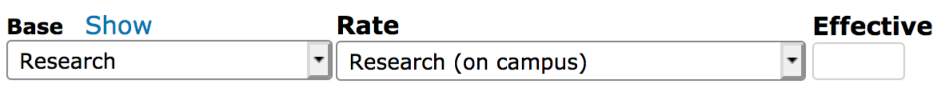
- Generic records that do not have a federal sponsor do not automatically calculate and require manual data entry. This includes those that are federal flow-through records, since the Proposal Sponsor is *not* a federal agency.
- Certain expenses do not incur F&A charges, but there is no appropriate 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:



- 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.

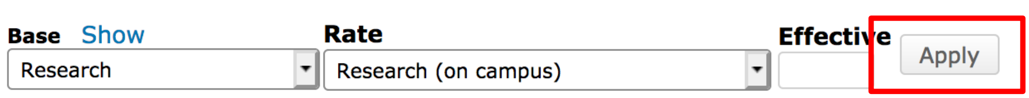
Make Changes to Automatic Calculation in S2S Records

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 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 Apply.

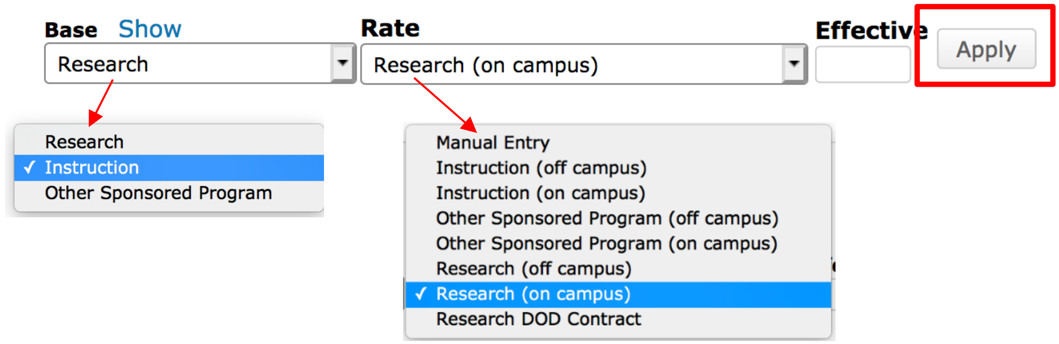


Changing calculation to a different negotiated rate

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]**.

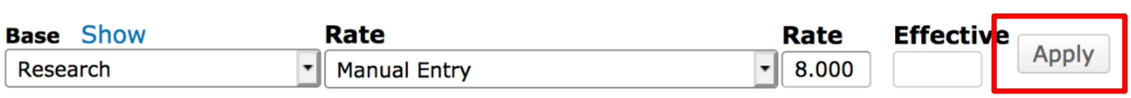


Changing calculation to a sponsor-specified rate not part of the negotiated rate agreement

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]**.



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 Detail	01-Jul-202(	30-Jun-202	MTDC	42.875	100,000.00	42,875.00
2 Detail	01-Jul-202:	30-Jun-202	MTDC	42.875	103,000.00	44,161.25
3 Detail	01-Jul-202:	30-Jun-202	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 Detail	01-Jan-2020	31-Dec-2020	Research	62.000	144,000.00	89,280.00
2 Detail	01-Jan-2021	30-Jun-2021	Research	62.000	79,200.00	49,104.00
Detail	01-Jul-2021	31-Dec-2021	Research	62.500	79,200.00	49,500.00
3 Detail	01-Jan-2022	31-Dec-2022	Research	62.500	166,320.00	103,950.00
4 Detail	01-Jan-2023	31-Dec-2023	Research	62.500	161,330.40	100,831.50
				Total	$ 630,050.40	$ 392,665.50

- 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 Manual F&A 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
Participant Other				
Sponsor Directs	12,350.00	12,844.00	13,357.76	38,551.76
Sponsor F&A Base	0.00	0.00	0.00	38,551.76
Requested F&A	0.00	0.00	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

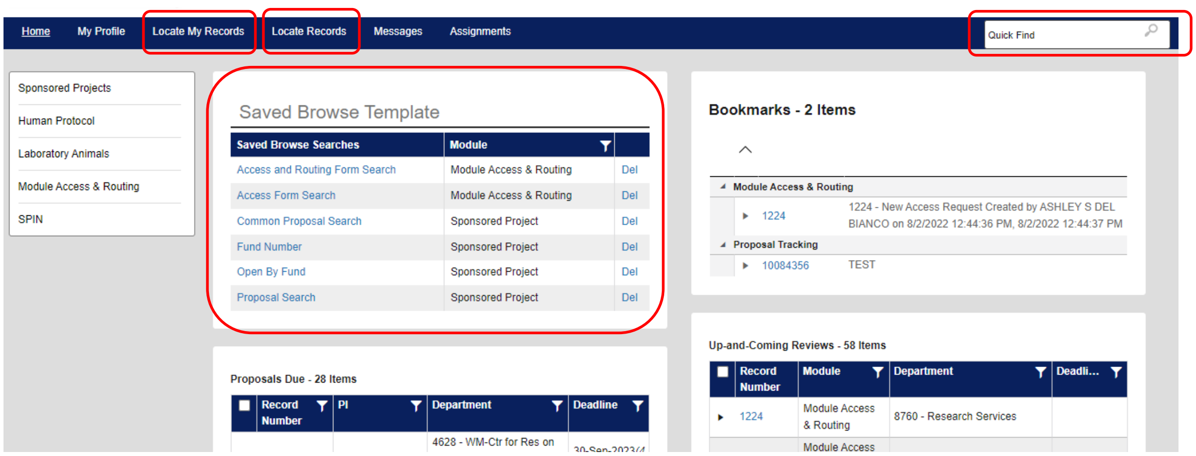
Date/Timestamp	Result	Description	Grant Im…	Delete I…
05-Mar-2019 10:32:26 AM	OK	No errors/warnings	View	N/A
04-Mar-2019 5:16:31 PM	OK	No errors/warnings	View	Delete

How do I… locate a proposal record?

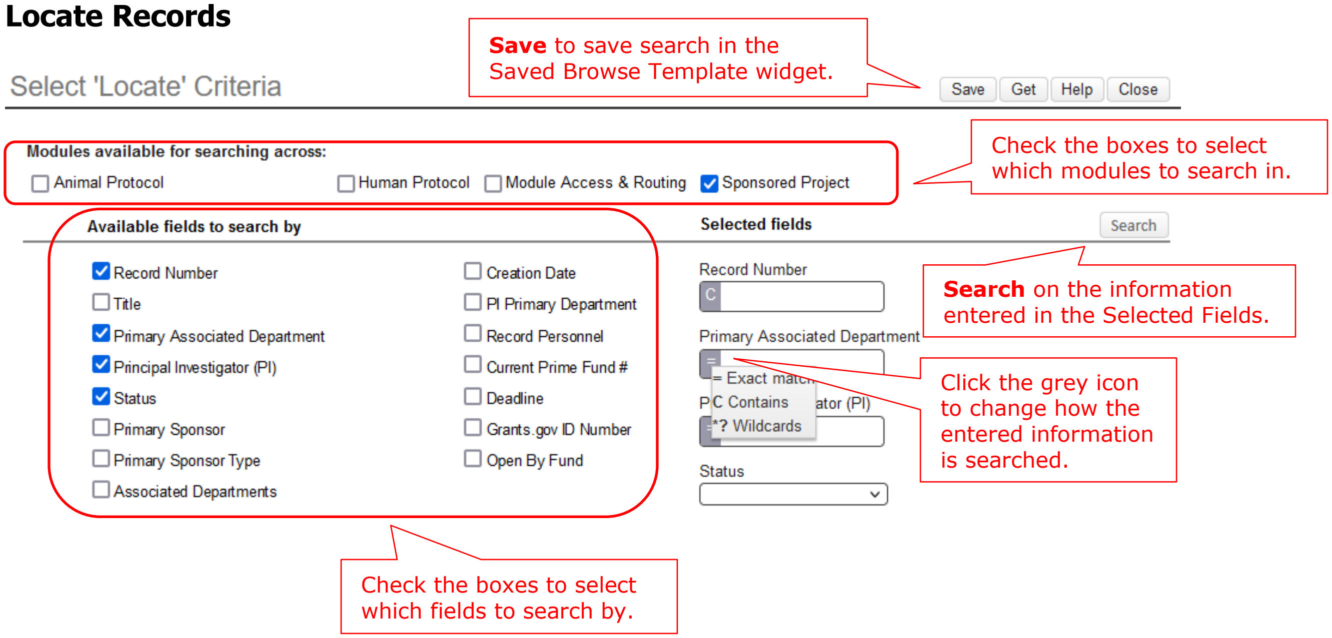
Investigators can view all their PennERA Proposal Development records by selecting **Locate My Records** in the PennERA Portal Header. They can also use **Locate Records**, **Quick Find**, or make use of the **Widgets** on the Home page of the Portal.

Support staff (BAs, etc.) have access to all proposals in specific ORG(s) for which they have approved access. Click **Locate Records** from the PennERA Portal Header to select which modules to search in and which fields to search by.

- The **Quick Find** search bar allows users to locate records with simple criteria of either the PI Last Name, Record Number, Title, Sponsor, or Fund Number.
- The **Saved Browse Template** widget contains pre-loaded browse search templates and any search templates saved by the user. Clicking one of these hyperlinked searches will overlay a window for locating records, pre-selected with your saved search criteria.
- When conducting a search for proposal records, you will need to check the box to search within the Sponsored Project module.
- More than one available search field may be used at a time to refine the search parameters.



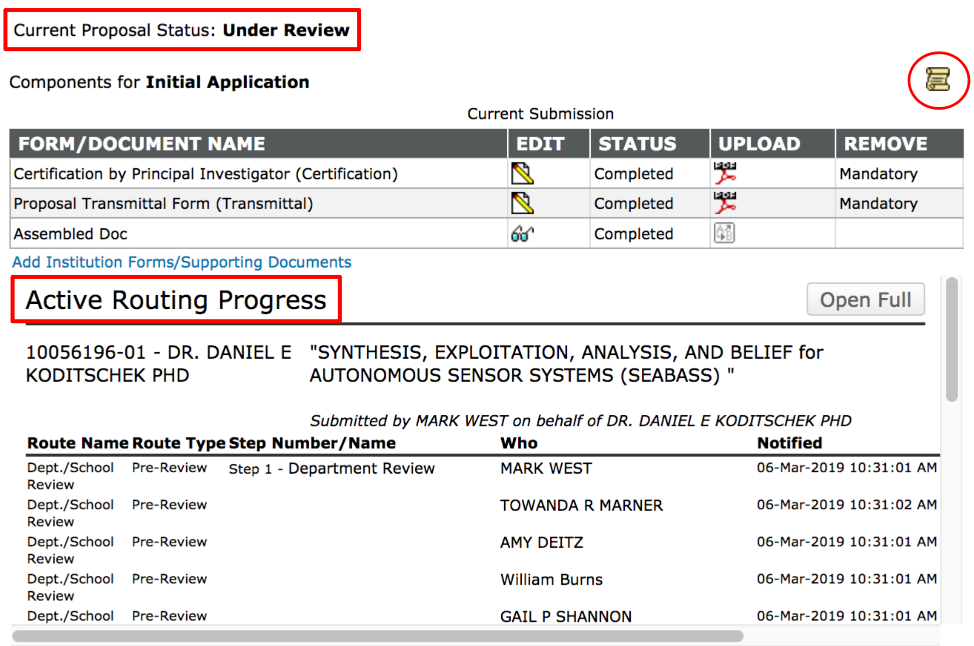
Locate Records



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 KODITSCHEK PHD "SYNTHESIS, EXPLOITATION, ANALYSIS, AND BELIEF for 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	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 PennERA Portal Header select **My Profile > Delegates > [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.

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, providing the correct FOA # and the record (proposal) #. 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 Save 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 UEI 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).