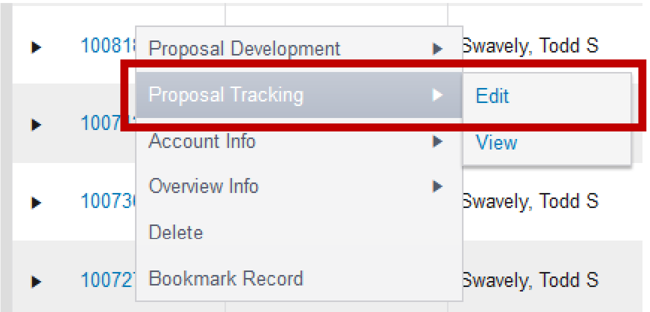
UNIVERSITY of PENNSYLVANIA

PennERA
Electronic Research Administration

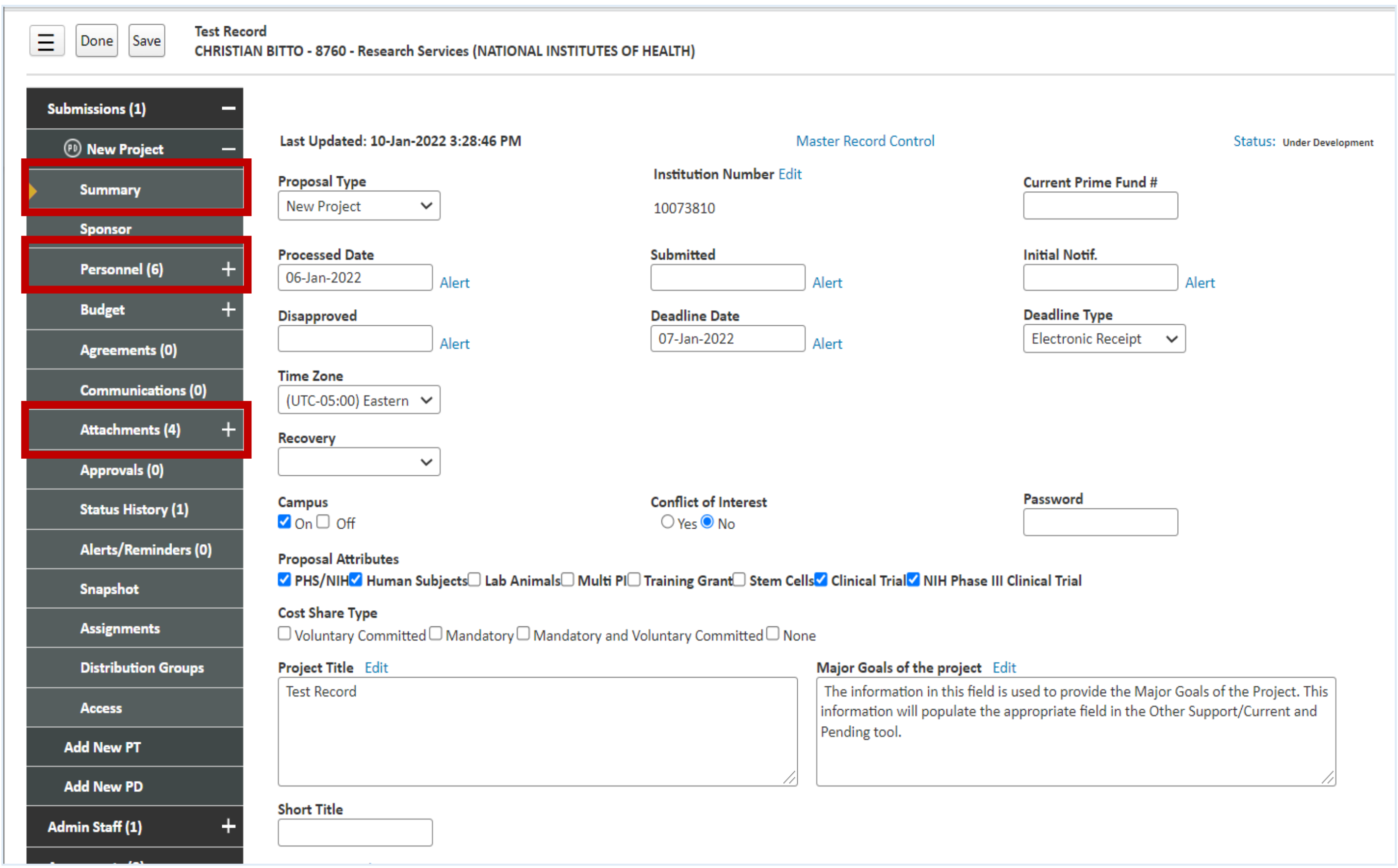
Post-Submission Proposal/Award Record Management Guide

The purpose of this document is to provide instructions for the management of post submission data and uploads in the PennERA Proposal Tracking (PT) Module. Management of the following data/uploads in PT is required for compliance with updated federal regulations as well as to make use of the University's forthcoming Current and Pending Support Tool and FCOI Management Application. This document serves as a technical resource only. If you have questions or concerns related to sponsor requirements or business processes, please contact your ORS Pre-Award representative directly.

To edit a record in PT, users must retrieve a proposal record as they normally would, but rather than entering through Proposal Development, users will enter Proposal Tracking:



Once in PT, users will see several tabs. The screens where post submission management will take place are the *Summary*, *Personnel*, and *Attachments*. Instructions on the relevant data and how to manage it follows.

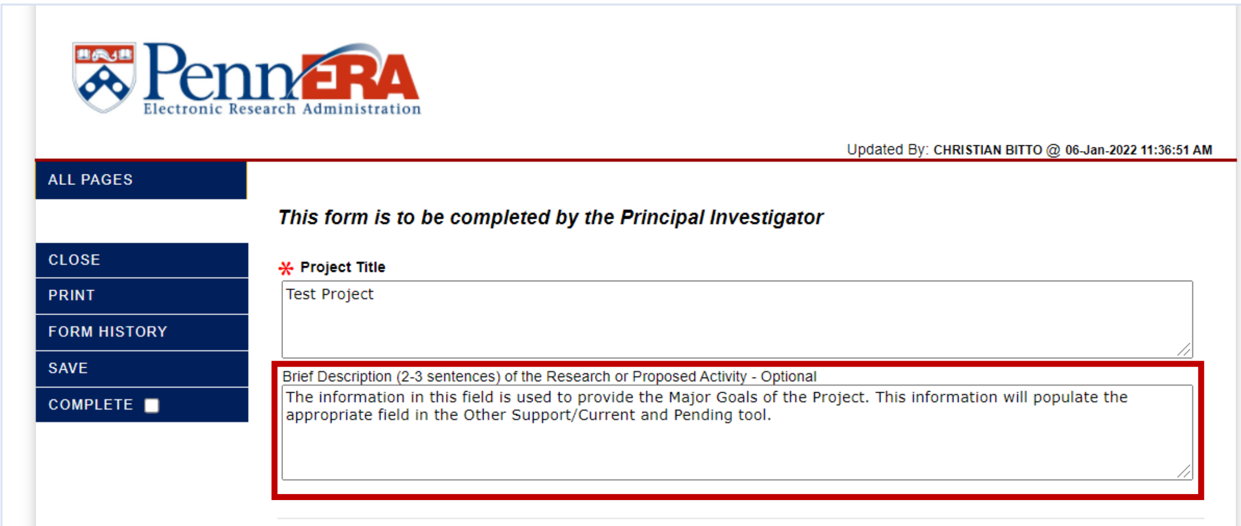


Major Goals of the Project

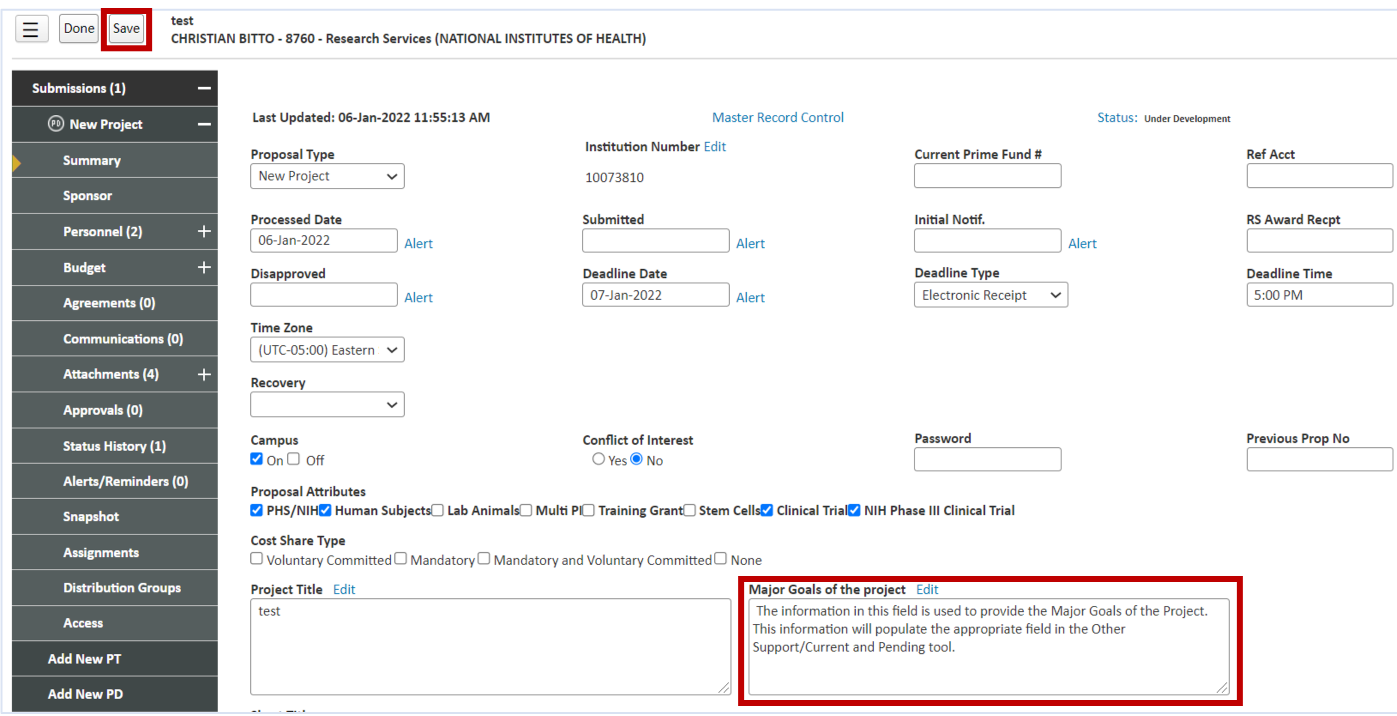
This field is initially populated in PD by the PI on the PI Certification eForm. It can be managed post submission in PT. Information entered in this field is used for populating information in the University's Current and Pending/Other Support Tool.

Proposal Development Record > Internal Documents > Certification by Principal Investigator

FORM/DOCUMENT NAME	EDIT	STATUS
Certification by Principal Investigator (Certification)		Incomplete
Proposal Transmittal Form (Transmittal)		Incomplete



Post submission, this information can be managed by departmental or school staff on the Proposal Tracking *Summary* page. Users should enter the necessary information directly in the text box and click 'Save'.



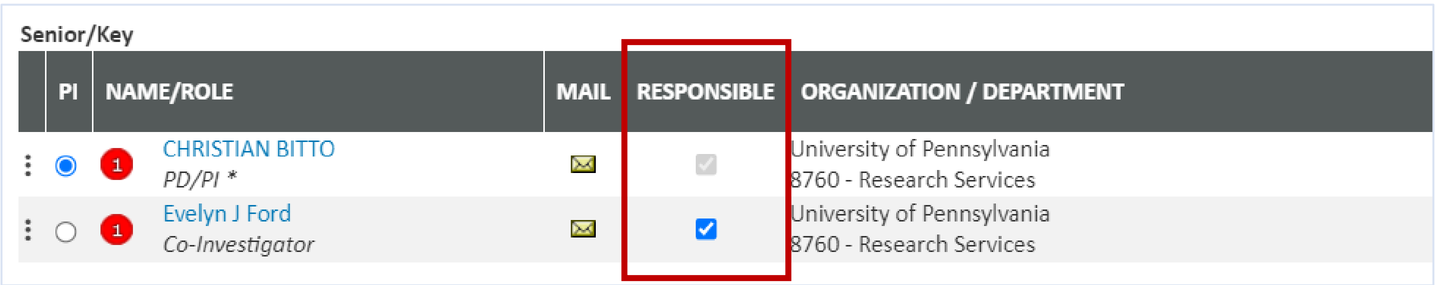
Personnel Management

On the Personnel screen, users must manage project personnel on an ongoing basis. All information is initially set in PD at the time of submission and is managed post submission in PT. This information is used for identifying Responsible Investigators for purposes of FCOI and for managing current period personnel and effort for use in the University's Current and Pending/Other Support Tool as well as Data Warehouse Reporting.

All Personnel management in Proposal Tracking must take place in the Parent proposal record. Child record changes do not roll up to the parent and, therefore, will not interface with the appropriate university data systems.

Responsible Investigator

Users must identify all Responsible Investigators on the Personnel screen by selecting the check box in the **Responsible** column and clicking 'Save' in the upper left corner of the page.


Senior/Key

PI	NAME/ROLE	MAIL	RESPONSIBLE	ORGANIZATION / DEPARTMENT
●	CHRISTIAN BITTO *PD/PI **		☑	University of Pennsylvania 8760 - Research Services
○	Evelyn J Ford *Co-Investigator*		☑	University of Pennsylvania 8760 - Research Services

Effort Management

The effort displayed on the PT Personnel page for an individual should represent the current project period effort.

- To make changes to effort, users must click the icon.
  - Once editable, the line will display an open lock.
  - Users can then edit effort accordingly and click 'Save' in the upper left corner of the page when finished.


Senior/Key

PI	NAME/ROLE	MAIL	RESPONSIBLE	ORGANIZATION / DEPARTMENT	PERSON MONTHS CALENDAR	ACADEMIC	SUMMER
●	CHRISTIAN BITTO *PD/PI **		☑	University of Pennsylvania 8760 - Research Services	0	0	0
○	Evelyn J Ford *Co-Investigator*		☑	University of Pennsylvania 8760 - Research Services	0	0	0

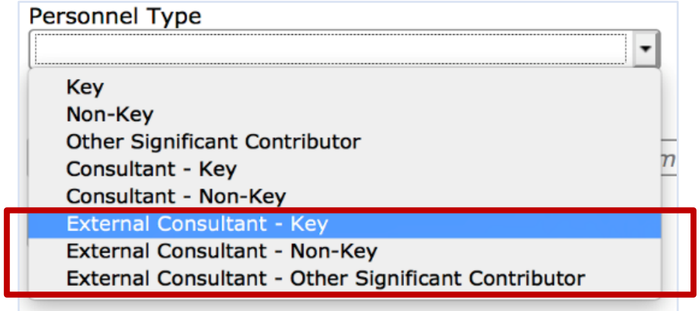
*Note: To totally remove individual personnel from the project in the current period, users should set effort for the individual to **zero**. More information can be found on page 6.*

Adding Personnel to a Project

Add Existing Penn Personnel

1. On the Personnel screen, confirm the Proposal Structure element = Prime.
2. Select "Personnel Type" from the list.
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.

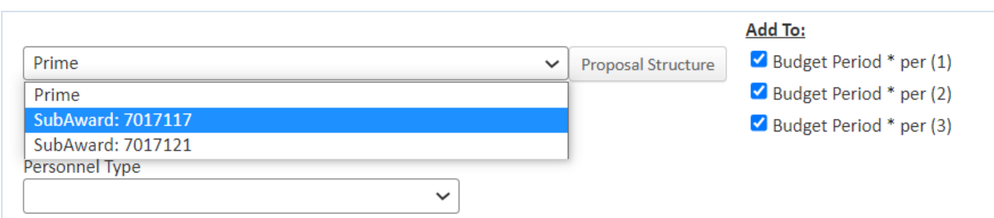
Add External Consultants



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.
     - "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.
7. Click the [Save] button immediately below [Create Profile] button, ***not*** the Save option in the upper left corner.

Add Subaward Personnel

1. On the Personnel screen, confirm the Proposal Structure element = the intended SubAward element where personnel will be added.
2. Follow the steps above to add each Personnel Type.
3. If a new subaward needs to be added, please contact the PennERA Helpdesk pennerahelp@lists.upenn.edu.



Removing Personnel from a Project

The personnel line for the individual should not be removed and will remain as a record of their previous involvement with the project. If the individual has stopped working on the project or otherwise has changed effort, the figure should reflect effort expended over the **entire current period**. If the individual has worked no effort in the **current period**, set effort to zero.

(Example: if an individual was expected to work 12 months in a period (example 7/1 - 6/30) but leaves on 1/1, effort would not be immediately set to zero. The individual is no longer on the project but has already worked 6 months this period. Therefore, effort should be adjusted to 6 months. It will then need to be adjusted to 0 on 7/1)

1. Follow the instructions outlined under **Effort Management** above to update effort as appropriate.
2. Follow the instructions outlined under **Responsible Investigator** to remove any designation, if present.

Upload Management

Certain uploads must be managed on an ongoing basis in Proposal Tracking (PT) due to the requirement to use the updated NIH Other Support Form that includes the PI/Key Personnel electronic signature for Other Support documents submitted to NIH on and after January 25, 2022. Per NIH, the electronic signature must be auditable, and that the signature must be provided to NIH as a flattened pdf file. Penn must retain the original electronic signature for audit purposes. PennERA will be the system of record for this purpose.

Uploading a Document

1. On the *Attachments* screen, click Add Document.
2. In the "Upload Documents" popup, click Select files... or drag and drop a file into the upload bar.
3. Select the appropriate file then enter the Name for the file and select the appropriate Category.
4. Click Upload to upload the document to the proposal record.