UNIVERSITY of PENNSYLVANIA



Post-Submission Proposal/Award Record Management Guide

1 Copyright © 2023, University of Pennsylvania. All rights reserved. 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:

•	10081	Proposal Development	•	Swavely, Todd S
	1007	Proposal Tracking		Edit
	1007	Account Info	►	View
	10073	Overview Info		Swavely, Todd S
		Delete		
•	10072 [.]	Bookmark Record		Swavely, Todd S

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.

Nou Proiot	Last Updated: 10-Jan-2022 3:28:46 PM	Master Record Control	Status: Under D
• New Project —	Proposal Tuno	Institution Number Edit	Current Brine Fund #
Summary	New Project V	10073810	
Sponsor			
Personnel (6) +	Processed Date	Submitted	Initial Notif.
	06-Jan-2022 Alert	Alert	Alert
Budget +	Disapproved	Deadline Date	Deadline Type
Agreements (0)	Alert	07-Jan-2022 Alert	Electronic Receipt 🗸
Communications (0)	Time Zone		
communications (0)	(UTC-05:00) Eastern 🗸		
Attachments (4) +	Recovery		
Approvals (0)	~		
Status History (1)	Campus	Conflict of Interest	Password
	🗹 On 🗆 Off	O Yes 🖲 No	
Alerts/Reminders (0)	Proposal Attributes		
Snapshot	🗹 PHS/NIH🗹 Human Subjects 🗌 Lab Anima	ls□ Multi PI□ Training Grant□ Stem Cells☑ Clinical Trial☑ N	IH Phase III Clinical Trial
Assignments	Cost Share Type		
	U Voluntary Committed U Mandatory U Ma	andatory and Voluntary Committed U None	
Distribution Groups	Project Title Edit	Major Goals of the	project Edit
Access	lest Record	information will po	n this field is used to provide the Major Goals of the Project. The opulate the appropriate field in the Other Support/Current and
Add New PT		Pending tool.	
LIN. DD		///	

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

RM/DOCUMENT NAME		EDIT	STATUS
tification by Principal Investiga	ator (Certification)		Incomplete
posal Transmittal Form (Trans	smittal)	N	Incomplete
Per Per	Research Administration		
		Updated By: CHRISTI	AN BITTO @ 06-Jan-2022 11:36:51 AM
ALL PAGES		· · · · ·	
ALL PAGES	This form is to be completed by the	e Principal Investigator	
ALL PAGES	This form is to be completed by the	e Principal Investigator	
ALL PAGES CLOSE	This form is to be completed by the	e Principal Investigator	
ALL PAGES CLOSE PRINT	This form is to be completed by the * Project Title Test Project	e Principal Investigator	
ALL PAGES CLOSE PRINT FORM HISTORY	This form is to be completed by the * Project Title Test Project	e Principal Investigator	
ALL PAGES CLOSE PRINT FORM HISTORY SAVE	This form is to be completed by the * Project Title Test Project	e Principal Investigator	1
ALL PAGES CLOSE PRINT FORM HISTORY SAVE	This form is to be completed by the * Project Title Test Project Brief Description (2-3 sentences) of the Research The information in this field is used to prov	e Principal Investigator	//
ALL PAGES CLOSE PRINT FORM HISTORY SAVE COMPLETE	This form is to be completed by the * Project Title Test Project Brief Description (2-3 sentences) of the Research The information in this field is used to provappropriate field in the Other Support/Curr	e Principal Investigator n or Proposed Activity - Optional vide the Major Goals of the Project. This informatio rent and Pending tool.	on will populate the
ALL PAGES CLOSE PRINT FORM HISTORY SAVE COMPLETE	This form is to be completed by the * Project Title Test Project Brief Description (2-3 sentences) of the Research The information in this field is used to prov appropriate field in the Other Support/Curr	e Principal Investigator n or Proposed Activity - Optional vide the Major Goals of the Project. This informatio rent and Pending tool.	on will populate the

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'.

omissions (1) —				
🗈 New Project 🛛 —	Last Updated: 06-Jan-2022 11:55:13 AM	Master Record Con	trol Status: Under	Development
Summany	Proposal Type	Institution Number Edit	Current Prime Fund #	Ref Acct
Julillary	New Project 🗸	10073810		
Sponsor				
Personnel (2) +	Processed Date	Submitted	Initial Notif.	RS Award Recpt
	06-Jan-2022 Alert	Alert	Alert	
Budget +	Disapproved	Deadline Date	Deadline Type	Deadline Time
Agreements (0)	Alert	07-Jan-2022 Alert	Electronic Receipt 🗸	5:00 PM
C(0)	Time Zone			
Communications (0)	(UTC-05:00) Eastern 🗸 🗸			
Attachments (4) +	Recovery			
Approvals (0)	×			
Status History (1)	Campus	Conflict of Interest	Password	Previous Prop No
	🗹 On 🗆 Off	○ Yes No		
Alerts/Reminders (0)	Proposal Attributes			
Snapshot	PHS/NIH Human Subjects Lab Animals	□ Multi PI□ Training Grant□ Stem Cells <mark></mark> Clinical	Trial🔽 NIH Phase III Clinical Trial	
Assignments	Cost Share Type Voluntary Committed Mandatory Man	datory and Voluntary Committed 🗆 None		
Distribution Groups	Project Title Edit	Major Goals	of the project Edit	
Access	test	The informa	ation in this field is used to provide the Major Goals of the P ation will populate the appropriate field in the Other	roject.
Add New PT		Support/Cur	rrent and Pending tool.	

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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						
	F	וי	NAN	ME/ROLE	MAIL	RESPONSIBLE	ORGANIZATION / DEPARTMENT
			1	CHRISTIAN BITTO PD/PI *	X	1	University of Pennsylvania 8760 - Research Services
	: ()	1	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 figure.
 - 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	PE CALENDAR	RSON MONTH	S SUMMER			
	: 0	1	CHRISTIAN BITTO PD/PI *	\bowtie	1	University of Pennsylvania 8760 - Research Services	0	0	0	æ
	: 0	1	Evelyn J Ford Co-Investigator	\bowtie		University of Pennsylvania 8760 - Research Services	0	0	0	A

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 <u>PennERAhelp@lists.upenn.edu</u>. **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.

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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 <u>PennERAhelp@lists.upenn.edu</u>.
 - 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.

Personnel Type

Non-Key

Consultant - Key Consultant - Non-Key

External Consultant

Other Significant Contributor

External Consultant - Non-Key

External Consultant - Other Significant Contributor

Key

•

- 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.

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- 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.

		Add To:
Prime 🗸	Proposal Structure	Budget Period * per (1)
Prime	1	☑ Budget Period * per (2)
SubAward: 7017117		Budget Period * per (3)
SubAward: 7017121		
Personnel Type	·	
~		

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.

Upload Documents			
			Close
Select From Document Library	Select files		Or drop files here to upload
Bitto CV N	Jew Document 🗸	CV Biosketch	✓ ROOT ✓ ×
Clear Upload			