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General Overview of PennERA

Section Overview

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

**Pre-Award**

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

**Submission of Proposals to Sponsors**

- Electronic (to sponsors who have the capability)

**Electronic Notification of Award Notices**

- Automatic notification
- Automated project setup

**Post Award Management**

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

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

**Data Reporting for Management**

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

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

- Ability to create proposals electronically
- Ability to electronically assemble proposals
- Ability to route proposals through the approval hierarchy
- Ability to electronically review and approve proposals
- Ability to electronically submit proposals to the sponsor
- System-wide reusability of Profile and department information
- Automatic population of University-wide information (e.g., DUNS#, FWA#)
- Ability to copy one proposal to another
- 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 processed via Proposal Development can be found on the PennERA website [Supported Funding Mechanisms](#).

- Proposals that cannot be processed via the Proposal Development application should be processed the same as they are today.
**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 (see page 18 for instructions):

- 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 the 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 to create proposals in PennERA, 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**

1. **New Proposal Questionnaire**
2. **Setup Questions (Pulls info from Profile)**
3. **Proposal Forms (vary by Sponsor)**
   - **Project Forms (e.g. Research Plan, etc.)**
   - **Budget Forms (e.g. F&A, Cost Sharing, etc.)**
   - **Penn Internal Forms**
4. **Finalize for Internal Review**
5. **Assemble**
6. **Build**
7. **Complete**
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 Support link on the PD application to contact the PD Support Group.
- If the problem or need is critical or urgent, call 215-746-2900.
- If you have a routine question or the problem is not urgent, you can send an email with your question or a description of the problem to pennerahelp@lists.upenn.edu.

Institution Number and What It Means

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

Security

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

Delegating Authority

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

- Go to “Profile” and select the “Delegation” function and select the person to whom you are delegating authority

Functions by Role

Depending on your role within the Organization, you will have the ability to perform certain tasks within the Proposal Development application. The chart below provides a high-level description of the roles and associated tasks:

<table>
<thead>
<tr>
<th>Role</th>
<th>Create</th>
<th>Review</th>
<th>Approve</th>
<th>Submit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigator</td>
<td>Create or modify Proposals</td>
<td>Submit for internal review</td>
<td>Respond to rejected Proposal</td>
<td></td>
</tr>
<tr>
<td>Administrator</td>
<td>Create or modify Proposals</td>
<td>Review Proposals</td>
<td>Approve or Reject Proposals</td>
<td></td>
</tr>
<tr>
<td>Other Approvers</td>
<td></td>
<td>Review Proposals</td>
<td>Approve or Reject Proposals</td>
<td></td>
</tr>
<tr>
<td>ORS</td>
<td></td>
<td>Review Proposals</td>
<td>Approve or Reject Proposals</td>
<td>Electronically submit Proposals</td>
</tr>
<tr>
<td>Other Central Admin</td>
<td></td>
<td>Review Proposals</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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

<table>
<thead>
<tr>
<th>Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Done" /></td>
<td><strong>Done</strong> Located in the top toolbar, closes the proposal that you’re working on. It is important to click <strong>[Done]</strong> when finished working with a specific proposal. While multiple users may view and edit different sections within a proposal, only one person may edit a specific proposal page at a time.</td>
</tr>
<tr>
<td><img src="image" alt="Back" /></td>
<td><strong>Back</strong> Located in the top toolbar, returns you to the previous page.</td>
</tr>
<tr>
<td><img src="image" alt="Save" /></td>
<td><strong>Save</strong> Located in the top toolbar, 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 <strong>Save</strong> icon when exiting the page.</td>
</tr>
<tr>
<td><img src="image" alt="Log Out" /></td>
<td><strong>Log Out</strong> Located in the top toolbar, exits you from the module or the PennERA Portal.</td>
</tr>
<tr>
<td><img src="image" alt="Help" /></td>
<td><strong>Help</strong> Located in the top toolbar, points you to InfoEd help modules for general system help.</td>
</tr>
<tr>
<td><img src="image" alt="Support" /></td>
<td><strong>Support</strong> Located in the top toolbar, opens to web form where you can request help from PennERA End-User Support providers.</td>
</tr>
<tr>
<td><img src="image" alt="Delete" /></td>
<td><strong>Delete</strong> Deletes the corresponding item, security level permitting.</td>
</tr>
<tr>
<td><img src="image" alt="Edit" /></td>
<td><strong>Edit</strong> Opens the corresponding form or page in edit format, security level permitting.</td>
</tr>
<tr>
<td><img src="image" alt="View" /></td>
<td><strong>View</strong> Opens the corresponding form or page in view format, security level permitting.</td>
</tr>
<tr>
<td><img src="image" alt="In Use" /></td>
<td><strong>In Use</strong> Indicates that you or someone else is currently working in the proposal.</td>
</tr>
<tr>
<td><img src="image" alt="Upload" /></td>
<td><strong>Upload</strong> Uploads an attachment located after browsing your directories.</td>
</tr>
<tr>
<td><img src="image" alt="Replace" /></td>
<td><strong>Replace</strong> Opens the corresponding window in which to replace an existing document with a newer version.</td>
</tr>
<tr>
<td><img src="image" alt="Remove CV" /></td>
<td><strong>Remove CV</strong> Removes an uploaded CV (biosketch).</td>
</tr>
<tr>
<td><img src="image" alt="Remove" /></td>
<td><strong>Remove</strong> Removes an item from the current list or location within a record.</td>
</tr>
<tr>
<td><img src="image" alt="Completed" /></td>
<td><strong>Completed</strong> Designates a tab (section) that has been completed.</td>
</tr>
<tr>
<td><img src="image" alt="Open" /></td>
<td><strong>Open</strong> Opens the corresponding report, query, access log, or history session.</td>
</tr>
<tr>
<td><img src="image" alt="Access Log" /></td>
<td><strong>Access Log</strong> Shows past history of who has accessed a particular section of the proposal.</td>
</tr>
<tr>
<td><img src="image" alt="Envelope" /></td>
<td><strong>Envelope</strong> 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.</td>
</tr>
<tr>
<td><img src="image" alt="Run" /></td>
<td><strong>Run</strong> Runs or creates the desired document from data within the system; used in batch communications.</td>
</tr>
<tr>
<td><img src="image" alt="Run" /></td>
<td><strong>Run</strong> Generates a report.</td>
</tr>
</tbody>
</table>
Logging into PennERA Proposal Development

Logon to PennERA Proposal Development from the PennERA home page (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/.

- Click [LOGON].
- Type your PennKey and Password.
- Click [Submit] to authenticate.
PennERA Portal

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

Under the PennERA logo at the top of the PennERA Portal Page is the Toolbar.
- When you click any one of the Toolbar links or the Personal Side Bars, the system displays that page.

1. Toolbar for Back, Log Out, Help, Support
   - Back – move to the previous page
   - Log Out – sign-off and exit the application
   - Help – provides context sensitive vendor supplied (non-Penn specific) help text
   - Support – opens the Penn Help Desk web form to report any problems

2. Profile – All PennERA users have a profile with basic address and contact information provided from the Penn Community directory that you should verify and update. See also “Getting Started with Proposal Development” for additional information.

3. Find Funding – Opens the SPIN (funding opportunities) and SMARTS (funding opportunities email alert service) databases, enabling easy access to new funding opportunities.

4. CV Database – Open the GENIUS CV Database for collaborative efforts.

5. Proposals – Create new proposals and search for existing proposals.

6. Help – same as Help Toolbar -- provides context-sensitive, vendor-supplied (non-Penn specific) help text.
Messages

PennERA messages are site mail or messages sent within the PennERA application. Users who are required to approve a proposal will be sent a University e-mail and will access the proposal to be approved from the PennERA message center. Users may message other PennERA users using site mail as well as respond to proposals routed for approval/review via the messaging system. As e-mail clients are currently the standard accepted business communication application, the use of PennERA site mail is not recommended at this time.

Navigation Menu

After logging onto the Proposal Development application, the Main Menu, referred to as the Navigation or Nav Menu, is located on the left side of your screen.

1. To expand a Menu Option, click on the menu item.

2. Additional submenu items are displayed on the Navigation menu.

- **Highlighted text boxes** are for data entry. Changing information in the text box triggers system activity. Boxes highlighted in yellow or with a red asterisk are mandatory entry fields.
Buttons, Drop Down Boxes, Etc.

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

![Action buttons](image)

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

![Radio Buttons](image)

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

![Drop down boxes](image)

**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 person's name. Highlight the desired entry and click [Select].

![Alpha split lists](image)

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 necessary (e.g. Project Narrative for 10009452).
- Click the **Upload** icon.
The successfully uploaded document can be **Viewed** or **Removed**.

<table>
<thead>
<tr>
<th>View</th>
<th>Pages</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>![View Icon]</td>
<td>![Pages Icon]</td>
<td>![Remove Icon]</td>
</tr>
</tbody>
</table>

**Note:** Documents uploaded to Proposal Development are stored in 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.

********************************************************************************

**Completed**

**Completing each section of the proposal**

- As you complete each section of the Proposal, click the **Save** icon 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”**. A red check mark appears next to the completed sections on the Navigation Menu. This red check mark indicates these sections or forms have been completed and “checked in” to the application.
**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.

- To edit a previously completed form, the form must be “checked out”. Select that form from the Navigation Menu, click to uncheck the “Completed” box, and make edits as necessary. It will be necessary to **Save** and **Complete** the form again.

******************************************************************************

Completing use of the proposal

- When finished working with a proposal click the **Done** icon in the top toolbar.
- The Proposal Development application will allow concurrent edit access to more than one person, although in the current software version, only one person at a time can effectively edit a proposal section.

**Note:** It is very important to click ![Done](image) when finished working with a specific proposal so that others may gain edit access to the entire proposal.

******************************************************************************
Personal Menu

Section Overview - The Personal Menu allows each user to send/receive messages internal to PennERA, maintain a profile, manage a calendar and contacts, and view and create proposals.

Features

- **Messages** - PennERA generated electronic communications. If authority has been delegated, the name of both the person who delegated authority and the name of the person to whom authority has been delegated appear here. You are able to access messages for both names.
- **Profile** - update and maintain profile information
- **Calendar** - ability to track scheduled events, appointments, reminders, tasks, and Administrative Notes. Includes the ability to establish, edit and view appointments for Locations/Resources.
- **Contacts** - Keep track of communications regarding the items within the modules. Track message sent, post messages or send emails.
- **Find Funding** - find funding opportunities by connecting to SPIN or SMARTS databases
- **CV Database** - log onto GENIUS database to find, update and maintain CVs
- **Projects** - combine any number of components within the system to create complete working projects
- **Proposals** - create new, view, edit and/or delete existing proposals
- **Protocols** - view human subject and animal use protocols

- **Help** - help for the PennERA application (non-Penn specific)
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

Features

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

Overview

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

Profile > General

Overview

All PennERA users have a profile with address and contact information that is initially setup from their Penn Community information and continues to be updated nightly from the online directory. Changes to your profile 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 the Penn Community.

Commons ID - The NIH Commons ID is REQUIRED for all electronic submissions to NIH. The Commons ID is stored in the General Profile section. Please ensure your Commons ID is accurate prior to electronic submission.

Other REQUIRED fields - Address, city, state, country, Email, and phone information are required fields for submission of electronic proposals.

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

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

Overview

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

Features

- Fill out information pertaining to your Education, Employment, Publications, etc., in the appropriate submenu options.
- Select [Create New] to create your Biosketch from the information entered.
- View the PDF, replace, edit or [Delete] existing Biosketches.
- [Upload New] Biosketch information from existing files.

Profile > Delegation

Overview

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

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

Profile > Resources

Overview

This section allows the user to enter Resource information directly into their profile. When creating proposals, information entered here may be used in the Resources form (if applicable). An alternative practice is to upload Resources information as a document into each proposal.
Create a Proposal

Section Overview

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

**NIH SF424**

- Setup Questions
- SF424 (R&R)
- Performance Sites
- Other Project Info
- Project Summary
- Project Narrative
- References Cited
- Resources
- Other Attachments
- Personnel
- **Budget**
  - Budget Items
  - F&A
  - Cost Sharing
  - Modular Budget
  - Justifications
  - Versions
  - Budget Periods and Setups
- PHS 398 Cover Page
- PHS 398 Research Plan
- PHS 398 Checklist
- Approvals
- Finalize

**Penn-specific Generic Sponsor**

- Setup Questions
- Abstract
- Personnel
- **Budget**
  - Budget Items
  - F&A
  - Cost Sharing
  - Justifications
  - Versions
  - Budget Periods and Setups
- Supp Docs
- Research Plan
- Approvals
- Finalize

Features

- The Proposal Development application will lead you through the steps that are necessary to satisfy the requirements specified by the sponsor. The Navigation Menu represents those defined steps. Different sponsors have different requirements. The Navigation 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.
Process Overview

The “create a 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:

1. Profile update
   - Verify and/or update your Profile information in PennERA (especially NIH Commons user name, name, address, city, state, country, phone, email).
   See also Profile for more information.

2. 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
   - Information on use and treatment of human subjects and/or vertebrate animals
   - CVs/biosketches for Key Personnel who will be working on the project
   - Project Narrative
   - Resources
     - Facilities and Other Resources
     - Major Equipment
   - References Cited
   - Additional attachments if needed

Note: If your document uses symbols or complex graphics, please convert the document to PDF format before uploading to ensure that these elements are correctly converted.
New Proposal Questionnaire

Overview

When creating a new proposal, you are prompted through a series of seven set-up 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.

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

---

**Step 1 – Determine PI, initiate proposal creation**

**Features**

- Change the PI
- Create a new proposal or copy an existing one

**Change PI**

- The “PI” defaults to the user.
  - If creating a proposal for someone else, click [Change PI].
  - Choose the new PI from the Alpha-split list, click [Select].
- If you are creating a proposal for another PI, you cannot “Submit” the proposal.
- PIs must submit proposals under their name.

**Do you want to...**

- Determine if this proposal is a “New” proposal or a “Copy from Existing” proposal.
- Select the appropriate proposal type from the “Do you want to...” box.
  - Only those proposals created in Proposal Development are available to be copied.
  - You can copy only those proposals that you have access to as defined by system security rules.
    
    **See also** Appendix A, “How Do I... copy an existing proposal?”
- Click [Continue to Next Step].

The Proposal ID will be assigned after the first seven steps have been completed.

---

The Proposal ID will be assigned after the first seven steps have been completed.
Step 1 Continued… – Find Funding Opportunity

Features

• Allows access to SPIN funding database

[New Proposal Questionnaire]
This Proposal will be created with Fred, Evelyn 1 as the PI. [Change PI]

Step 1 “New” or “Copy From Existing?” [Create a New Proposal]

Step 1 Continued…

[Continue to Next Step]

• Select from the drop-down box “I need to locate a funding Opportunity” or “I know this proposal is going to be submitted to Grants.gov” to open the SPIN funding database or “Neither of the Above” to continue on to Step 2.

• Click [Continue to Next Step] to open SPIN funding database or to continue to Step 2.

Note: The SPIN database is a separate website that will time out 20 minutes after the user logs into the PennERA system. Logout and logon again to regain access to SPIN.

SPIN funding database

Features

• Allows search of the SPIN funding database using alphanumeric search criteria from the full program, title, or funding opportunity number

Search SPIN for...

Note: Although there are multiple options for searching SPIN, the method presented here is the most common for Federal sponsors.

See also Appendix A, “How Do I… copy an existing proposal?”

[New Proposal Questionnaire]
This Proposal will be created with Fred, Evelyn 1 as the PI. [Change PI]

Step 1 “New” or “Copy From Existing?” [Create a New Proposal]

Step 1 Continued…

[Continue to Next Step]

• Type in the search criteria. In this example:
  ° Enter Funding Opportunity Announcement (also known as Sponsor Program No.).
  ° Choose “Sponsor Program No.” for Search.

• Click [Search].

Wait for the screen to refresh with the program information.
**New Proposal Questionnaire**

This Proposal will be created with Fred, Evelyn J as the PI.

**Step 1**  “New” or “Copy From Existing”?    Create a New Proposal

<table>
<thead>
<tr>
<th>Program Number</th>
<th>Program Name</th>
<th>CFDA</th>
<th>Sponsor</th>
</tr>
</thead>
<tbody>
<tr>
<td>PA-07-070</td>
<td>Research Project Grant (Parent R01)</td>
<td>National Institutes of Health/NIH</td>
<td></td>
</tr>
</tbody>
</table>

**Step 2**  “New Competing” or “Competitive Renewal”  

<table>
<thead>
<tr>
<th>Is this a &quot;Competitive Renewal&quot; or a &quot;New Competing&quot; proposal?</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Competing</td>
</tr>
<tr>
<td>Competitive Renewal</td>
</tr>
</tbody>
</table>

**Step 2 – Select New Competing or Competitive Renewal**

- 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 Next Step].

**Step 3 – Select Sponsor**

Completed based on SPIN funding opportunity.

**Step 4 – Proposal Number (also called institution number)**

Will be automatically numbered by the system once the set up questionnaire has been completed.

*Note:* If you are requested to manually enter a Proposal Number, please stop, click [Back] tp Step 2 and repeat. If manual input is again requested, stop and send e-mail to PennERAhelp@lists.upenn.edu.

**Step 5 – Enter the Proposal’s Title**

- Enter the title of your proposal.
- Click [Continue to Next Step].

- Click Use this program in the proposal I am creating.

25

Click on the announcement title to see more information about that program.
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 to Next Step].

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 to Next Step].

Is all of the above information correct?

- Review the information you entered and click [Yes, Create Proposal] to continue or [No, Go back...] if you need to make changes to any of the earlier steps.
- The application automatically assigns a Proposal Number (i.e., Institution Number) when you complete this step.

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

**Step 8 - Setup Questions**

**Overview**

The **Setup Questions (Step 8)** provide 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/Screen Template is pre-populated based on the type of grant.
• In the electronic submission process, all Grants.gov proposals are considered solicited. 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.
• Select Mechanism - Use the drop down box to change the program type, if necessary.
• Get Opportunity Number - Click the link to open the opportunity number list.

<table>
<thead>
<tr>
<th>Select Program from this sponsor...</th>
<th>Select</th>
<th>Close</th>
</tr>
</thead>
<tbody>
<tr>
<td>CFDA</td>
<td>Opportunity Number</td>
<td>Competition ID</td>
</tr>
<tr>
<td>93.279</td>
<td>PA-06-310</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>PA-06-190</td>
<td></td>
</tr>
<tr>
<td>93.276</td>
<td>PA-07-215</td>
<td></td>
</tr>
</tbody>
</table>

• Click the box to the left of the appropriate Opportunity Number.
• Click [Select].
• Grants.Gov Submission Information - Review information for accuracy and to ensure that proposals are still being accepted (Opportunity Open and Close Dates).
2. Deadline Information

- Information will auto-populate based on the Opportunity Number
- 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).

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

- Be sure to review the answers to these pre-populated questions
  - Overwrite pre-populated answers to the correct answer if necessary
- 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 funding opportunity announcement (FOA).
  - Answer “Yes” or “No” to whether this is a Modular budget or not

5. Budget Setup Information

<table>
<thead>
<tr>
<th>Budget Setup Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>What kind of budgeting model would you like to use?</td>
</tr>
<tr>
<td>Is this a flow through project?</td>
</tr>
<tr>
<td>Select the Program Type</td>
</tr>
<tr>
<td>The majority of the research will be</td>
</tr>
<tr>
<td>Cost Sharing Information</td>
</tr>
<tr>
<td>Who will be responsible for any costs?</td>
</tr>
<tr>
<td>0903 - College of General Studies</td>
</tr>
<tr>
<td>Who will be responsible for project costs that are not reimbursable/allowable by the sponsor?</td>
</tr>
</tbody>
</table>

- Select “Budget by Total Project” or “Budget Period by Period” or “424 Budgeting”
  - **Budget Period by Period**
    - Budget expense by each period
    - Cannot be used for Academic and Summer appointments
  - **Budget by Total Project**
    - Budget expense on a project basis
    - Can be used for Academic & Summer appointments
  - **424 Budgeting**
    - Primarily a data entry method (especially if you have constructed the budget outside PD using a spreadsheet or similar tool).
    - Can be used for Academic & Summer appoints more easily than budget by project
    - Does not calculate fringe benefits or inflationary increases
    - Does not evaluate for the NIH cap

- Flow through project
  - “No” if government funding is coming directly to Penn
  - “Yes” if government funding is coming through another source then to Penn
- 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. Cost Sharing Information

This section can be used to change default settings for cost-sharing information. Based on the Funding Opportunity selected, information about limitations imposed by the sponsor on total project costs will also be displayed here.

• Cost Sharing defaults to the Primary Associated Department (Resp Org).
• Defaults to the PI’s Department for unreimbursable/unallowable costs.
• Different Orgs can be chosen if they are accepting these costs.
  ° Click **Set** to open drop-down alpha-numeric search list to select another Org that would be responsible for cost-sharing or unreimbursable/unallowables costs.
  ° Search by Org # not department name.
  ° Select the Org that will share the expenses.
  ° When you begin to enter the budget, you can enter the account numbers associated with these Orgs.

![Cost Sharing Information](image)

• Accept or change the answers to the additional questions regarding funding.
• Complete the information box **Other funding guidelines/restrictions/information**, if necessary, as it applies to the proposal.

**Note:** Do **NOT** enter salary caps or annual project limitations (e.g., $250,000/year for modular budgets). All of these kinds of limitations are incorporated in the validations that Proposal Development uses to build the budget.

• 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 icon to exit when you are not 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 Navigation 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 a similar way, using the same system features, functions, and procedures.
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 set-ups provided by ORS.

- These fields, highlighted in yellow on the screen, must be answered to complete this form:
  - The question between numbers 9 and 10 ("Is this application being submitted to other agencies?")
  - Questions 12 and 19.
  - Question 17 ("Is this application subject to review by State Executive Order 12372?")

<table>
<thead>
<tr>
<th>SF424 (R&amp;R)</th>
<th></th>
<th>Completed □</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>1. TYPE OF SUBMISSION:</th>
<th>2. DATE SUBMITTED</th>
<th>Application Identifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-application</td>
<td>Change</td>
<td>Change</td>
</tr>
<tr>
<td>Application</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Changed/Corrected Application</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. APPLICANT INFORMATION</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Name: The Trustees of the University of Pennsylvania</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department: 6760 - Research Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address (Street, city, state, zip/postal code): Office of Research Services 3451 Walnut Street Suite P-221 Philadelphia PA 19104-6205 U.S.A.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Person to be contacted on matters involving this application</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prefix:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>First Name:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Middle Name:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Last Name:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Suffix:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fax Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(215) 573-6705</td>
<td>(215) 898-9700</td>
<td><a href="mailto:science@lists.upenn.edu">science@lists.upenn.edu</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</th>
<th>7. TYPE OF APPLICANT:</th>
</tr>
</thead>
<tbody>
<tr>
<td>123-123456789</td>
<td>Private University</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>8. TYPE OF APPLICATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
</tr>
<tr>
<td>Continuation</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>9. NAME OF FEDERAL AGENCY:</th>
<th>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Institutes of Health/NIH</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>11. DESCRIPTIVE TITLE OF APPLICANT’S PROJECT:</th>
<th>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</th>
</tr>
</thead>
<tbody>
<tr>
<td>User’s Guide screen shots</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Most information is pre-populated.**

**Required section.**

**Required section.** Answer for NIH proposals is always "N/A".

**Remember to check completed when finished with the form.**
• Click the Save button before moving to the next step.

18. By signing this application, I certify that (1) the statements contained in the list of certifications are true, complete, and accurate to the best of my knowledge. I also provide the required assurance 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.

19. Authorized Representative

- Click in any highlighted yellow field.
- 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.
Performance Sites

Overview

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

Features

- Change the first site to the primary associated department address.
- 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.
- Click Save
- Check Completed

Other Project Info

Overview

Answer questions pertaining to human subjects, vertebrate animals, etc.

Features

- The 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.
- Answer questions as needed.
- Click Save
- Check Completed
Project Summary

Overview

This screen gives you the option of uploading your project summary or entering it directly into the Proposal Development application. Manual entry may be too limiting in some circumstances so it is recommended that you upload a pdf document that meets the sponsor guidelines.
Features

- Choose [Upload Document]
- Click [Browse...] to locate a document to upload.
- Find and select the document on computer (Word or PDF files) – special characters/images should be converted to PDF before upload in order to maintain document’s integrity.
- Click icon to upload the document
- View the PDF file or remove the document if necessary

```
<table>
<thead>
<tr>
<th>View</th>
<th>Pages</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(1)</td>
<td></td>
</tr>
</tbody>
</table>
```

Upload “Project Summary” Documentation

- Click Save
- Check Completed

Best Practice Hints for naming your documents on your computer

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

Project Narrative

Overview - Upload document screen

```
<table>
<thead>
<tr>
<th>Project Narrative</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upload documents must conform to NIH Standards</td>
<td></td>
</tr>
</tbody>
</table>

**EDIT**

- Use font of at least 11 points.
- Font color of black
- Typeface: Arial, Helvetica, Palatino Linotype, or Georgia
- Type density, including characters and spaces, must be no more than 15 characters per inch. For proportional spacing, the average for one representative section of the text must not exceed 15 characters per inch.
- No more than 6 lines of type within a vertical space of one inch.

**PAGE MARGINS**

- Use standard size 8.5” x 11”.
- Use at least one-half inch margins (top, bottom, left and right) for all pages.

**LENGTH**

- Using no more than two or three sentences, describe the relevance of this research to public health.

All uploaded documents will be automatically converted to PDF.
```

Features

- When you upload a document, it is a good practice to “name” the document (refer to Navigation Features for details).
- Name the narrative (use the proposal number or some other identifying feature)
- Click [Browse...]
Find and select the document on computer (Word or PDF files) – special characters/images should be converted to PDF before upload in order to maintain document’s integrity.

Click icon to upload the document

Click Save

Check Completed

References Cited

Overview - Upload document screen

Features

• Click [Browse...]
• Find and select the document on computer (Word or PDF files) – special characters/images should be converted to PDF before upload in order to maintain document’s integrity.
• Click icon to upload the document
• Click Save
• Check Completed

Resources

Overview

This is where the resources available, “Facilities & Other Resources” and “Major Equipment” to the project are entered. This page provides the option of uploading an existing document, selecting information from the database, or manually entering information.

Note: Due to number of character limitations, it is highly recommended that project resources be uploaded as a document and not selected from the database or manually entered.

Features

• Upload of “Facilities and Other Resources” and “Major Equipment” documents must be completed.
• Choose [Upload Document]
• Click [Browse...] to locate a document to upload.
• Find and select the document on computer (Word or PDF files) – special characters/images should be converted to PDF before upload in order to maintain document’s integrity.
• Click icon to upload the document
• View the PDF file or remove the document if necessary
• Click Save
• Check Completed

Note: Use the Database - information can be uploaded from the Profile database or manually entered but characters-spacing is limited.

Other Attachments
Overview
Upload any additional documents that need to be sent to the sponsor such as previous correspondence with the sponsor or materials specified by the sponsor in the Program Announcement. Letters of support and appendices will be added in the PHS 398 Research Plan section.

Features
• This is the only form that does not have to be completed (red check beside it) in order to finalize the proposal.
• Good business practice to check “Completed” on all of the forms as a way to verify that you have intentionally not attached a document here.
• If there are forms to be added, Click [Browse…]
• Find and select the document on computer (Word or PDF files) – special characters/images should be converted to PDF before upload in order to maintain document’s integrity.
• Click icon to upload the document
• View the PDF file or remove the document if necessary
• Click Save
• Check Completed
Budget

Overview

The Budget section has a sub-menu that lists all the forms related to the budget. In general:

- There are three types of Budget Items: personnel costs, non-personnel costs and subcontractor costs (which consist of personnel costs and non-personnel costs).
- There are 3 roles that can be used to identify the personnel: key personnel, significant contributor, and non-key personnel.
- There are 2 types of non-personnel costs: current expenses and subcontractors (which have personnel and non-personnel costs).

Click on “Budget” on the left-hand Navigation menu to open the Budget sub-menu. Several steps are required to enter the necessary budget data.

Budget forms for Detailed Budget

| Budget Items | F & A | Cost Sharing | Justifications | Versions | Budget Periods and Setups |

Budget forms for Modular Budget

| Budget Items | F & A | Cost Sharing | Modular Budget | Justifications | Versions | Budget Periods and Setups |

Features

- The budget sub-menu items Budget Items, F & A, Cost Sharing and Modular Budget (if required) must be entered in the order in which they appear
- Budget Periods and Setups -- Use form to add or delete budget years, change budget type/dates, and/or the PI information. This information is completed with information from the other budget sub-forms, but the form can be completed first if information needs to be added, deleted and/or changed
- Multiple budget periods can be entered at one time
- Various versions of the budget can be entered for comparison purposes

Note: The sections “Versions” and “Budget Periods & Setup” are not required sections and can be viewed at any time. However, to edit these forms, none of the required forms (Budget Items, F & A, Cost Sharing, etc.) may be completed or “checked in”.

Note: The example in the following pages is for a “Period by Period”, modular budget, if you use a “Project” budget and/or a non-modular budget, there will be slight differences in the screens but the process is the same (see Appendix A for information on “Budget by Period” budget).
Click menu path **Budget > Budget Items** to access Personnel and Non-Personnel Cost sheets.

**Budget Items**

**Overview** - This section allows you to enter specific budget information (personnel, non-personnel expenses, etc.).

**Features**

- In the Personnel Costs section the PI name/Role information is already available. Click 🎨 folder icon next to the budget line item to open that line and make the proper adjustments.
- Add expense lines (Personnel and Non-Personnel Costs) by selecting `[Click to add]` in the appropriate budget section.
- The expense type “Subcontractors” is dependent on the answers given on the Setup Questions form. “Subcontractors” line item will not be available if the Setup Question (Step 8) is answered “No”.
- As budget items are added, a file folder icon will appear to the left of the line item. Click the file folder icon to view/update the corresponding budget line item.
Salary Information - Principal Investigator

Overview - This screen allows you to enter salary, benefits, and effort for the PI on the proposal. Budget information sheets for other individuals included on the proposal will have a similar format.

1. a) Select the appointment type: Calendar, Academic, or Summer and type in number of months.
   b) Type in Base Salary and select payment type: per appointment; per hour; per week
   c) Select Fringe Benefits type: None, Full-time federal; Full-time non-federal; or Part-time
      (amount will auto-populate)
   d) Select how the salary should be applied
      i. Continue Salary past Appointment end date – salary will continue to end of grant
      ii. Recycle Salary on the Annual Anniversary - typically used for SUMM/ACAD appointments
      iii. Salary ends on the Appointment date – appointment end date = salary end date
   e) Select inflation type: Cost of Living 3% is standard for the University of Pennsylvania
   f) Leave the “Apply Inflation on the Primary Appointment Anniversary Date” unchecked - Penn does not use inflation adjustments based on appointment dates.

2. Project Responsibilities - Budget justification information will be added as an uploaded work or PDF document.

3. Time and Effort Levels on Project - Remove 1 (which means 1% effort) and replace with the percentage of effort the staff member will be exerting on this project in each period

Note: For grants.gov proposals, Proposal Development will convert to Calendar Months

- Click Save icon when all effected periods are complete
- Click [Click to Add Next Person to the Proposal] to add additional staff to the proposal
Add additional Personnel

*Note: Adding personnel to the budget will also add them to Personnel tab.*

**Overview** - This screen allows you to add existing Penn personnel or new staff to the proposal.

### Add Existing Staff

**Features**

- Use the Alpha Split drop down menu to select the Penn staff/student name
- Select Position type of the staff/student from drop down box (faculty, fellow, student, etc.)
- Select the Personnel Type, i.e. role this person will perform on this proposal (Key Personnel, Non-Key Personnel, or Significant Contributor)
- Type in the amount of effort (where 1 = 1% effort) this person will contribute
- Verify the period information is correct and change if necessary
- Click [Select]

1. Add Appointment and Salary information, Fringe benefit type, Salary calculation type, and Inflation rate
2. Project Responsibilities – choose Personnel Type and Role on Project from drop down box selection (Budget Justification information will be added as a word/PDF uploaded document).
Effort information should be included from information typed on the previous screen but can be changed if necessary.

- Click **Save** icon

**Add New Staff (non-contract personnel)**

- Click [Click to Add Next Person to the Proposal]

**Overview** - This screen allows you to add new staff, not in the existing staff database, to the proposal (do not use for contractual personnel); usually staff that has not yet been hired, an unnamed staff member, or multiple students/graduate students.

**Features**

- Add staff that have not yet been identified
- Type “TBD” in the blank next to First Name
- Select the Position type (faculty, fellow, student, etc.)
- Complete the Effort information (where 1 = 1% effort)
- Click [Add]

1. Add Appointment and Salary information, Fringe benefit type, Salary calculation type, and Inflation rate
2. Project Responsibilities - choose Personnel Type and Role on Project from drop down box selection (Budget Justification information will be added as an uploaded word or PDF document).
Effort information should be included from information typed on the previous screen but can be changed if necessary.

- Click **Save** icon

When all staff information has been added, click **Budget Items** to add non-personnel budget information
Non-Personnel Expenses

Overview - This screen allows you to enter non-personnel expenses such as travel, supplies, etc.

- Click [Click to add] to add Non-Personnel Costs

Features
- Description - type a descriptive label for the expense
- Budget/Charge Category - choose expense category type from drop down box list
- Annual Inflation - Cost of Living 3%
- Budget Justification - leave blank, information will be added as a word or PDF upload
- Purchase/Usage Schedule
  - Units/Quantity: 1 can be added in each period where there will be an annual expense
  - Price/Charge Each: Amount per period where there will be an annual expense
  - Multiple Units/Quantities with corresponding prices can be used if that is appropriate
- Click Save icon to view Budget Detail
Non-Personnel Expenses (continued)

Budget Detail

- Click [Click to add next item] to add next non-personnel budget item to create additional budget lines.
- When all budget items, Personnel and Non-Personnel have been added and saved, click Budget > Budget Items on the navigation menu path.

- To change Personnel Costs to a specific person:
  - Click the File Folder icon to the left of that line item.
  - Click on [Show Details] in the Salary/Payroll information section.
  - Click [Edit Section] and make appropriate changes.
- Click Save icon.
- Check “Completed” box on Budget Items form.
- Select Budget > F & A to view system calculated Facilities & Administrative costs.

Budget Items

Adoption of Alcohol Research Findings in Clinical Practice

Budget Items

- Click [Click to add next item] to add next non-personnel budget item to create additional budget lines.
- When all budget items, Personnel and Non-Personnel have been added and saved, click Budget > Budget Items on the navigation menu path.

- To change Personnel Costs to a specific person:
  - Click the File Folder icon to the left of that line item.
  - Click on [Show Details] in the Salary/Payroll information section.
  - Click [Edit Section] and make appropriate changes.
- Click Save icon.
- Check “Completed” box on Budget Items form.
- Select Budget > F & A to view system calculated Facilities & Administrative costs.

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Subcontractor Information

Overview - Addition of subcontractor information requires the selection of the subcontractor and the creation of the budget to be used by the subcontractor.

- From the Budget Items screen, Select [Click to add] to add subcontractors
- Select the first letter of the subcontractor's name from the alpha split-list and then find the specific organization from the drop down list.

Note: If the subcontractor to be added to this project is not listed, please send an e-mail to PennERA Help pennerahelp@lists.upenn.edu.
Subcontractor Information (continued)

- Select the subcontractor PI name from the alpha drop down box or add New Subcontractor PI information (make sure all fields are completed)

  The Subcontracting organization is added to the budget items page.

  The system will return to the Budget > Budget Items page

  In the Subcontractors budget line check the box under “Detail Budgeting”

  Open the file folder that appears under “Detail Budgeting”

  Subcontract for Institution #XXXXXX is the University of Pennsylvania’s proposal number

  The Proposal number on this page is for the subcontracting institution

  Add Personnel and Non-Personnel Costs for the Subcontractor using the steps described earlier.

  Differences between Penn budget information and Subcontractor budget information:
  - Fringe benefit amounts for salaries must be added manually.
  - F & A must be added manually.

  Add F & A information manually under each Period

  Click Save icon

  Click Done icon to finish with Subcontractor’s budget

  Check “Completed” box to finish the Budget Items form
F & A (Facilities & Administrative Costs)

Overview - This screen shows the calculated Facilities & Administrative (F & A) expense on a line-by-line basis.

Features
- The negotiated F & A rates have been pre-defined in the application (see Setup Questions: Budget Setup Information Section)
- Calculation of F & A for Non-Personnel expenses is determined by the Category chosen
- Sponsor Calculation Method - select the desired method of calculation from the drop down box
- Scheme - defined in Setup Questions: Budget Setup Information Section
- Click Save icon
- Check “Completed” box
- Select Budget > Cost Sharing

Note: Category selection of Non-Personnel expense items determines whether F&A will be calculated or not. Categories exempt from F&A include: Alternations & Renovations; Inpatient; Outpatient: Participant - Stipends; Participant - Tuition; and Purchased Equipment
Cost Sharing

Overview - This screen allows you to view, edit or enter Cost Sharing data for a project.

Features

- Cost Sharing sources default to the sponsor and the associated department.
- Additional cost sharing sources can be entered on an as-needed basis. [Add/ Edit Sources] - opens box that allows for changes and additions to budget information.

- Cost sharing can be entered manually on a line-by-line basis. Account numbers (or alternately other source information) should be added to the Account Number field when there is cost sharing
- Check “Completed” box when finished
- If applicable, select Budget > Modular Budget (or Budget > Justification if this is not a modular budget)
Modular Budget

Overview - This screen summarizes the number of modules you are requesting when using the modular budget format.

Features

- Generally speaking, keep number of modules consistent unless equipment is being bought or some other large expense is occurring in one year vs. another year.
- Modules are set up in $25,000 increments, usually with no more than 10 modules per year.
- Change or accept Direct Modules and/or F & A Basis Modules as necessary.
- Click Save icon.
- Check “Completed” box.
- Select Budget > Justifications.
Justifications

Overview - This screen allows you to upload a form or create and edit budget justifications for each budget item entered. **Recommendation: Upload Budget Justification as word or PDF document.**

<table>
<thead>
<tr>
<th>Features</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Upload Budget Justifications as a word processing or PDF document</td>
<td></td>
</tr>
<tr>
<td>Select <strong>Upload Form</strong> radio button</td>
<td></td>
</tr>
<tr>
<td>Click <strong>[Browse]</strong></td>
<td></td>
</tr>
<tr>
<td>Select word or PDF document</td>
<td></td>
</tr>
<tr>
<td>Click ✯ upload icon</td>
<td></td>
</tr>
<tr>
<td>Check “Completed” box</td>
<td></td>
</tr>
</tbody>
</table>
Versions

Overview - This screen allows the user to save an existing budget as one version, then make changes and save as another version for comparison purposes.

- Select Budget > Versions if you would like to compare multiple budget possibilities in your proposal (this section does not need to be completed to “Finalize” the proposal).

Features

- Click “Download” icon to download saved budgets into Excel spreadsheets
- Click [Add New Version] to copy the initial version of the budget and create new ones
- Type a Version Name and Click [Save]

- Note new budget (Budget 2) is the “Active” budget
- Click File Folder icon make changes to the second version of the budget
- Click Save icon
- Check “Completed” box
- Remember this is not a mandatory form for completion of the proposal
Budget Periods and Setups

Overview - Summarization of Budget information entered for the proposal

- Select Budget > Budget Periods and Settings

Features

- This form allows changes to the budget period and setup as well as changing the PI.
- If any budget information (Budget Items, F & A, etc.) has been completed, no changes can be made to this form.
- To edit information on this page, no budget items may be marked as complete.
- Cost sharing can be entered manually on a line-by-line basis.
- Account numbers (or alternately other source information) should be added to the Account Number field when there is cost sharing.

Note: The funding source must be provided for all cost sharing, except for tuition subvention and salary over the NIH salary cap.
Personnel (Upload Biosketch)

Overview - All Key Personnel require a CV to be added to the proposal. Enter budget information first and this screen will populate with key and non-key personnel information. 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 can be added to the proposal.

Features

Optional Items

A. Name/Role Column
- Click personnel’s name link to open Contact information screen.
- Change or edit information as needed (changes are usually only required for non-Penn personnel)

B. Order Column
- Type in numeric order of key personnel.
- Click Save icon

C. Curr/Pend Support Column
- Click the box in the Curr/Pend Support column to open “Get” icon
- Click [Browse] to select the Current/Pending Support document
- Click [Upload]

Mandatory Items

D. CV Required Column
- Click “Get” icon in CV Required column
- Click [Browse] to select the CV from pre-seated documents or select information from another/prior proposal
- Click [Upload]

- Use icon to remove PDF document
- Use icon to remove person from proposal
- Check “Completed” box
# PHS 398 Cover Page

**Overview** - Cover page for the proposal which includes information about the project and the University's Organizational information.

- **Select** PHS 398 Cover Page

| Cover Page
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Project Director / Principal Investigator (P0/PI) - Class</strong></td>
</tr>
<tr>
<td><strong>2. Human Subjects</strong></td>
</tr>
<tr>
<td><strong>3. Applicant Organization Contact</strong></td>
</tr>
</tbody>
</table>

**Features**
- Contains information from previously entered screens
- Verify information - should be accurate based on Profile page
- Add any additional information (Degree and County Information are required fields)
- Click **Save** icon
- Check **“Completed”** box
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

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

Features

- The type and number of forms to be uploaded is dependent on the answers on the Setup Questions form - review the form carefully to determine which documents need to be uploaded to the proposal
- Upload each form following the upload steps previously described.
- As you upload each section, the Proposal Development application returns the document as a PDF, shows the page count for the upload, and the total page count for the Proposal.
- Sections 2 through 5 are required for all NIH proposals. Again, additional documents may be required based on the use of human and/or vertebrate subjects, subcontractors, etc.
- Click Save icon
- Check “Completed” box

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.
PHS 398 Checklist

Overview - Information contained on this screen will be populated through administrative setups and information previously entered in the proposal.

Features

- Information is pre-populated from information contained in other forms on the proposal.
- Changes can be made if necessary to application type, investigator/institution information, etc.
- Click Save icon
- Check “Completed” box
Approvals

Overview - Section to upload specific approvals for protocols such as human subjects or lab animals

- Click [Add] to open Add/Edit Approvals box
- Click [Continue]
- From the drop down box select the status of the protocol

- Click Save icon (save, edit or remove approvals)

- Check “Completed” box
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** menu item
- Click **[Build]** to convert your proposal into a PDF format.

- Click **[Build Grants.gov Application]** to create the application package.
- Generic forms require you to place your forms in order.
Submit for Internal Review

Overview - From this page the proposal is finalized prior to internal routing and approval. At the point the proposal should be completed reviewed, the Certification for Principal Investigator completed, the Proposal Transmittal Form completed, and the proposal submitted for review and approval. The Certification by the PI and Proposal Transmittal Form must be completed before the proposal can be submitted for internal approval.

Features

- Completion of documents for the final routing through University approvals paths to ORS to the funding authority
- Click the “Open” icon to complete the Certification by PI form (see section)
- Click the “Open” icon to complete the Proposal Transmittal form (see section)
- Select the eyeglass icon under “Completed Forms” to view a PDF version of the forms.
- Click the link labeled Add Institution Forms/Supporting Documents to attach documents that will not be sent to the sponsor, but are required by the University.
- If you have other forms that you want to go to the Sponsor, use “Other Attachments”
- When all forms have been completed click the icon
  - Requires the PI to “electronically sign” the Proposal by re-entering Username and Password.
  - Click [Submit]
  - Approval routing path pop-up box appears. Add New Person to Review Path or click [Submit] to send proposal to reviewer/approver.

This is the final step in the proposal submission process. The submission to the sponsor is through Grants.gov. Depending upon the sponsor, it may take administrative action from you Institute to submit the submission.

Once you have submitted the proposal to Grants.gov, it may be necessary for an official from your institution to log into the sponsor’s online system to formally release the proposal to the sponsor. There would be no further action required by you at that point.
Certification by Principal Investigator

Overview - This e-form is an internal Penn form and is to be completed by the PI.

- Click Open icon beside Certification by Principal Investigator
- When Certification opens click Menu > Check In/Out

- Click [OK]
- Answer questions by clicking appropriate boxes
- Check “Complete” box
- Click [Save]
- Click [Check In/Out] to lock the form
- Click [X] in upper right corner to close the window
Proposal Transmittal Form

Overview - This screen is an internal Penn e-form. Information must be entered for required questions, identified with an *, as well as the Departmental Administrative contact, Future Account Segment Information, and Facilities to be used (enter as Building name, Floor #, and Room #). It is optional to enter contact information for the Sponsoring Agency/Granting Organization.

- Click Open icon beside Certification by Principal Investigator
- When Certification opens click Menu > Check In/Out
- Click [OK] and answer questions to complete form
- Check “Complete” box
- Click [Save]
- Click [Check In/Out] to lock form
- Click [X] in upper right corner to close window
Submit for Routing and Approval

Overview - This screen allows the PI to route the proposal for internal approval.

Features

- Select the icon to begin the routing process which will prompt the PI to electronically sign the document by re-entering the Username and Password.
- Once the PI has electronically signed the document, a screen will display the routing path for this particular proposal.
- Click the link **Add New Person to Review Path** to add Approvers or Reviewers before “Step 1” 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.

- Choose name from drop down box
- Click **[Select]**
- 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.

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

- Click save and Done icon 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 is 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 both the link to a copy of the proposal and a link that will direct him/her to the Review Dashboard.

External Email -

From: FRATANARO, STEPHEN [stfranar@pobox.upenn.edu]
To: FRATANARO, STEPHEN
Cc: 
Subject: Approval Needed - 10013131

Proposal 10013131 submitted by STEPHEN FRATANARO from 8760 - Research Services requires your approval. Your prompt attention to this request is appreciated. If you have any concerns about the proposal, please contact your departmental administrator.

To open the submission package to view the proposal, click here: Open Submission Package

To go directly to the Approver/Reviewer dashboard, click here: Reviewer Dashboard

PennERA Internal message -

Click Messages > Name
Click Envelope to open

From: AVERSA, LINDA M
To: Ford, Evelyn J - 9760 - Research Services
Cc: 
Received: 19-May-2000
Subject: Approval Needed - 10016070

Proposal 10016070 submitted by MARIKA KOZLOWSKI from 0104 - Chemistry requires your approval. Your prompt attention to this request is appreciated. If you have any concerns about the proposal, please contact your departmental administrator.

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

Attachments:

1. Far Review Proposal

2. Approval Needed
**Reviewer Dashboard**

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

### Features
- Click any one of the menu items to expand the view.
Items to Review

Overview - By clicking the “Item(s) to Review” tab the approver can see proposals and internal certification forms they must act on. After reviewing each item, remember to:

- Check the box under “Done” for that item in the Review Dashboard.
- Click the flashing disc in the upper left corner to save.

Features
1. Open a copy of the proposal by clicking on the icon under the “Show” column.
   - When you’re finished reviewing, click the Done icon to close the Proposal record.
2. Open Certification by Principal Investigator by clicking on the icon under the “Show” column.
   - Click Menu > Review to access the form.
3. Open the Proposal Transmittal Form by clicking on the icon under the “Show” column.
   - Click Menu > Review (click to close)
Add Comments

Overview - This section allows the user to add comments.

Features
- The Reviewer has the option of adding comments that everyone can see, only the PI can see, only Reviewers see, or only Administrators can see.
- Write comments where appropriate and click on the flashing disc to save the changes.
Approval Decision

Overview - This section allows the user to either approve or not approve the proposal.

Features
- Select Approved or Not Approved from the drop-down menu.
- Click flashing disc to save
- Once the decision has been selected, the Approver will be prompted to re-authenticate - type PennKey ID and password.
- Click the in the upper right corner to close the Reviewer Form

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

**Section 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 Sponsor (i.e., Grants.Gov)**

**Overview** - Check the “Finalize” screen to determine the Grants.Gov ID#, status, etc.

- **Features**
  - If the Sponsor detects a problem with the Proposal, it is returned via ORS for edit/correction.
Submit Other/Paper

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

Features

- A user can print a copy of their proposal by accessing the proposal through Proposal Development, and selecting “Finalize” from the left-hand navigation 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 to his/her computer.
Appendix A: How do I...

...Copy an Existing Proposal?

All of the information on a completed proposal can be copied to a new proposal. Changes to the new proposal can be made by making changes on the appropriate forms.

- From Navigation menu select [Proposals].
- Click [Create Proposal].
- Select “Copy From Existing Proposal”.

1. From Navigation menu select [Proposals].
2. Click [Create Proposal].
3. Select “Copy From Existing Proposal”.
4. Click [Continue to Next Step].
5. Type in the original proposal number OR click the radio button next to the original proposal in the list.
6. Put a check mark in “Include all Proposal Attachments”, Tip: Include attachments only if a significant number of the documents will be unchanged.
7. Click [Continue to Next Step].
8. Select whether this new proposal is “New Competing” or “Competitive Renewal”.
9. Click [Continue to Next Step].

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Copy an Existing Proposal (continued)

- Enter the Proposal's Title for this new proposal.

<table>
<thead>
<tr>
<th>New Proposal Questionnaire</th>
</tr>
</thead>
<tbody>
<tr>
<td>This Proposal will be created with FRANTARDO, STEPHEN as the PI.</td>
</tr>
<tr>
<td>Step 1</td>
</tr>
<tr>
<td>Step 1A</td>
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<tr>
<td>Step 2</td>
</tr>
<tr>
<td>Step 3</td>
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<tr>
<td>Step 4</td>
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<tr>
<td>Step 5</td>
</tr>
</tbody>
</table>

- Click [Continue to Next Step].
- The Project Start and End Dates and the Number of Budget Periods are copied from the original proposal.

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<td>Step 6</td>
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<tr>
<td>Step 7</td>
</tr>
</tbody>
</table>

Is all of the above information correct? [Yes, Create Proposal] [No, Go back and make changes]

Clicking "Yes, Create Proposal" will create a new proposal with the properties you have indicated above. There is one final screen (Step 6) of questions to be completed before you can start entering your new proposal. Again, you will be able to change the properties of the proposal once it has been created if need be.

- Click [Yes, Create Proposal].
Copy an Existing Proposal (continued)

Copied Proposal

- **Everything** on the copied proposal will be the same as the original proposal.
- Each form on the Navigation Menu must be opened, necessary changes made, saved and the form completed.

To make changes to the PI and budget information. See “How Do I Change the PI?” and “…Change Budget Periods and Project Period Start and End Dates?”
...Change the PI?

The default PI on a proposal is the person who originally creates the proposal. This information can be changed in several locations.

A. New Proposal Questionnaire

- Select Proposals > [Create Proposal]
- Click [Change PI]

Select personnel information from alpha drop down box or search for a particular party or filter by position (make sure ORG information is correct).

- Click [Select].

Complete the proposal creation process.
- Associated Department will be that of the new PI.
- Approval routing will be based on the new PI’s approval routing path.
...Change the PI (continued)

**B. Budget > Budget Periods and Setups**

- In the “Change PI” section click [Change].
  
  **Budget Periods and Setups**

  - 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 from the alpha drop down box and click [Select].

**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 > Budget Items – effort, salary; other budget tabs as necessary
- PHS 398 Cover - degrees
...Add or change associated default Department and/or Center information?

Department and Center information defaults to the PI’s information, but often multiple Departments or Centers will work together on a proposal.

- On the “Setup Questions” page in the “General Proposal Properties” section of the questionnaire, click Add in the Associated Departments row

- Use the Numeric drop down box to locate the department name.
  - Highlight the ORG Number – Department Name.
  - Click [Select].

- Click the appropriate radio button beside the Primary Department.
  - Primary ("Prime") department = routing path for approval of proposal.
  - Note: At Penn, this is also known as the “Responsible Org”.

- All Associated Departments have edit/view access to this proposal.
  - Remove any Departments that should not have edit access.
  - Informational copies of the Proposal can be provided during routing and approval.
**...Create a Simple Modular Budget?**

**Set Up Questions**
- Select the “Yes” radio button for Modular Budget.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will this proposal involve human embryonic stem cells?</td>
<td></td>
</tr>
<tr>
<td>Is this proposal funding a Clinical Trial?</td>
<td></td>
</tr>
<tr>
<td>Is this proposal an NIH-defined Phase III Clinical Trial?</td>
<td></td>
</tr>
<tr>
<td>Will this proposal be using a Modular budget?</td>
<td></td>
</tr>
</tbody>
</table>

**Budget**
- Click on Budget > Budget Items.

• Add all Key Personnel included with the proposal.
  - Select **Click to Add** and find the individuals you wish to add from the alpha-split list.
  - Define role on the project and update Key Personnel effort.
  - Click on **Save** then **Back** to return to **Budget Items**.
Simple Modular Budget (continued)

- Enter your total direct expenses by adding one non-personnel expense line.

Select [Click to add] from the Non-Personnel Costs section.

- Enter a description of the direct expense
- Select Budget/Charge category “Other Costs *”.
- Enter the expense amount for each year.
- Click Save to perform calculation.
- Click Budget Items.
Simple Modular Budget (continued)

- Check the "Completed" box for Budget Items.

<table>
<thead>
<tr>
<th>Budget Items</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>F &amp; A</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Simple Modular Budget (continued)

Cost Sharing

- Click the Cost Sharing form.
- Check the “Completed” box (assuming you agree with the system calculation).
Simple Modular Budget (continued)

Modular Budget

- Click **Modular Budget** tab.
- Select the number of modules you are requesting for each budget period from the drop-down box located in the middle of each “block” and click **Save**.
  - It’s imperative you click **Save** before you complete the modular budget page.

- Check the “**Completed**” box for the modular budget page.

Justifications

- Select **Justifications** tab.

- Enter or Upload your budget justification including Subcontractor Justification if applicable.
  - **Note:** “**Upload Form**” is the recommended method.
Simple Modular Budget (continued)

- Check the “Completed” box.
How do I resize scanned documents?

Grants.gov and other electronic submission systems required uploaded documents to be 8½ x 11 inches. Most scanned documents will not be exactly that measurement, so they will need to be resized before they can be uploaded into Proposal Development.

If an uploaded document is not the correct size, an error message will appear when an upload is attempted.

**Note:** Adobe Acrobat Professional is required to resize PDF documents.

3. **Determine the page size**

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

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

- Open the Print dialog box from the File menu.
- Choose Adobe PDF as the printer.
- Remove the checkmarks, if present, from Print to file and Choose Paper Source: The document measurements should change to 8.5 x 11.
- Click [OK] to print.

5. Check the new PDF

- Close the original document and open the new one.
- Check Properties to verify the Page Size.
How Do I…
Change Project/ Budget Period dates?
Add or Remove Budget Periods?

It may be necessary for the project period start and/or end dates to be shifted when an existing proposal is copied, if a typographical error is made when entering the project period dates in the proposal creation questions, or if the PI changes the anticipated start date after the proposal has been created. For similar reasons, the number of Budget Periods may also need to be increased or decreased.

• From Navigation menu, select [Budget], then select [Budget Periods and Setups].

**Shifting the start and end dates of the project**

- From **Navigation menu**, select [Budget], then select [Budget Periods and Setups].

**PKP 2018 - Research Services (National Institutes of Health)**

**Budget Periods and Setups**

**Select the budgeting type to use:**
- Budget by Total Project
- Scheme
- Anniversary

- Allow for Object Code Budgeting
- Calculate F&B using Object Codes

**Shift Project Dates**

- **Project Start**: new date
- **Project End**: new date

**Shift by**:
- **days**

**NOTE:** Use the “Project Period” section only to change (shift) the start and end dates of the project if the number of budget periods is already correct. Do not use the “Budget Period” section to change the dates unless instructed by end-user support staff to edit dates there.

• **Click [Shift]** next to “Project Period” to display **Shift Project Dates**.
Determine the best option to modify the dates:

**Note:** If you need to add or remove Budget Periods, complete that step first. See the next section for instructions on that process.

1. **“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.

2. **“Project Start” and “Project End”**
   - Use this option when the start and end dates need to be changed by different amounts.
   - The user enters the new dates. The start and end dates of each period will be adjusted according to the new information.

**Option 1: “Shift by”**

- Enter the amount then choose days, weeks, or months.
- To move the dates backward, enter negative values, e.g. “-1” month.
- Click [Save] and [Close].
- **WAIT** while the new project period is calculated and [Shift Project Dates] screen is closed.
- **WAIT** while [Budget Periods and Setups] is refreshed and new dates are displayed.
Option 2: Specify new “Project Start” and “Project End”

Enter the new start and end dates.
Both a start and an end date must be entered, even if one of those dates is not changing.
Click **Save**.
**WAIT** while the new project period is calculated and [Shift Project Dates] screen is closed.
**WAIT** while [Budget Periods and Setups] is refreshed and new dates are displayed.

Adding or deleting Budget Periods

NOTE: Use the “Budget Period” section **only** to change the number of Budget Periods in the project (add or remove). Do **not** use the “Budget Period” section to change the dates unless instructed by staff to edit dates there.

Next to “Budget Period”, click **Add** or **Remove**.

Click **OK** to continue.
**WAIT** while [Budget Periods and Setups] is refreshed and the changed number of periods is displayed.
### Budget Periods and Setups

**Select the Budgeting Type to use:** Budget by Total Project

- Use Scheme dates or Project Anniversary for inflation dates?
  - Scheme
  - Anniversary

- Allow for Object Code Budgeting
- Calculate F&A using Object Codes

**Advanced Budgeting** allows the user to move between the Budget Detail, F&A, and Cost Sharing pages in any order. By doing so you may be overwriting system default calculations.

**Track Un-Allowable Charges in a separate "Source" for budgeting purposes. This will identify "un-Allowable" charges/Costs as determined by sponsor rules and hold them in a separate "Budgeting Source" box.

**Show Budget Summary on the budget detail screen.** This can be useful when doing Cost Sharing and/or Overbudgeting.

### Project Period

<table>
<thead>
<tr>
<th>Start</th>
<th>End</th>
</tr>
</thead>
<tbody>
<tr>
<td>01-Jul-2008</td>
<td>30-Jun-2012</td>
</tr>
</tbody>
</table>

### Budget Period

<table>
<thead>
<tr>
<th>Budget Period</th>
<th>Start</th>
<th>End</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>01-Jul-2008</td>
<td>30-Jun-2009</td>
</tr>
<tr>
<td>2</td>
<td>01-Jul-2009</td>
<td>30-Jun-2010</td>
</tr>
<tr>
<td>3</td>
<td>01-Jul-2010</td>
<td>30-Jun-2011</td>
</tr>
<tr>
<td>4</td>
<td>01-Jul-2011</td>
<td>30-Jun-2012</td>
</tr>
</tbody>
</table>

One budget period removed.
How Do I view the cumulative budget totals?

- Choose Budget > Budget Periods and Setups
  - Check Show Budget Summary
  - Save
- Choose **Budget > Budget Items**
  - Choose any budget line item: This example uses one of the personnel entries.
  - Click on the icon to open the detail screen for that item.
- Under **Budget Summary Section**, click in each of the checkboxes to view the accumulating costs for this proposal.
  - **Project** - Total project costs.
  - **NATIONAL I...** - The second group of costs is always the sponsor’s total costs.
  - **4521 - PA...** - The third group of costs is institutional, formal cost-sharing. This cost-sharing will be included on the SF424(R&R) face page.
  - **4521 - PA...** - The final group of costs is unallowable expense. Usually the only expense in this category is the amount of salary (and associated fringe benefits) for personnel whose annual salary exceeds the NIH cap. This is not formal cost-sharing, but is expense not supported by the sponsor. It will not be included on the SF424(R&R) face page.

See Screenshot of expanded Budget Summary Section on the following page.
**Budget Summary Section** ("Check the boxes below to view their corresponding budget summary sections")

<table>
<thead>
<tr>
<th>Project Budget Summary</th>
<th>Direct Costs</th>
<th>Indirects</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$10,172.05</td>
<td>$23,099.05</td>
<td>$33,272.22</td>
</tr>
<tr>
<td>2</td>
<td>$41,372.08</td>
<td>$23,792.37</td>
<td>$65,164.45</td>
</tr>
<tr>
<td>3</td>
<td>$42,519.07</td>
<td>$24,806.14</td>
<td>$67,325.21</td>
</tr>
<tr>
<td>4</td>
<td>$3,897.55</td>
<td>$23,241.82</td>
<td>$65,189.28</td>
</tr>
<tr>
<td>5</td>
<td>$45,214.09</td>
<td>$25,990.56</td>
<td>$71,204.55</td>
</tr>
<tr>
<td>Total</td>
<td>$213,283.09</td>
<td>$122,637.70</td>
<td>$335,920.87</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NATIONAL INSTITUTES OF HEALTH Budget Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Category</td>
</tr>
<tr>
<td>Labor</td>
</tr>
<tr>
<td>Indirect Costs</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4521 - PA-Pathology &amp; Laboratory Medicine Budget Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Category</td>
</tr>
<tr>
<td>Labor</td>
</tr>
<tr>
<td>Indirect Costs</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4521 - PA-Pathology &amp; Laboratory Medicine Budget Summary (Sponsor Non-Allowable Costs/Charges)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Category</td>
</tr>
<tr>
<td>Labor</td>
</tr>
<tr>
<td>Indirect Costs</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

**Note:** Because the values are constantly updated as the budget is developed, the expanded sections are not automatically open on each budget detail screen view. Just re-check the boxes to view the budget details.
1. Setup Questions

- Choose "Budget by Total Project" budgeting model.

2. Budget Items

- Open the Personnel folder to access the salary/effort screen for existing personnel or choose [Click to add] to add new personnel.

- Click [Add Appointment] link.
3. Define the **Appointment** parameters:

- **For the Academic appointment, perform the following steps:**
  - Select the Appointment Type “ACAD” from the drop-down menu.
  - Type in number of months.
  - Select “Monthly” if you want the salary evenly distributed across each month.
  - **Note:** Base Salary must be entered as amount paid per month.
  - Enter a start date of 09/01/08 (start of the academic year in which the appointment begins).
  - Enter an end date of 05/31/09 (end of the academic year in which the appointment begins if this is a 9 month academic year).
  - Enter salary and benefits information. In this example, the salary for 9 months is $100,000.
  - Select Radio Button – “Recycle Salary on the Annual Anniversary” to reflect this salary information in each period of the proposal beginning 09/01.

- **For the Summer appointment, perform the following steps:**
  - Select the Appointment Type “SUMR” from the drop-down menu.
  - Type in number of months.
  - Select “Monthly” if you want the salary evenly distributed across each month.
  - **Note:** Base Salary must be entered as amount paid per month.
  - Enter a start date of 06/01/08 (start of the summer in which the appointment begins, not necessarily the date of the appointment).
  - Enter an end date of 08/31/08 (end of the summer in which the appointment begins).
  - Enter salary and benefits information. In this example, the summer salary is $33,333.
  - Select Radio Button – “Recycle Salary on the Annual Anniversary” to reflect this salary information in each period of the proposal beginning 09/01.

- Select Annual Inflation – “Cost of Living (3%)”.
4. Define the **Effort** parameters – Time and Effort section – enter the individual period.

- Define effort for the PI’s appointments (for example: 25% effort in Academic year, 75% effort during Summer session) as follows:
  
  - Since the project is scheduled to begin on 01/01/08, the first period you define will be 01/01/08 – 05/31/08 (start of the project to the end of the academic year). Enter 25% effort for this period.
  - The next period will be the summer appointment, so enter 06/01/08 - 08/31/08. Enter 75% for this period.
  - Click **Save** to add more Effort lines and calculate the data entered so far.
  - Next, you’ll enter a period covering the entire academic appointment. Enter 09/01/08 – 05/31/09. Enter 25% effort.
  - Now, enter the summer appointment, so enter 06/01/09 – 08/31/09. Enter 75% effort.
  - The final period to enter is 09/01/09 – 12/31/09. Enter 25% effort.

**Note:** If the effort is the same for both the Academic and Summer appointments, it is not necessary to repeatedly enter each year.

*Some sponsors do not require separate budget calculations for investigators who hold Academic/Summer appointments (e.g., NIH). If the effort is the same throughout the budget period (or for all periods) and if the monthly salary does not change, except on the basis of annual inflation, then it is not necessary to complete an ACAD/SUMR appointment salary structure unless required by your department.*

<table>
<thead>
<tr>
<th>Period</th>
<th>Effort</th>
<th>ACAD</th>
<th>CAE</th>
<th>SUMR</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Jan-08</td>
<td>Dec-08</td>
<td>57.64%</td>
<td>2.24</td>
<td>6.00</td>
<td>$44,636.73</td>
</tr>
<tr>
<td>2 Dec-08</td>
<td>Dec-09</td>
<td>23.09%</td>
<td>2.24</td>
<td>6.00</td>
<td>$18,694.59</td>
</tr>
<tr>
<td>Jan-09</td>
<td>Dec-09</td>
<td>23.09%</td>
<td>2.24</td>
<td>6.00</td>
<td>$18,694.59</td>
</tr>
<tr>
<td>Nov-09</td>
<td>Dec-09</td>
<td>23.09%</td>
<td>2.24</td>
<td>6.00</td>
<td>$18,694.59</td>
</tr>
</tbody>
</table>

**Table:** Time and Effort levels on Project

- **Start Date:** 31-Jan-2008
- **End Date:** 05-Mar-2008
- **Effort:** 25%
...Create Non-Personnel expenses for “Budget by Total Project”?

- Select **Budget Items**.
- Select **Non-Personnel Expenses**.
  - Click on [Icon] or [Click to add].

**Budget Items**

<table>
<thead>
<tr>
<th>Description</th>
<th>Budget/Charge Category</th>
<th>Note about “%”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lab supplies</td>
<td>Supplies</td>
<td></td>
</tr>
</tbody>
</table>

**Annual Inflation**

- Enter the Description of the expense – “Lab supplies”.
- Select the **Budget/Charge Category** – “Supplies”.
- Select **Annual Inflation** rate – “Cost of Living (3%)”.

- Note there initially is only one line to enter the expense item. If necessary, additional blank lines will be added after each Save.
• **Example 1:**

  Total costs to the project are $20,000 (current value), or 1 unit @ $20,000 spread evenly over all budget periods.
  
  ° **Units/Qty** - How many are you buying? Enter “1”.
  
  ° **Price/Charge** per units or total quantity information. Enter “$20,000”.
  
  ° Change **Charge Start Date** and **Charge End Date** to define the periods in which the cost will be incurred. Since the costs will be spread over all budget periods, in this example, you only need to change the end date to 03/31/10.
  
  ° Click **Save** to calculate the **Costs by “Budget Period”** section.

<table>
<thead>
<tr>
<th>Purchase/Usage Schedule</th>
<th>Units/Qty</th>
<th>Price/Charge Each</th>
<th>Total</th>
<th>Charge Start Date</th>
<th>Charge End Date</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td>20,000.00</td>
<td>20,000.00</td>
<td>01-Apr-2000</td>
<td>31-Mar-2010</td>
<td>N/A</td>
</tr>
<tr>
<td>2</td>
<td></td>
<td>10,000.00</td>
<td>20,000.00</td>
<td>01-Apr-2008</td>
<td>31-Mar-2010</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Costs by “Budget Period”</th>
<th>Show Calculation Details</th>
<th>Period</th>
<th>Start Date</th>
<th>End Date</th>
<th>Cost to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>01-Apr-2000</td>
<td>31-Mar-2009</td>
<td>$10,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>10,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>ALL</strong></td>
<td><strong>01-Apr-2008</strong></td>
<td><strong>31-Mar-2010</strong></td>
<td><strong>$20,000.00</strong></td>
</tr>
</tbody>
</table>

This example could also have been entered as 2 units (years) @ $10,000 annual costs.

<table>
<thead>
<tr>
<th>Purchase/Usage Schedule</th>
<th>Units/Qty</th>
<th>Price/Charge Each</th>
<th>Total</th>
<th>Charge Start Date</th>
<th>Charge End Date</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td></td>
<td>10,000.00</td>
<td>20,000.00</td>
<td>01-Apr-2008</td>
<td>31-Mar-2010</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Costs by “Budget Period”</th>
<th>Show Calculation Details</th>
<th>Period</th>
<th>Start Date</th>
<th>End Date</th>
<th>Cost to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>01-Apr-2008</td>
<td>31-Mar-2009</td>
<td>$10,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>10,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>ALL</strong></td>
<td><strong>01-Apr-2008</strong></td>
<td><strong>31-Mar-2010</strong></td>
<td><strong>$20,000.00</strong></td>
</tr>
</tbody>
</table>

• **Example 2:**

  Costs to the project are $10,000 in the first budget period, but only $5,000 in the second.
  
  ° **Units/Qty** - Enter “1” for each budget period.
  
  ° **Price/Charge** - Enter “$10,000” and “$5,000” in the appropriate periods.
  
  ° **Charge Start Date** and **Charge End Date** - Change the end date for the first item to 03/31/09 (first budget period); dates for the second item are 04/01/09 and 03/31/10.
  
  ° Click **Save** to calculate the **Costs by “Budget Period”** section.

<table>
<thead>
<tr>
<th>Purchase/Usage Schedule</th>
<th>Units/Qty</th>
<th>Price/Charge Each</th>
<th>Total</th>
<th>Charge Start Date</th>
<th>Charge End Date</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td></td>
<td>10,000.00</td>
<td>10,000.00</td>
<td>01-Apr-2008</td>
<td>31-Mar-2009</td>
<td>N/A</td>
</tr>
<tr>
<td>1</td>
<td></td>
<td>5,000.00</td>
<td>5,000.00</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Costs by “Budget Period”</th>
<th>Show Calculation Details</th>
<th>Period</th>
<th>Start Date</th>
<th>End Date</th>
<th>Cost to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>01-Apr-2008</td>
<td>31-Mar-2009</td>
<td>$10,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>5,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>ALL</strong></td>
<td><strong>01-Apr-2008</strong></td>
<td><strong>31-Mar-2010</strong></td>
<td><strong>$15,000.00</strong></td>
</tr>
</tbody>
</table>
...Budget for F&A exemption expenses like equipment in a simple modular 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 these types of 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 the first year only. Your budget would look like this:

<table>
<thead>
<tr>
<th>Personnel Costs</th>
<th>Open</th>
<th>Name / Role</th>
<th>Type</th>
<th>Effort</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PRATANTARO, STEPHEN</td>
<td>Key</td>
<td>25.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>BRUEN, STEPHEN</td>
<td>Key</td>
<td>10.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>TAYLOR, TIM</td>
<td>Key</td>
<td>5.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$8.00</td>
<td>$6.00</td>
<td>$4.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-Personnel Costs</th>
<th>Open</th>
<th>Budget Category</th>
<th>Item</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Purchased Equipment</td>
<td>University Facility (2)</td>
<td>$15,000.00</td>
<td>$15,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other Costs</td>
<td>Total Direct Expenses</td>
<td>$125,000.00</td>
<td>$150,000.00</td>
<td>$275,000.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td>$140,000.00</td>
<td>$165,000.00</td>
<td>$295,000.00</td>
</tr>
</tbody>
</table>

Once you complete this section, go to the F & A page. Note the F&A base reflects the total less the equipment exemption.
Go to the Modular Page. **Total Direct Costs** ($150,000) has been adjusted for the equipment expense (Exemptions, $15,000) to determine the **Base** ($135,000) for the F&A $.

Always click **Save** before you complete the Modular Budget page.

**Related topics:** How do I...  ...create a simple modular budget?  ...manually adjust F&A?
Manually Adjust F&A?

Certain expenses do not require F&A, but there is no Budget Category to choose (Graduate Student Tuition, for example). The F&A cost for these items must be manually adjusted. This method can be used for either simple modular budgets or for detailed budgets.

- Select Budget > Budget Items > Non-Personnel
- Type in a Description – “Grad Student Tuition”
- Select a Budget/Charge Category – “Other Costs *”
- Annual Inflation Rate – Select “3%”
- Units/Qty – “2” (one per year)
- Price/Charge Each -- “$10,000” per year in this example
- Click Save.

Budget Detail for: Graduate Student Tuition

<table>
<thead>
<tr>
<th>Description</th>
<th>Budget/Charge Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Student Tuition</td>
<td>Other Costs *</td>
</tr>
</tbody>
</table>

Annual Inflation

Cost of Living (3%) 

Budget Justification

Please enter your justification below.

Purchase/Usage Schedule

<table>
<thead>
<tr>
<th>Units/Qty</th>
<th>Price/Charge Each</th>
<th>Total</th>
<th>Charge Start Date</th>
<th>Charge End Date</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>10,000.00</td>
<td>20,000.00</td>
<td>01-Apr-2008</td>
<td>31-Mar-2009</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Costs by “Budget Period”

<table>
<thead>
<tr>
<th>Period</th>
<th>Start Date</th>
<th>End Date</th>
<th>Cost to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>01-Apr-2008</td>
<td>31-Mar-2009</td>
<td>$10,000.00</td>
</tr>
<tr>
<td>2</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>$10,000.00</td>
</tr>
<tr>
<td>ALL</td>
<td>01-Apr-2008</td>
<td>31-Mar-2010</td>
<td>$20,000.00</td>
</tr>
</tbody>
</table>

Add additional expenditures as required & Click “Completed” box for Budget Items

Budget Items

"Initial" Budget Version

<table>
<thead>
<tr>
<th>Period 1</th>
<th>Period 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Personnel Costs

<table>
<thead>
<tr>
<th>Name / Role</th>
<th>Type</th>
<th>Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRATAP, TARG, STEPHEN</td>
<td>Key</td>
<td>$0.00</td>
</tr>
<tr>
<td>MENOFF, STEPHEN</td>
<td>Co-Investigator</td>
<td>$0.00</td>
</tr>
<tr>
<td>STEVENS, TOLL</td>
<td>Co-Investigator</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

Total $ 0.00 $ 0.00 $ 0.00

Non Personnel Costs

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Item</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other Costs</td>
<td>Graduate Student Tuition</td>
<td>$10,000.00</td>
<td>$10,000.00</td>
<td>$20,000.00</td>
</tr>
<tr>
<td>Other Costs</td>
<td>Total Direct Expenses</td>
<td>$125,000.00</td>
<td>$150,000.00</td>
<td>$275,000.00</td>
</tr>
</tbody>
</table>

Total $135,000.00 $160,000.00 $295,000.00

Final $135,000.00 $160,000.00 $295,000.00
- Select **Budget > F&A**
- Select **Manual (line by line)**

**Facilities and Administration Costs**

<table>
<thead>
<tr>
<th>Institution Base/Target Scheme</th>
<th>Research On-Campus Scheme</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Personnel Costs</strong></td>
<td></td>
<td>$169,797.50</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>$169,797.50</td>
</tr>
</tbody>
</table>

**Non Personnel Costs**

<table>
<thead>
<tr>
<th>Other Costs</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsors Directs</td>
<td>20,000.00</td>
</tr>
<tr>
<td>Sponsors F&amp;A Base</td>
<td>20,000.00</td>
</tr>
<tr>
<td>Requested F&amp;A</td>
<td>11,672.50</td>
</tr>
</tbody>
</table>

**Direct Costs**

<table>
<thead>
<tr>
<th>Other Costs</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsors Directs</td>
<td>275,000.00</td>
</tr>
<tr>
<td>Sponsors F&amp;A Base</td>
<td>275,000.00</td>
</tr>
<tr>
<td>Requested F&amp;A</td>
<td>156,225.00</td>
</tr>
</tbody>
</table>

**Direct Cost Totals**

- **$155,000.00**
- **$156,000.00**
- **$285,000.00**

**Grand Totals**

- **$169,797.50**
- **$206,787.00**
- **$453,425.00**

- Replace amount in **Sponsors F&A Base** and **Requested F&A** with $0.00. **Tip:** Just delete the values before saving; empty cells will be replaced with “0.00” during **Save**.
- **Click** **Save**.

- **Click “Completed” box for F&A**
Note: Drift = difference between automatic F&A calculation and manual F&A calculation.

Select Budget > Cost Sharing

Manually adjusted F&A expense has been moved into the Indirect Costs > Inst Line. This must be removed and copied into the Indirect Costs > UnAllow line.

Tip: Values in the Inst cost-sharing fields can be copied and then pasted into the UnAllow fields.
• Click [Save CS Data].

• Click “Completed” box.

Cost Sharing

Who will be responsible for any cost sharing that may occur on the project?

- 8760 - Research Services
  - Set

Who will be responsible for project costs that might not be reimbursable/allowable by the sponsor?

- 8760 - Research Services
  - Set

Does this program/application have any funding Cap/Ceiling?

Yes  No

Does the sponsor expect any financial contribution from your institution?

Yes  No

Personnel Costs

<table>
<thead>
<tr>
<th>Name</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRATONTAKO, STEPHEN</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

Other funding guidelines/restrictions/limitations:
How do I... use 424 budgeting?

The 424 budgeting model is designed for users who have already calculated their budgets in Excel spreadsheets and only want to enter that data directly into Proposal Development (PD). Users who plan to develop their budgets in PD should continue to choose “Budget by Total Project” or “Budget Period by Period”.

Overview

- Data entry only
  - Adds rows and columns
  - Calculates project totals and F&A
  - Does not calculate inflationary increases
  - Does not calculate fringe benefits
  - Does not evaluate for any salary cap
- Modular or detail budgets
- Warns and/or prevents completion of budgets that exceed sponsor limits (e.g., modular budgets)
- CAL, ACAD, and SUMR appointments
- Institutional Base Salary (IBS) may be left blank
  
  **Note:** Some sponsors, e.g., NIH, may permit applicants to not display the institutional base salary when it exceeds a salary cap. Be sure that the sponsor for your proposal allows this.

Some screens and processes are identical in all three budgeting models:

- **Budget Items, F&A, Cost Sharing, Modular Budget**, and **Justification** screens are unchanged.
- Adding existing or TBN staff records are still initially created from an alpha-split list.

Setup Questions

- **Will this proposal be using a Modular budget?** Click “Yes” or “No”.
- In **Budget Setup Information** choose “424 Budgeting” from the drop-down list.
Budget > Budget Periods and Setups

The budgeting type can be changed in Budget Periods and Setups. If budget information has already been entered, be sure to carefully check all Budget Items to ensure that expenses are still correct.

- Choose “424 Budgeting” from the drop-down list.
- Click Save at the top of the screen.

Budget Items

Costs are entered in one of three main sections:
- Personnel Costs
- Non-Personnel Costs
- Subcontractors

If this is a modular budget, the “Modular Budget” section will also be available.
**Personnel Costs**

**Budget Items**

**"Initial" Budget Version**

<table>
<thead>
<tr>
<th>Personnel Costs</th>
<th>Click to add</th>
<th>Effort</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Period 3</th>
<th>Period 4</th>
<th>Period 5</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>FORD, EVELYN</td>
<td>Key</td>
<td>1.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>BENOFF, STUART</td>
<td>Key</td>
<td>10.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

| Total           |             | $0.00  | $0.00   | $0.00   | $0.00   | $0.00   | $0.00   | $0.00 |

- Select [Click to add] to add additional personnel or choose next to an existing name to open a detail screen.
- Verify that the Personnel Type and Role on Project sections are complete and accurate.

**Budget Detail for:** MR. STUART I BENOFF

**Project Responsibilities**

- Enter Base Salary, Months, Salary, and Fringe Benefits values.
  - Fringe Benefits will not calculate - must be entered correctly by user.
  - NIH salary cap also will not be calculated against the true Base Salary.
  - If the number of months is < 0, user must type the leading zero and the decimal point.
  - Remember to calculate inflationary increases.
- Total rows and Grand Total columns will be calculated by PD.
- Click Save at the top of the screen.

Continue adding personnel and then return to Budget Items.
Non-Personnel Costs

- Select [Click to add] to add new items or choose next to an item to open a detail screen.

<table>
<thead>
<tr>
<th>Non-Personnel Costs</th>
<th>Click to add</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open</td>
<td>Budget Category</td>
</tr>
<tr>
<td>Allocation and Renovations</td>
<td>--Enter Item Name Here--</td>
</tr>
<tr>
<td>Total</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Budget Detail for: --Enter Item Name Here--**

<table>
<thead>
<tr>
<th>Description</th>
<th>Sponsor Budget Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laboratory Supplies</td>
<td>Supplies</td>
</tr>
</tbody>
</table>

**Budget Justification**

Please Enter Your Justification Below:

**Costs by "Budget Period"**

<table>
<thead>
<tr>
<th>Period</th>
<th>Start Date</th>
<th>End Date</th>
<th>Cost to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>$</td>
</tr>
<tr>
<td>2</td>
<td>01-Apr-2010</td>
<td>31-Mar-2011</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>01-Apr-2011</td>
<td>31-Mar-2012</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>01-Apr-2012</td>
<td>31-Mar-2013</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>01-Apr-2013</td>
<td>31-Mar-2014</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>01-Apr-2009</td>
<td>31-Mar-2014</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

- Complete Description.
- Select Sponsor Budget Category from list.
  - F&A will be calculated by PD, so remember to choose the correct category.
- Enter Cost to Project for each budget period.
  - Remember to include inflationary increases if you wish.
- Click Save at the top of the screen.

**Costs by "Budget Period"**

<table>
<thead>
<tr>
<th>Period</th>
<th>Start Date</th>
<th>End Date</th>
<th>Cost to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>01-Apr-2009</td>
<td>31-Mar-2010</td>
<td>$</td>
</tr>
<tr>
<td>2</td>
<td>01-Apr-2010</td>
<td>31-Mar-2011</td>
<td>100,000.00</td>
</tr>
<tr>
<td>3</td>
<td>01-Apr-2011</td>
<td>31-Mar-2012</td>
<td>106,090.00</td>
</tr>
<tr>
<td>4</td>
<td>01-Apr-2012</td>
<td>31-Mar-2013</td>
<td>109,373.00</td>
</tr>
<tr>
<td>5</td>
<td>01-Apr-2013</td>
<td>31-Mar-2014</td>
<td>112,552.00</td>
</tr>
<tr>
<td>Total</td>
<td>01-Apr-2009</td>
<td>31-Mar-2014</td>
<td>$330,915.00</td>
</tr>
</tbody>
</table>

Continue adding items and then return to Budget Items.
Subcontractors

• Select [Click to add] to create a new subcontract or choose under Detail Budgeting to open a detail screen.

The Budget Items and Budget Detail screens and data entry for subcontractors are identical to the previous instructions for the primary applicant.

• Complete budget entry for the subcontractor.
• Remember to also complete the F&A.
Modular Budgets

Simplified data entry may be used for modular budgets when the 424 budgeting method is chosen.

- **Personnel Costs**
  - Effort, Personnel Type (e.g., Key, etc.), and Role on Project are the only required information for each Key Personnel or Significant Contributor working on the project.

- **Non-Personnel Costs**
  - Users may enter one line item for the project’s total direct costs.
  - Exclude subcontractor expense, equipment, graduate student tuition and any other item that does not incur F&A expense. These need to be entered separately.

- **Subcontractors**
  - Simplified data entry for Personnel and Non-Personnel Costs may be used as described above.

Completing the Budget

The remaining sections of the budget – **F&A Cost Sharing, Modular Budget** (if not a detailed budget), and **Justifications** – are completed in the same way as the other budgeting methods.

...Print a Copy of My Proposal?

A user can print a copy of their proposal by accessing the proposal through Proposal Development, and selecting the “Finalize” tab from the left-hand navigation menu. Then, select the “Eyeglasses” 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 to his/her computer.

...View a proposal I’ve been working on?

There are a number of ways to view proposals. The first and possibly the easiest way is to log in to PennERA, select “Proposals” from the left-hand navigation menu, type in the Institution number, and select “Go.” This will display the specific proposal in question.

Since an Investigator has access to only their proposals, selecting “Proposals” will display all of his/her proposals. Select the appropriate proposal from the list.

Administrators have access to all proposals in a particular ORG(s). Select “Proposals” from the left-hand navigation menu, and select either “All Status” or “Advanced Search” to search for the desired proposal from a number of options such as Principal Investigator, Institution Number, Sponsor, etc.

...Determine where a proposal is that’s been submitted for internal review?

A user can determine where a proposal is in its defined Routing and Approval path by accessing the proposal through Proposal Development, and selecting the “Finalize” tab from the left-hand navigation menu.

Proposal > icon > Finalize
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 similar to those in Proposal Development (Summary, Aims, etc.) to make them easier to retrieve

Working Collaboratively Across Schools

- Security for Proposals is established by central administrators.
- PIs have access to all proposal on which they are the Primary Investigator
- Business Administrators have access to proposals that are submitted under their ORG numbers
- If working with another School/Center or non-authorized ORG, users can designate authority to others
- From the Navigation Menu select Profile > Delegation > [Add] and select the person you will be working with on the proposal. Determine if they are to have View or Edit access to your proposals.
## Appendix C: Document Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Page Number(s)</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 2006</td>
<td>All</td>
<td>Initial Distribution for Pilot</td>
</tr>
<tr>
<td>February 13, 2007</td>
<td>Many</td>
<td>Revised for Implementation – recommend that entire document be reprinted.</td>
</tr>
<tr>
<td>May 6, 2007</td>
<td>Many</td>
<td>Revised information; added budget information for adding appointments and non-personnel expenses for Budget by Period budgets.</td>
</tr>
<tr>
<td>October 2007</td>
<td>Many</td>
<td></td>
</tr>
<tr>
<td>June 2008</td>
<td>Many</td>
<td>Revised to include screen changes</td>
</tr>
</tbody>
</table>
FAQ

PennERA Proposal Development Frequently Asked Questions (FAQs)

Questions

- Where can I find out how to do things in PD that I’ve forgotten from training and aren’t questions in this FAQ?
- The department (ORG) that is going to manage the grant is different from the PI’s Home Dept and the department showing as the Primary Associated Department, how do you change the Primary Associated Department?
- Many folks work on grants in my department, who should start the proposal and generate the PennERA Proposal ID#?
- My PI can’t remember their PennKey and password, how do they reset their password?
- How can I download and save a copy of the proposal on my PC?
- There is a proposal that needs the Department Chair’s approval but she is on vacation and never granted “designee” authority to anyone in PD? How can this proposal be approved?
- The PI created the proposal and answered the set-up questions. It turns out the wrong Program Announcement/funding opportunity was selected. How can the Program Announcement/funding opportunity be changed to the correct one without losing all my work?
- Where can I find out if a proposal should be created and submitted using PennERA Proposal Development (PD)?

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?
Answer: Go to the PennERA website https://www.pennera.upenn.edu/, click on PennERA Proposals and Awards and then select Proposal Development and Reference Materials. After authenticating with your PennKey and password, the first item listed on the page is the Proposal Development Training Guide.

Q: The department (ORG) that is going to manage the grant is different from the PI’s Home Dept and the department showing as the Primary Associated Department, how do you change the Primary Associated Department?
Answer: Select the Setup Questions tab in the proposal and then in General Proposal Properties section of the screen, click on 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 from the list of values pull-down just under the alphabetic split. When the ORG value you want is highlighted, click the Select button 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. If you want this newly added value to be the Prime Associated Department, click the Prime radio button to the right of the ORG description. Next click the Save icon 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 appropriate or by clicking the Remove icon , the old ORG can be removed from the list of Associated Departments for this proposal.

Q: Many folks work on grants in my department, who should start the proposal and generate the PennERA Proposal ID#?
Answer: 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 is 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.

Q: My PI can’t remember their PennKey and password, how do they reset their password?
Answer: If you do not have a PennKey, or if you have a PennKey but forgot your password, go to the PennKey web site for more information at http://www.upenn.edu/computing/pennkey/. If you have any trouble with the PennKey process, contact your Local Support Provider. For a contact list, go to http://www.upenn.edu/computing/view/support/.

Q: How can I download and save a copy of the proposal on my PC?
Answer: The proposal can be downloaded (or viewed or printed in its entirety) only after all the Tabs on the proposal have been completed and on the Finalize screen, the pdf for each of the Form Pages has been built and the Assemble Application 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.

Q: There is a proposal that needs the Department Chair’s approval but she is on vacation and never granted “designee” authority to anyone in PD? How can this proposal be approved?
Answer: By contacting the central or tier 2 PennERA End User Support group using the web form on the PennERA website (accessed through the Help page at http://project.pennera.upenn.edu/help.asp), the Support icon in the PennERA application or via email (pennerahelp@lists.upenn.edu) and describing the situation and the proposal and Department in question. Module Administrators can then bypass the Department Chair approval step for this proposal, moving it forward in the approval process. Each School/Center will need to decide if, in their view, the proposal should be approved and move on to Research Services and eventual submission prior to obtaining the Department Chair’s approval.

Q: The PI created the proposal and answered the set-up questions. It turns out the wrong Program Announcement/funding opportunity was selected. How can the Program Announcement/funding opportunity be changed to the correct one without losing all my work?
Answer: Select the Setup Questions tab in the proposal and then in the Submission Mechanism/Form Information section, be sure that the correct proposal mechanism appears under Select Mechanism. If not, choose the appropriate proposal mechanism from the Select Mechanism list-of-values pull-down. When the correct proposal mechanism has been selected, click the Get Opportunity Number link just below the mechanism value. This will launch the “Get Opportunity Number” window from which the correct funding opportunity can be chosen by checking the box to the left of the appropriate opportunity listing and clicking the Select button in the upper right of the window.

The Setup Questions screen will refresh with the new Program/Opportunity Number, along with the accompanying submission and validation information throughout the screen.

It would be prudent to review the entire PD proposal for possible impact to each section that changing the Program Announcement/funding opportunity could have to data validations and enforcement of sponsor/mechanism rules.

Q: Where can I find out if a proposal should be created and submitted using PennERA Proposal Development (PD)?
Answer: The up-to-date list of sponsors and mechanisms for which PennERA Proposal Development (PD) can currently be used is always available on the PennERA web site at http://project.pennera.upenn.edu/project/current_phase/PDfundingopps.pdf