# Princeton ERA 10.1 Upgrade Changes

For Departmental Administrators

Last Update: August 25, 2022

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1 Upgrade Timeline
It’s time for our first Princeton ERA Grants and Agreements upgrade! The ERA team tested the upgrade this summer. Princeton ERA will be offline from Fri, July 29, 2022 at 8pm until Mon Aug 1 at 8am, when Princeton ERA Grants and Agreements 10.1 will be online and ready for your use!

2 Screenshots in this manual
All screenshots in this manual are from the Princeton ERA “preview” environment, which is the environment the ERA team used for testing. The preview environment has the green “preview” ribbon across the Princeton ERA logo. There is no green ribbon in the production environment.

3 Grants Improvements and Changes

3.1 Alternate row shading
Any screen that has multiple rows of data, such as your Dashboard or the Grants tab now has alternate row shading, so it’s easier to see the data on each row.

3.2 Dashboard: Pinned lists
The Recently Viewed bar on the left side of your Dashboard has always existed, but now there are two tabs: the Recent tab and the Pinned tab. You can pin your favorite or frequently referenced proposals on this tab, up to 10 proposals. Note that when you are in the Grants module, your Recent and Pinned lists are for FPs, and when you are in the Agreements module, your Recent and Pinned lists are for agreements. (How do you know which module you are in? The URL has the word Grants or Agreements in it, respectively).

- Click on the pin icon in your Recent list to pin an FP to your Pinned list.
• Click on the pin icon in your Pinned list to remove an FP from your Pinned list.
• If you want to pin an FP and it’s not in your Recent list, search for and view the FP, then it will appear on your Recent list so you can pin it.

3.3 New activity: Certify for the Lead PI Assurance

3.3.1 Certify info and process

• There is a new activity called “Certify”
• The Certify activity contains our assurance language
  ○ The Certify activity is only available for the lead PI (or the fellow) listed on the General Proposal Information SmartForm page, question 4 (see screenshot below). For fellowship FPs that are being submitted via s2s, the fellow has to be listed here in order to map as the PD/PI on the Senior/Key person form.
  ○ For the rest of this document, any reference to “lead PI” is referring to the person listed here:

![General Proposal Information SmartForm](image)

• The Lead PI will use the new Certify activity to assure.
• Everyone else who needs to assure, or lead PIs who won’t use Princeton ERA, will use the current AR assurance process.
• How does the Lead PI know they need to assure via the Certify activity?
  ○ Normally the PI receives an AR request
  ○ However, the Certify activity is not an Ancillary Review
  ○ Use the “Send email” activity in the left navigation bar of the FP workspace to ask the lead PI to certify
Then fill in a subject line, add the lead PI as the recipient, include comments, and even attach the [PI certify quick guide](#).

The lead PI will then receive an email that looks like this:

```
1. **Email subject line:**
   Please certify your proposal

2. **Select at least one group of recipients:**
   - All team members
   - All editors
   - All readers
   - Specialist

**Select any other recipient for this email:**

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>E-Mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gilbert</td>
<td>Ramsey</td>
<td><a href="mailto:coeustst@princeton.edu">coeustst@princeton.edu</a></td>
</tr>
</tbody>
</table>

3. **Comments to be included in the email:**

   Hi Gilbert,
   Please certify your proposal.
   Thanks, Stacey

4. **Supporting documents:**

```
- Instructions.pdf (0.01)
```
The advantage of the system generated email is it contains the link to the FP that the PI can click on which takes them directly to their FP. In this case, the comments and attachments also appear in the email.

There is a new “Certified” field on the FP workspace. This displays as no when it is not certified by the lead PI.

The lead PI can click on the Certify activity and a window appears with the assurance language.

The PI can read the assurances, then scroll down and click OK to assure.
• Comments do not need to be entered. No attachments need to be uploaded.

After the lead PI clicks ok, the Certified field on the FP workspace displays as “yes”, and the Certify activity appears on the History tab.
• Side note: If the PI logs on directly to Princeton ERA without using the link in the email, the FP is in the lead PI’s “My Inbox”, but not in the “My Reviews” tab (because it’s not an Ancillary Review).

• The Lead PI can certify during Draft, Dept Review, Specialist Review states.

• Post-upgrade: FP stays in Admin Contact + PI’s Huron Inbox in the Dept Rev + Specialist Rev states until it is certified.

• Pre-upgrade: FP falls out of the Admin Contact + PI’s inbox in those states.
3.3.2 Submit for Dept Review

Previously when the admin contact submitted for department review, this screen appeared:

Post-upgrade, the Submit for Dept Review screen looks like this:

- If the lead PI does not certify before the FP is submitted for dept review, the Admin Contact + lead PI will receive this email:
3.3.3 If the lead PI won’t use Princeton ERA:

- Use the current Ancillary Review process: the dept admin sends an AR to themself and attaches the lead PI’s signed assurance PDF when they submit the AR.
- The “Certified” field will display as “no”.
- Lead PIs who won’t use Princeton ERA and already certified via PDF will get the “PI certification required” email when the FP is submitted for dept review.
- After verifying the lead PI’s PDF assurance was uploaded as an AR, the GCA will execute the “Certify” activity during Specialist Review, which will change “Certify” from no to yes on the workspace.

3.3.4 Other notes

- What happens to all previously submitted proposals?
  - At the time of upgrade, all previously submitted proposals in the Dept Review state or later will display “Certified: Yes” on the FP workspace.
- Sometimes a person is a lead PI on one proposal, and a co-investigator, co-PI, key person on another proposal.
  - It could be potentially confusing for a person to sometimes Certify and sometimes Submit Ancillary Review, but dept admins can help their PIs through this process.

3.3.5 Revised quick guide for Lead PIs

There is a revised quick guide for Lead PIs [here](#).

3.4 New Activity: Send Grants Status Updates

- There is a new activity called “Send Grants Status Updates”
- It’s available for proposals in the “Pending Sponsor Review” state only
- It’s not available in “Pending Sponsor Review Award Anticipated” or any other state
- It’s only available to the admin contact
- **When would you use the Send Grants Status Update activity?**
  - It’s a way to ask your GCA to put the FP into JIT Changes Requested state, since you can’t move an FP to that state yourself.
  - It’s a way to upload your OPAR to request advanced spending
    - It’s not for uploading an OPAR for FP already awarded in PS—those proposals would be way past the Pending Sponsor Review state.
  - It’s a way to notify your GCA about the receipt of the award
  - It’s a way to notify your GCA that the proposal was not funded.
- Click on “Send Grants Status Update”

A window opens. Select an item such as “JIT Info Requested” if you need to make JIT changes (since dept admins can’t move the FP to the JIT state themselves), or select “other” to upload the OPAR
- Fill in the comments with why you are making the request.
- Upload any relevant attachments.
- Click OK.
• The activity is recorded on the History tab.
The system sends email to the Specialist and the admin contact. The comments and attachments are included in the email.
The FP appears in the Specialist’s inbox:

- If the specialist rejects the request, they will execute the “Return to Pending Sponsor Review” activity which will update the FP status to “Pending Sponsor Review” state. The system does not automatically send email.
If the specialist approves the request, they will execute the Funding Anticipated activity and can include comments and attach documents. The system does not automatically send email.
• The FP then changes to the “Pending Sponsor Review Award Anticipated” state.
• The activity, comments, and attachments appear on the History tab.
• The specialist can proceed with their usual steps of assigning the FP to the Award Specialist to setup in PS, or execute the “JIT Changes Requested” activity.

If the FP was rejected by the sponsor, the specialist will update the state to Not Funded.

3.5 New Activity: Manage Access

• The “Manage Guest List” activity is replaced with the “Manage Access” activity.
• Can be executed by the admin contact and FP editors in any state.
The admin contact can be changed, and editors can be added or removed. We generally don’t use the reader functionality.

3.6 Workflow bubbles

This is a bit of “spot the differences”. The “JIT Changes Required” bubble is now “Changes Required” and the “Awarded” bubble is now “Complete”. Also, FPs that are in the Award Notification Received state appear with the “Sponsor Review” bubble pre-upgrade but will appear with the “Compete” bubble post-upgrade.
3.7 Dept Searches

Pre-upgrade, a dept could be found by searching on its name.

Post-upgrade: a dept can be found by searching on its ID or name, and the ID and name will appear in the search results list.

3.8 Add Comment

Pre-upgrade, the comments box was small, but post-upgrade, the comments box is a lot larger.
3.9 Create Additional Budget

Pre-upgrade, there was no budget count field. Post-upgrade, there is a new “budget count” field to indicate how many budgets have already been created.

3.10 Email Changes

- Our email uses the default Huron language for the most part. There are no screenshots of these, but there are some wording updates with emails to remove references to SPO, SPA, and Click.
- There are some formatting changes with Ancillary Review notifications that will be corrected in a post-production patch about a week or so after the upgrade.

3.11 Site search

- Site search is a way to search for terms in FP records (e.g. titles) and attachments.
- Click on the Grants tab to view the Search box.
- Enter a search term and click on the magnifying glass.

- It will return FPs that have that term in their titles or other fields, and also attachments that have that search term. Here it’s returning an attachment called “trees”, which has “pine” as one of the words in the document.
• Always leave the “search for” as “anything”. The word “document” does not actually mean “search only documents”.

• It definitely does not search for files uploaded to the General Submission documents screen on the Submission Information SmartForm.
3.12 Breadcrumbs

Pre-upgrade, clicking on the double chevron opened the breadcrumb trail.

Post-upgrade, the double chevron is gone, and the breadcrumb trail is persistently displayed:

4 SF424 Improvements and Changes

4.1 Post-upgrade fixed issues

- Princeton’s UEI # now map to the forms
- All country codes on the SF424 R&R Cover Page now populate automatically
- Non-NIH submissions that include non-PDF attachments can be submitted now

4.2 New s2s issue

If you answer the R&R Other Project Information form question 6 “Does this project involve activities outside of the United States or partnerships with international collaborators?” in the SF424, and then re-execute the Create-Update SF424 activity with the R&R Other Project Information form selected, the answer will be blanked out and the question will have to be answered again.

4.3 s2s with subs

- s2s submissions with subawards can be submitted via s2s again, however, there is a new warning that can be ignored. This warning will be fixed with the next SF424 upgrade. The proposal can still be submitted via s2s.

This warning (looks very similar!) means the sub form was not included when using the Create-Update SF424 activity. This warning cannot be ignored. Include the file and the warning will resolve.

- Since the warnings look very similar, how do you know which warning to ignore and which warning to pay attention to? If the blue link on the right side is for the subaward, you can ignore the warning, but if it’s for the Budget, you have to resolve this warning.
5 Agreements Improvements and Changes

5.1 Alternate row shading

Any screen that has multiple rows of data, such as your Dashboard or the Agreements tab now has alternate row shading, so it’s easy to see the data on each row.

5.2 Pinned lists

The Recently Viewed bar on the left side of your Dashboard has always existed, but now there are two tabs: The Recent tab and the Pinned tab. You can pin your favorite or frequently referenced agreements on this tab, up to 10 agreements. Note that when you are in the Grants module, your Recent and Pinned lists are for FPs, and when you are in the Agreements module, your Recent and Pinned lists are for agreements. (How do you know which module you are in? The URL has the word Grants or Agreements in it, respectively).
• Click on the pin icon in your Recent list to pin an Agreement to your Pinned list.
• Click on the pin icon in your Pinned list to remove an Agreement from your Pinned list.
• If you want to pin an Agreement and it’s not in your Recent list, search for and view the Agreement, then it will appear on your Recent list so you can pin it.

5.3 Workspace changes

5.3.1 Admin Contact is now Primary Contact in Agreements

5.3.2 Responsible dept is now on the right side instead of the left side
5.3.3 Contracting party is now displayed on the workspace

5.3.4 Supporting Documents are no longer listed on the workspace
5.4 New tab: Documents

- There is a new documents tab that has a row for the parent agreement and each amendment that has attachments.
- If an amendment does not have documents, the amendment will not be listed on the documents tab.
- The final file and the supporting document files are displayed.

5.5 Amendments approved after the upgrade no longer overwrite parent agreement files

- For amendments created and approved after the upgrade: the amendment files no longer overwrite the parent agreement files.
- NOTE: Any amendment approved before the upgrade will still have the amendment files copied over the parent agreement files.

5.6 Amendments tab
The Amendments tab contains the final amendment file post-upgrade.

5.7 Amendment Supporting documents

Pre-upgrade, the amendment supporting documents appeared on the Amendment workspace.
Post-upgrade, the amendment supporting documents appear on the Amendment Information SmartForm, and on the Documents tab of the parent agreement.

5.8 Breadcrumbs

Pre-upgrade, the breadcrumbs (such as to navigate back to the parent agreement) were located in the chevron in the top bar. Clicking on the chevron exposed the breadcrumbs.

Post-upgrade, the breadcrumbs are persistently displayed on the workspace.
5.9 Agreement SmartForm Changes

5.9.1 Agreement Upload

Pre-upgrade, the responsible dept was on the Agreement Upload form.
Post-upgrade, that has been moved to the General Information SmartForm.
5.9.2 General Information

**General Information**

1. **Select an organization:**
   University of Massachusetts Amherst

   If you cannot find the organization in the list above, enter its information here:
   Contracting Party Name:

2. **Contracting party contact name:**
   Mary Merryweather

3. **Contracting party contact e-mail:**
   mary@umass.edu

4. **Contracting party contact phone:**
   800-555-1212

5. **Agreements collaborators:** (institutional staff given read/edit permissions for this Agreement)

<table>
<thead>
<tr>
<th>Name</th>
<th>E-mail</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dorothy Coakley</td>
<td>[eMailAddress]</td>
<td>609/258-3152</td>
</tr>
</tbody>
</table>

Pre-upgrade, the responsible dept was on the Agreement Upload form.

---

**General Information**

1. **Contracting party:**
   University of Massachusetts Amherst

   If you cannot find the organization in the list above, enter its information here:
   Contracting party name:

2. **Contracting party contact name:**
   Mary Merryweather

3. **Contracting party contact e-mail:**
   mary@umass.edu

4. **Contracting party contact phone:**
   800-555-1212

5. **Responsible department/division/institute:**
   SPI-Liechtenstein Inst (LSD)

6. **Agreements collaborators:** (institutional staff given read/edit permissions for this Agreement)

<table>
<thead>
<tr>
<th>Name</th>
<th>E-mail</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dorothy Coakley</td>
<td>[eMailAddress]</td>
<td>609/258-3152</td>
</tr>
</tbody>
</table>

Post-upgrade, the responsible dept has been moved to the General Information SmartForm.
### 5.9.3 Agreement Information/Completion Instructions

#### Agreement Information

1. Is this part of a master agreement?
   - [ ] Yes
   - [ ] No

2. Is this part of a model agreement?
   - [ ] Yes
   - [ ] No

3. Does this project involve taxable use?
   - [ ] Yes
   - [ ] No

4. Will any other sponsored support be used in this project?
   - [ ] Yes
   - [ ] No

5. Will any other third party IP or material be used on this project?
   - [ ] Yes
   - [ ] No

6. Is there student participation associated with this project?
   - [ ] Yes
   - [ ] No

---

Pre-upgrade, the Agreements Information SmartForm existed.

#### Completion Instructions

You have reached the end of the Agreement form. Read the next steps carefully:

1. Click Validate to verify that all required questions in this Agreement form are answered.
2. Correct any errors or omissions and refresh the error report.
3. When no errors are reported, click Finish to exit the form.
4. From the workspace, click Submit to send the Agreement for review.

---

Post-upgrade, the Agreements Information SmartForm no longer exists. There is a new Completion Instructions SmartForm that mimics the Completion Instructions SmartForm in Grants.
5.9.4  DSP SmartForm pages

The DSP (data sharing plan) SmartForm pages will be removed in a post-production patch about a week or so after our upgrade.

5.10 Amendment changes
5.10.1 Create Amendment

Pre-upgrade, clicking the Create Amendment activity started the amendment process.
The “Create Amendment” pop-up window would open. Amendment comments and supporting docs were uploaded here. Then the “Go to Amendment” button had to be clicked in order to...
...finally access the amendment SmartForms.

Post-upgrade, click the “create amendment” activity....
...and the Amendment SmartForms appear, so the process has been streamlined. Post-upgrade, there is a new Amendment Information SmartForm where the amendment files can be uploaded, if any. There is a mandatory Amendment Description box to explain why the amendment is being created.
5.10.2 Amendment Agreement Upload SmartForm

Pre-upgrade, the Agreement Upload SmartForm has boxes for the amendment draft and supporting docs, as well as the responsible dept.
Post-upgrade, the Agreement Upload form is streamlined since the new Amendment Information SmartForm has the boxes for uploading files, and the Responsible Dept question is now on the General Information SmartForm.
5.10.3 Amendment General Information SmartForm

Pre-upgrade, the General Information SmartForm included a box for agreement collaborators.

Post-upgrade, the agreement collaborators are managed in the new Manage Access activity. The responsible dept field is located on the General Information page.
5.10.4 Amendment Agreement Information/Completion Instructions

Pre-upgrade, the Agreement Information SmartForm existed.

Post-upgrade, the Agreement Information SmartForm no longer exists. There is a new Completion Instructions SmartForm similar to Grants.
5.10.5 Amendments started before the upgrade

- Any amendment started before the upgrade but not submitted and approved by the time of the upgrade will have all parent files copied to the amendment.
- The files can be adjusted to reflect files only related to the amendment.
- The amendment description will be blank but is a mandatory field and has to be completed.
Subaward amendment numbering skips numbers 5, 6, and 7 on the Agreement Upload SmartForm. The numbering will be corrected in a post-production patch.
5.11 Notify Ancillary Reviewers

Pre-upgrade, there was an activity called “Notify Ancillary Reviewers” that was only available in the pre-submission state to notify reviewers immediately that they had an ancillary review request. Otherwise, the notification was sent when the agreement is submitted via the Submit activity.

Post-upgrade, that activity no longer exists.
Post-upgrade, there is a new question in Add Ancillary Review asking if the notification should be sent now, and if the answer is yes, the notification will be sent immediately; otherwise it will be sent when the agreement is submitted via the Submit activity.
5.12 New Activity: Manage Access

There is a new post-upgrade activity called Manage Access available to the primary contact, owner, and collaborators. It is available only on the parent agreement. Updates made to access on the parent will automatically apply to the amendments.
5.13 Tab label change

Pre-upgrade, the first tab was labeled as Correspondence.

Post-upgrade, the first tab is relabeled as the Communication tab.

5.14 Site Search

- Site search is a way to search for terms in Agreements records (e.g. titles) and attachments.
- Click on the Agreements tab.
- Enter search terms in the search box and click on the magnifying glass or press enter.

A list of agreements with the term somewhere in the name of the agreement or attachments uploaded to the agreement will appear.
In this example, I searched for the word “pine” which was in a document called “trees”.

Always search on “anything” even if you are looking for a word in an attachment or document. “Documents” in this case does not mean documents or attachments.

6 Questions?

Contact erasupport@princeton.edu and we’ll assist!