# Princeton ERA: Lead PI and Senior/Key Personnel Proposal Review + Assurances Detailed Guide

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1 Welcome to Princeton ERA Proposals

Princeton ERA is Princeton's system for:

- Developing and tracking proposals in the Grants module
- Tracking funded and non-funded research agreements in the Agreements module
- Tracking negotiation of subaward initiations + modifications, also in the Agreements module
- Tracking Responsible Conduct in Research (RCR)

As a lead PI or senior/key personnel, learn the following in this guide:

- Basic Princeton ERA Funding Proposal terminology
- How to review the Funding Proposal smartforms, including the Compliance Review page
- How to review the budget
- How to review cost sharing information
- How to review attachments
- How to review the SF424 if the proposal will be submitted via s2s (system-to-system)
- How to sign the Assurance

1.1 Basic Terminology

<table>
<thead>
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<th>Term</th>
<th>Definition</th>
</tr>
</thead>
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<tr>
<td>“Funding Proposal” or “FP”</td>
<td>Sponsored research proposal in Princeton ERA.</td>
</tr>
<tr>
<td>Admin Contact</td>
<td>The main department administrator responsible for developing and submitting the proposal.</td>
</tr>
<tr>
<td>Editor</td>
<td>Department administrators who can edit the funding proposal.</td>
</tr>
<tr>
<td>Workspace</td>
<td>The term for the funding proposal screen with basic demographic information about the proposal, including the proposal’s state (AKA status), workflow bubbles, the attachments tab, and Financials tab. If this proposal is being submitted via s2s, there is a link to navigate to the SF424 workspace. Here, the term “workspace” has nothing to do with the Grants.gov workspace.</td>
</tr>
<tr>
<td>Activity</td>
<td>A link in the left navigation bar that allows you to take an action for a proposal.</td>
</tr>
<tr>
<td>PI Assurances</td>
<td>Previously known as the PI certification, the assurances are statements that must be signed by all PIs, co-PIs, co-investigators, senior/key personnel, and, for fellowships, by the mentor (faculty member) and mentee (fellow) for each proposal.</td>
</tr>
<tr>
<td>Certify</td>
<td>Certify is an activity available only to the lead PI or fellow (specifically the person listed on the General Proposal Information SmartForm Q4) and is the electronic method for the lead PI or fellow to complete their assurances. All senior/key personnel who are not the lead PI or fellow must complete their assurances via the Assurance Ancillary Review process.</td>
</tr>
<tr>
<td>Ancillary Review (AR)</td>
<td>A method of submitting a review request outside of the departmental review routing and workflow process. This is a manual process, not an automated one,</td>
</tr>
</tbody>
</table>
and can be kicked off by the departmental administrator for many reasons including F&A waivers, cost share approval, and assurances. Assurances for all Senior/Key Personnel are completed via AR except for the lead PI or fellow, who completes assurances using the Certify activity.

**Dashboard**
The home screen when you log onto Princeton ERA using the link on the Princeton ERA home page. This screen contains “My Inbox” and “My Reviews” tabs, and a “Recently Viewed Items” bar.

**My Inbox**
- A tab on the Dashboard with a list of your “to-do” items.
- In this tab, lead PIs will see all of their proposals that are in editable states, as well as proposals that are waiting for the Certify activity to be completed by them, regardless of proposal state.
- Senior/Key Personnel will only see proposals waiting for an Ancillary Review to be completed by them, regardless of proposal state.

**My Reviews**
A tab on the Dashboard with all proposals requiring you to respond to an ancillary review.

**SmartForm**
- An online form that is completed for each proposal and budget, generally by the proposal developer. Lead PIs will complete the Compliance Review SmartForm directly in the system. If the proposal is being submitted with senior/key personnel such as co-PIs, co-Investigators, or fellows, the grants manager of the submitting department will collect answers to these questions from all participants and will have completed this page. The Lead PI can review the Compliance Review page answers in the system and work with the submitting department’s grants manager to resolve any questions.
- The SmartForm contains a series of questions with demographic and budgetary information for the submission. They are called “smart” forms because they hide/show different questions based on how prior questions are answered.

## 2 Requests to Assure the Funding Proposal (FP)

The Lead PI and all Senior/Key Personnel must sign the Assurance statement. The lead PI or fellow (the person listed on the General Proposal Information SmartForm Q4) completes their assurance via the Certify activity; all other senior/key personnel complete their assurance using the Ancillary Review process.

### 2.1 Certify for lead PI
- You might receive an email from erasupport@princeton.edu asking you to certify; the subject line and body of the email could be anything but the email will include a link to the Funding Proposal (FP). Click on that link.
• If you are notified in another way, such as your grants manager emailing you or telling you directly to certify in Princeton ERA, skip to section 3.1.

2.2 Assurances Ancillary Review Notification for senior/key personnel

Ancillary review requests are manually added by a proposal editor such as the grants manager.

• You’ll receive an email from erasupport@princeton.edu, not the person who added the ancillary review request.
• The subject line is “Notification of Ancillary Review.”
• The “Review Type” is listed in the body of the email as “Assurances”.
• “Required” is “yes”.

A Funding Proposal has been assigned to you for ancillary review. Click the link above to access and review the submission.

- Review Type: Assurances
- Comments: Prof. Willis, Please complete your Assurance. Thanks, Stacey.
- Required: yes
3 Access + Review the Proposal

3.1 Access the Proposal

- Click on the link in the email to log on to the system. If you were not already logged on to other Princeton systems in this browser, enter your Princeton NETID and your Princeton password, press login, and accept the DUO request on your phone. The Funding Proposal workspace appears.
- Alternatively, access Princeton ERA through this link. After logging on, the Dashboard is displayed.
  - **Lead PI**: FPs that need to be certified, as well as any FP in an editable state, will be on the “My Inbox” tab but not on the “My Reviews” tab. Click on the name of the proposal. The Funding Proposal workspace appears.
  - **Senior/key personnel**: Ancillary review requests for the proposal will be on both of your “My Inbox” and “My Reviews” tabs. Click on the “Name” of the proposal, which is the short title for the proposal. The Funding Proposal workspace appears.

3.2 Review the Funding Proposal SmartForms

3.2.1 Access the Funding Proposal SmartForms

- You are now on the Funding Proposal Workspace.
- Review the Funding Proposal SmartForms by clicking on the “Funding Proposal” button in the left navigation bar.
  - For the Lead PI, the button will be labeled “Edit Funding Proposal”; the SmartForms pages will be editable.
  - For Senior/Key Personnel, the button will be labeled “View Funding Proposal”; the SmartForms pages will be read-only.
The Funding Proposal SmartForm pages then open.

- Lead PIs can view each SmartForm page by clicking on the SmartForm name in the left navigation bar or by clicking "Continue" at the bottom of each page. The pages are editable.
- For Senior/Key Personnel, each SmartForm page is presented as one giant scrollable screen, screen after screen. The pages are read-only.
3.2.2 Personnel SmartForm

- This page is for proposal personnel.
- **Question 3a, Institutional Project Personnel**
  - Princeton Personnel on the project should be listed here.
  - All key persons must be listed per the RFP requirements.
  - Additional institutional personnel may also be listed if known, however it is not required to list additional personnel that are not named in the proposal (e.g. graduate students who may not be determined yet).
- **Question 3b, Non-Institutional Project Personnel**
  - This field is intended for non-Princeton project personnel.
  - Leads and co-leads from the subrecipient should be listed here.
  - If you anticipate working directly with any non-US persons not currently employed by a US institution in the course of this proposed research (e.g., by exchanging information, equipment, or materials), they should be listed here.
- If personnel are missing from questions 3a and/or 3b, please provide the list to the submitting department’s grants manager.
3.2.3 Compliance Review SmartForm

- All questions on the Compliance Review page are required.
  - Lead PIs submitting without Senior/Key Personnel should complete the questions. As questions are completed, additional required follow-up questions may appear.
  - If this proposal is being submitted with Senior/Key Personnel such as co-PIs, co-Investigators, or fellows, the submitting department’s grants manager will have collected answers to these questions from all participants and will have completed this page. Please contact the submitting department’s grants manager to resolve any questions.
- Senior/Key Personnel have a read-only view of the page. The submitting department’s grants manager will collect your answers to the compliance review questions to compile the full team’s response. Contact the submitting department’s grants manager with any questions.
- If the answer to compliance question 5 is “yes”, please provide this list to the submitting department’s grants manager.

- Lead PIs can press the Continue button in the lower right corner. If a question was skipped, an error message appears at the top. Click on the “Go to First Error” link which will take you to the question that needs to be answered. You may need to scroll up slightly to see the full question.

3.2.4 Exit the Funding Proposal SmartForms.

After reviewing each Funding Proposal SmartForm, click on the Exit button in the lower right corner to return to the Funding Proposal Workspace.
3.3 Review the Budget Summary

3.3.1 Financials Tab

- While you can see a list of all budgets (including draft budgets) on the Budgets tab, the Financials tab on the funding proposals workspace contains a summary all consolidated budgets that are being submitted to the sponsor (where “In Financials = yes”; any budgets were “In Financials = no” are draft budgets and are not being submitted).
  - For example, if there are multiple budgets due to on and off campus rates and/or fabricated equipment, or there are two faculty members on this proposal and each faculty member wants to see their budget separately, the Financials tab sums those budgets together. Note that the Financials tab does not include cost sharing.

<table>
<thead>
<tr>
<th>Budgets</th>
<th>SF424 Summary</th>
<th>History</th>
<th>Reviewers</th>
<th>Attachments</th>
<th>Financials</th>
<th>...</th>
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</thead>
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<tr>
<td>Current All-Period Totals</td>
<td>Period 1</td>
<td>Period 2</td>
<td>Period 3</td>
<td>Period 4</td>
<td>Period 5</td>
<td>Cumulative</td>
</tr>
<tr>
<td><strong>Personnel:</strong></td>
<td>$134,026</td>
<td>$136,751</td>
<td>$139,317</td>
<td>$141,976</td>
<td>$144,732</td>
<td>$896,802</td>
</tr>
<tr>
<td>Salaries:</td>
<td>$119,120</td>
<td>$121,596</td>
<td>$124,162</td>
<td>$126,821</td>
<td>$129,577</td>
<td>$621,276</td>
</tr>
<tr>
<td>Benefits:</td>
<td>$14,906</td>
<td>$15,155</td>
<td>$15,155</td>
<td>$15,155</td>
<td>$15,155</td>
<td>$75,526</td>
</tr>
<tr>
<td><strong>General:</strong></td>
<td>$244,630</td>
<td>$183,015</td>
<td>$186,538</td>
<td>$190,197</td>
<td>$194,005</td>
<td>$998,383</td>
</tr>
<tr>
<td>Assistantship AI/AR Tuition</td>
<td>$57,630</td>
<td>$59,935</td>
<td>$62,333</td>
<td>$64,826</td>
<td>$67,419</td>
<td>$312,143</td>
</tr>
<tr>
<td>Equipment</td>
<td>$75,000</td>
<td>50</td>
<td>0</td>
<td>0</td>
<td>50</td>
<td>75,000</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>$95,000</td>
<td>$105,400</td>
<td>$105,816</td>
<td>$106,249</td>
<td>$106,699</td>
<td>$519,164</td>
</tr>
<tr>
<td>Travel: Domestic</td>
<td>$10,000</td>
<td>$10,400</td>
<td>$10,816</td>
<td>$11,248</td>
<td>$11,698</td>
<td>$54,162</td>
</tr>
<tr>
<td>Utilities</td>
<td>$7,000</td>
<td>$7,280</td>
<td>$7,571</td>
<td>$7,874</td>
<td>$8,189</td>
<td>$37,914</td>
</tr>
<tr>
<td>Subaward(s):</td>
<td>$41,325</td>
<td>$36,675</td>
<td>$38,025</td>
<td>$36,375</td>
<td>$34,725</td>
<td>$187,125</td>
</tr>
<tr>
<td>Total Direct less Subaward F&amp;A:</td>
<td>$406,206</td>
<td>$344,216</td>
<td>$351,203</td>
<td>$356,423</td>
<td>$361,887</td>
<td>$1,819,935</td>
</tr>
<tr>
<td>Total Direct:</td>
<td>$419,981</td>
<td>$356,441</td>
<td>$363,878</td>
<td>$368,548</td>
<td>$373,462</td>
<td>$1,882,310</td>
</tr>
<tr>
<td>Total F&amp;A:</td>
<td>$163,696</td>
<td>$156,582</td>
<td>$168,688</td>
<td>$160,874</td>
<td>$163,140</td>
<td>$802,980</td>
</tr>
<tr>
<td>Project Total:</td>
<td>$583,677</td>
<td>$513,023</td>
<td>$522,666</td>
<td>$529,422</td>
<td>$536,602</td>
<td>$2,685,290</td>
</tr>
</tbody>
</table>
3.3.2 View Cost Share Commitments

To see if this proposal contains cost sharing, click on the “Create-Update Cost Share Commitment” activity in the left navigation bar.

The “Create-Update Cost Share Commitment” window appears.

If there is no cost share, this screen will be blank. If there is cost share, the cost share commitment will display on this screen. Review the window and click on OK.
3.3.3 Generate Budget PDF Activity

Generate a PDF of the budget to see a full picture of all budgets where “In Financials = yes”, including cost share budgets. A budget summary and each individual budget will be included.

Click on the Generate Budget PDF activity in the left navigation bar.

The “Generate Budget PDF” pop up window appears.

Click on OK. The system will “think” for a few seconds, then the window will automatically close.

Then click on the History tab and click on the PDF to view it the PDF in a separate tab in your browser window.

The PDF displays the following, each on its own separate page:

- The sum of all individual budgets where “include in financials = yes” (such as summing On and Off campus budgets or fabricated equipment budgets, or summing the budgets for two faculty members).
- The sum of all cost sharing budgets
Then each individual budget with its associated cost sharing budget (if any) is displayed.

### 3.4 View Additional Budget Detail

#### 3.4.1 Budget SmartForms

If you need to view additional budget detail, such as separate budget detail for faculty and graduate students:

- From the Funding Proposal workspace, scroll down to the Budget tab and click on the name of the budget you want to view. Only budgets that are marked as “In Financials” as “yes” are included in the overall cost.
  - Budget names default to the name of the sponsor but may be changed by the grants manager to be more descriptive (e.g. “On Campus”, “Off Campus”, “Fabricated Equipment”, or the names of faculty members.

- The budget workspace opens. While you can click on the Budget button in the left navigation bar (labeled “Edit Budget” for the Lead PI and “View Budget” for Senior/Key Personnel), the easiest way to view the budget screen is by clicking on the “Printer Version” button.

- The budget detail opens in a new tab in a browser window.
Then close this tab or click back to the tab with the Budget Workspace.

To return to the Funding Proposal Workspace, click on the name of the proposal next to the “Funding Proposal” label. From the FP Workspace, you can access budget workspaces for any additional budgets.
### 3.4.2 Subaward Budget SmartForms

- To view subaward detail:
  - From the Budget Workspace, click on the Subaward tab.
  - Click on the name of the subaward you want to view. In this example, there is only one subaward associated with this budget.

#### Willis Budget

- **Sponsor:** NIH - National Institutes of Health
- **PI:** Eli Willis (testp2)
- **Funding Proposal:** Demo Proposal
- **Grand Total:** $1,832,469
- **Budget Type:** Federal
- **Subaward Count:** 1

#### Subaward Budget Workspace

- **ID:** BU00002537
- **Name:** University of Pittsburgh
- **Date Created:** 4/27/2021
- **Date Modified:** 4/27/2021
- **State:** Draft
- **Include in Totals:** yes
- **Total:** $187,125

- The Subaward Budget Workspace displays.
- While you can click on the Budget button in the left navigation bar (labeled “Edit Budget” for the Lead PI and “View Budget” for Senior/Key Personnel), the easiest way to view the Subaward Budget screens is by clicking on the “Printer Version” button in the left navigation bar.

#### University of Pittsburgh

- **Organization:** University of Pittsburgh
- **Budget Detail Level:** SF-424 Subaward Import
- **Funding Proposal:** Demo Proposal
- **Parent Budget:** Willis Budget

#### Subaward Budget Details

- **Current All-Period Totals**
  - Total Direct: $27,550, $24,450, $25,350, $24,250, $23,150, $124,750
  - Total Indirect: $13,775, $12,225, $12,675, $12,125, $11,575, $62,375
  - Project Total: $41,325, $36,785, $30,025, $34,735, $34,735, $187,125

- The subaward budget detail opens in a new tab in a browser window.
Subaward Budget Information

1. *Title:*
   University of Pittsburgh

2. *Organization:*
   University of Pittsburgh

3. *Principal Investigator:*
   Eli Willis (testpi2)

4. *Subawardee PI:*

   - Use the scrollbar to scroll through the Subaward Budget information.
   - Then close this tab or click back to the tab with the Subaward Budget Workspace.

### 3.4.3 Cost Share Budget SmartForms

- Navigate to the Funding Proposal Workspace and scroll down to the Budgets tab.
- If a proposal has a cost sharing budget(s), one or more of the budget names on the Budgets tab will include the words “cost sharing”.
- The “In Financials” column will always display as “no” for cost share, and the cost share amounts will not be included in the Financials tab.
- Click on the name of the cost share budget.
The Cost Share Budget Workspace is displayed.
While you can click on the Budget button in the left navigation bar (labeled “Edit Budget” for the Lead PI and “View Budget” for Senior/Key Personnel), the easiest way to view the Cost Share Budget screens is by clicking on the “Printer Version” button in the left navigation bar.

The cost share budget detail opens in a new tab in a browser window.
- Use the scrollbar to scroll through the Cost Share Budget information.
- Then close this tab or click back to the tab with the Cost Share Workspace.

- If there are additional cost share budgets, click on the link next to the “Funding Proposal” label to return to the FP workspace, then repeat the steps above for each cost share budget.
- If you want to return to the Budget Workspace, click on the link next to the “Parent Budget” label to return to the budget workspace, and repeat the steps above.
- When you are done reviewing the cost share budget, click on the link next to the “Funding Proposal” label to return to the FP workspace.

3.5 Review the Attachments Tab

From the FP Workspace, click on the Attachments tab to see links to all attachments uploaded to the FP SmartForms pages and to the activities.

- “Type” is the where the attachment was uploaded in the proposal.
- The blue words in the “Name” column on each row are clickable links. For most cases, the “Name” is the name of the file that the grants manager uploaded. Click on a link to view the attachment in a tab in your browser window.
3.6 Review the SF424 for S2S Applications

Proposals that will be submitted to federal sponsors via S2S (system-to-system functionality, directly from the Princeton ERA system to the federal sponsor) will have a SF424 link on the funding proposal workspace.

- Click on the SF424 link.

- You are now on the SF424 workspace, which is marked as “SF424” in the upper right corner.
- Click on the View link to view the PDF of the SF424 submission in a tab in your browser window.

- To return to the SF424 workspace, close the browser tab that displays the PDF, or click on the browser tab with the funding proposal. To navigate back to the funding proposal workspace, click on the FP link next to the “Parent Project” label.
If you have questions for the grants manager, use the Send Email functionality to email them through the system to let them know about your concerns. Click on the send email activity in the left navigation bar.

- Fill out the “Send Email” popup window.
  - Enter a subject line.
  - Type the grant manager’s name in the “Select any other recipients for this email” box and select their name.
  - Type your comment in the Comments box. Comments entered here will appear in the email message and on the History tab.
  - You can also upload attachments via the drag and drop functionality.
  - Click OK to send the email.
• The comments in the send email activity will appear on the History tab, and attachments will appear on the Attachments tab.

5 Submit Assurances

5.1 Certify activity Lead PI or fellow

• When you are ready to certify your assurances, click on the “Certify” activity in the left navigation bar.

• Read the assurance statement.

• The comments and attachment boxes can be left blank. Scroll down and click on OK.
The assurance is now completed by the lead PI. The certified field on the FP workspace now displays “yes”.

5.2 Ancillary Review for all other senior/key personnel
- For Senior/Key Personnel: When you are ready to submit your Ancillary Review for Assurances, click on the “Submit Ancillary Review” activity in the left navigation bar.

- The Submit Ancillary Review window opens.
  - For questions 2 and 3, choose “Yes” as completed and accepted.
  - For boxes 4 and 5, you do not need to add comments nor upload attachments.
1. **Select the Review you are submitting:**

<table>
<thead>
<tr>
<th>Organization</th>
<th>Person</th>
<th>Review Type</th>
<th>Required</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Eli Willis (stotpi2)</td>
<td>Assurances</td>
<td>yes</td>
</tr>
</tbody>
</table>

2. **Do you accept this submission?**
   - Yes
   - No

3. **Is the ancillary review complete?**
   - Yes
   - No

4. **Comments:**

5. **Supporting documents:**

   - There are no items to display

- Read the Assurance statement in box 6.

6. **Assurance Statement:**

   I certify to the best of my knowledge:

   - The Ancillary Review will display the bulleted assurance items.

   - If you agree, select the "I agree to the above Assurance Statement" radio button.

   - I agree to the above Assurance Statement
     - The signed Assurance Statement is uploaded as a Supporting Document to this Ancillary Review

- Click OK in the lower right corner.
The assurances ancillary review is now submitted.

5.3 What happens after Certifying or submitting the Ancillary Review?

The assurance is complete.

- For senior/key personnel who are not the Lead PI, the proposal will no longer appear in your “My Inbox” and “My Reviews” tabs.
- The proposal will continue to appear on the “My Inbox” tab for Lead PI while the proposal is in an editable state.