Princeton ERA:
Funding Proposals

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1 Proposal Development Introduction

This document will outline the business process and instructions for department administrators to create a new proposal in Princeton ERA. This section introduces the basic business process, and variations in the process such as a multi-prong approach or system-to-system submission.

1.1 Proposal Development – General Business Process

Proposals will be developed in Princeton ERA by department administrators (such as business managers, grant/financial managers, department managers, faculty assistants) within the Grants module. The proposals will be developed then routed for department approval and ORPA review prior to submission to the sponsor. Updates requested from the sponsor will be recorded in Princeton ERA, and if an award is funded it will be setup in PeopleSoft.

The proposal development process for all proposals is similar, but there are a few elements to consider before getting started.

1.1.1 Are you submitting system-to-system?

Proposals can be submitted outside of Princeton ERA (directly to the sponsor) or by using system-to-system (S2S) submission. Initially, Princeton will use S2S submission for NIH proposals (except Ts, Ps, and Us). S2S submission may be expanded to incorporate additional grants.gov sponsors in the future.

For S2S submissions, department administrators will create a funding proposal using the steps described below and will also create a SF424 for submission. For more details on the S2S process, refer to the S2S NIH manual.

1.1.2 Are you using a Multi-Prong Approach?

Princeton ERA allows department administrators to submit a proposal for review using a “multi-prong” approach or “non-multi-prong” approach.

The non-multi-prong approach simply means that the proposal is ready for complete review by the department and ORPA GCA when the department administrator submits it for review. All final administrative and final scientific components have been uploaded to the funding proposal and/or the SF-424.

The “multi-prong approach”, as recommended by the Task Force on Administrative Workload in Research, gives department administrators the option to submit a proposal and kick-off the internal review process even though the final scientific or research elements may not be finalized. The department administrator will upload all final administrative information to the funding proposal record, and include a comment saying the final science will be uploaded when complete, then submit the proposal for department review. The department approver and GCA can then begin reviewing the administrative components.

When submitting with the multi-prong approach, administrative aspects such as the Budget Justification, Current & Pending, and Abstracts should be finalized, and the RFP should be uploaded. However, research elements such as the Scope of Work, Narrative, Research Strategy, or Project Description may still be in progress.

When the final research elements are complete, the department administrator will upload the documents to the funding proposal or SF424 and alert their GCA it is now ready for full review. As a best practice, administrative components should be submitted at least 5 business days prior to the submission deadline. For a careful review of the scientific components, they should be finalized 2 business days prior to the submission deadline.
1.2 Business Process Map
See the detailed business process map below which shows the proposal development steps and the following approval workflow.
2 Proposal Development Instructions

Follow the below step-by-step instructions to create a new proposal and submit it for review. These instructions outline the process of creating a funding proposal, completing the funding proposal SmartForm, completing the funding proposal workspace activities, and submitting to the department.

This section shows how to use Princeton ERA to start a new proposal or a white/paper/letter of intent/pre-proposal. It also shows you how to start a supplement or DOE renewal to proposals that were originally submitted in Coeus.

If you need to start a revision (supplement), renewal, or an NIH resubmission for proposals that were originally submitted in Princeton ERA, please refer to the Revisions, Renewals and Resubmissions section of this manual.

2.1 Create Funding Proposal

Log-in to Princeton ERA from the ORPA home page.

From the dashboard, select Create > Grants > Create Funding Proposal.

Or alternatively, select the Grants Tab and click Create Funding Proposal.
Using either path, the SmartForm for a new funding proposal will open.

2.2 Complete the Funding Proposal SmartForm
Creating a new proposal will open the Funding Proposal SmartForm.

Complete each question on the SmartForm with your proposal information. Clicking the blue question mark icon will open a Help Text bubble that provides additional guidance for that field.

2.2.1 General Proposal Information – SmartForm

1. **Type of application:**
   - **New**
     - **a. Is this award being transferred from another institution?**
       - Yes  No  Clear

1. **Type:** The proposal type defaults based on how the proposal is created.
   - *When creating a new proposal, a pre-proposal/white paper/letter of intent, or a supplement or renewal to a proposal originally funded in Coeus, the type will always be New.*
   - *For more details on other proposal types, refer to the Revisions, Renewals and Resubmissions section.*
   - **a. Transferred:** Defaults to No, change to yes if applicable

2. **Short title of proposal:**
   - Short Title Example

3. **Long title of proposal:**
   - Long Title Example
2. Short Title: Enter a descriptive name for the proposal (50 character maximum). The short title identifies the proposal throughout the system, such as in the Inbox and Workspace. If this will be an S2S application, this will also be the application filing name.

3. Long Title: Enter the full title of the project (255 character maximum). If this will be an S2S application, the long title will be mapped to the appropriate places in the SF424 forms. This will also become the PeopleSoft title if awarded.

4. * Program director / Principal investigator / Project lead / Fellow:

   Martha Gibbs (testpi9) ...

4. Principal Investigator: Enter the PI’s name. The PI will default as the person creating the proposal. Click the “x” next to the name, and then begin typing the PI’s name in the box or click the ellipsis to search from a list of all users.
   - If this is a fellowship, the fellow should be listed in this field. The mentor will be added on the Personnel SmartForm page.
   
   Note: If your PI is not at Princeton yet, a Department Computer User (or DCU) account should be requested. Once this is setup, the person will be able to be selected as the PI.

5. Select the direct sponsor: 

   a. If the direct sponsor is not listed, type their name here:

   b. If this will be a flow-through, select prime sponsor:

5. Direct Sponsor: Enter the sponsor’s name or search for key words using the wild card (“%”). The Direct Sponsor is the organization that is directly funding the project. If this is an internal competition for external, previously awarded sponsored research funding, select the Trustees of Princeton as the direct sponsor.
   a. Sponsor Name: Only use this field if the Direct Sponsor for this proposal is not available in Princeton ERA. You will enter “TBD” in Select the direct sponsor and type the sponsor name into field 5a.
      - If you add a sponsor this way, please email erasupport@princeton.edu to request that the sponsor be added. Include the sponsor name, type, address, phone/email info.
      - You can continue working on your proposal. If your budget deviates from the standard 62% FA rate, wait until the actual sponsor has been added before creating the budget. Changing from the “TBD” sponsor to the actual sponsor will cause the budget FA rate to default back to 62%.
      - After the ERA team informs you that the sponsor has been added, return to this page, change “TBD” in box 5 to the name of the sponsor and remove the name of the sponsor from box 5a. This should be updated prior to submitting for review.
b. **Prime Sponsor:** Enter the prime sponsor (the original funding sponsor) if this award is a flow-through. For example, this field should be entered for a proposal when NSF grants funding to Harvard and Harvard subcontracts to Princeton. Harvard would be the direct sponsor and NSF would be the Prime Sponsor.

6. **Instrument Type:**
   - Grant
   - Contract
   - Cooperative Agreement
   - Clear

7. **Primary Purpose of this Project:**
   - Conference/Workshop/Travel
   - Equipment
   - Fellowship
   - Instruction/Curriculum
   - Organized Research
   - Other Inst'l & Sponsored Activity
   - Training Grant
   - Clear

6. **Instrument Type:** Select the instrument type.
7. **Primary Purpose:** Select the primary purpose. If Organized Research is selected, an additional question will appear where you will need to select Basic or Other.

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conference/Workshop/Travel</td>
<td>Conference/Workshop/Travel</td>
</tr>
<tr>
<td>Equipment</td>
<td>Equipment</td>
</tr>
<tr>
<td>Fellowship</td>
<td>Fellowship</td>
</tr>
<tr>
<td>Instruction/Curriculum</td>
<td>Example is NJ STEP program involving training prisoners.</td>
</tr>
<tr>
<td>Organized Research</td>
<td>Research</td>
</tr>
<tr>
<td>Other Inst'l &amp; Sponsored Activity</td>
<td>Other activity that does not fall into the above categories. Example is Programming for the Art Museum</td>
</tr>
<tr>
<td>Training Grant</td>
<td>Training grants such as NIH T32s and NSF RGTs.</td>
</tr>
</tbody>
</table>
8. **Start Date:** Enter expected start date or select from the calendar

9. **Pre-Proposal/White Paper/Letter of Intent:** Defaults to No. Update to yes is proposal is any of these types.

   **What is a Pre-Proposal/White Paper/Letter of Intent?**
   - This is a condensed version of a proposal which the sponsor uses to determine if the PI should submit a full proposal.
   - This type must be entered in Princeton ERA if it requires ORPA approval.
   - This proposal type might not have a budget. If so, the budget will be left at $0.
   - The pre-proposal will have its own FP number. If the sponsor invites the PI to submit a full proposal, a new FP should be created.

10. **Supplement/DOE Renewal from Coeus:** Defaults to No. Select yes if you are creating a supplement proposal or a DOE renewal proposal for a proposal that was funded in Coeus (so it does not have a record in Princeton ERA). If you answer yes, answer 10a and 10b.

    If the original proposal was funded in Princeton ERA, please go to that record and create a renewal or revision off of that awarded proposal instead of answering question 10 as yes.

   a. **Supplement or DOE Renewal?**
   - Supplement to a Funded Coeus Proposal
   - DOE Renewal to a Funded Coeus Proposal

   b. **PeopleSoft Award ID:** Enter the associated PS Award ID. Must be a 10-digit value.
Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

### 2.2.2 Personnel – SmartForm

#### 1. Principal Investigator:
- **Defaults from the PI entered on General Submission Information.**
  - **Mentor:** Enter the mentor (faculty member) if this is a fellowship. Note that the mentor will be considered the PI on the PeopleSoft award.
  - **Biosketch:** Upload as required by the RFP.
  - **Other Support:** Upload Current & Pending as required by the RFP.

#### 2. Responsible department/division/institute:
- Enter the responsible/submitting department.
  - *This field may begin blank or default to the PI’s home department. It will only default to the PI’s home department if the department is setup with departmental proposal approvers in Princeton ERA.*
  - *If you receive an error saying this department does not have reviewers, please confirm you are submitting through the correct department and then reach out to erasupport@princeton.edu if this department should be setup for submission.*

#### 3. Project personnel:
- **Add other institutional key, non-key or other significant contributor personnel:**

  ![Personnel](image)

  - **Last Name**
  - **First Name**
  - **Key**
  - **Role**

  There are no items to display.

#### 3. 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). Note that personnel added here will be available for selection when developing the proposal budget.
- Click the Add button to add personnel.
Enter the person’s information in the slide-in window.

Add FP_AdditionalPersonnel

Add Institutional Proposal Staff

1. *Staff member:
   Rita Hamilton (testpi5) ...

2. *Project role:
   Co-PD/PI

3. Attach a biographical sketch:
   [None]  Upload

4. Attach current and pending support documentation:
   [None]  Upload

5. *This individual is a:
   - Senior / key person on the proposal
   - Other significant contributor on the proposal
   - Other personnel
   Clear

1. **Staff Member:** Search and select personnel.
2. **Project Role:** Select project role based on the Project Role chart below.

<table>
<thead>
<tr>
<th>Project Role</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co-Investigator</td>
<td>Use for co-investigators on NIH or NASA proposals, as appropriate.</td>
</tr>
<tr>
<td>Consultant</td>
<td>Do not use.</td>
</tr>
<tr>
<td>Co-PD/PI</td>
<td>Use for Co-PIs.</td>
</tr>
<tr>
<td>Faculty</td>
<td>Use if appropriate. May be used for contributor that is not being named in another Project Role.</td>
</tr>
<tr>
<td>Graduate Student</td>
<td>Use only if the graduate student is named on the proposal.</td>
</tr>
<tr>
<td>Other Professional</td>
<td>Use as appropriate. May be used for professional specialist or other contributors that do not fit into another Project Role.</td>
</tr>
<tr>
<td>Post Doctoral</td>
<td>Use general Post Doctoral role for all post docs.</td>
</tr>
<tr>
<td>Post Doctoral Associate</td>
<td>Do not use.</td>
</tr>
<tr>
<td>Post Doctoral Scholar</td>
<td>Do not use.</td>
</tr>
<tr>
<td>Technician</td>
<td>Use for technicians.</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>Use only if the undergraduate student is named on proposal.</td>
</tr>
<tr>
<td>Secretarial/Clerical</td>
<td>Use for administrative personnel.</td>
</tr>
<tr>
<td>PD/PI</td>
<td>Use for multi-PI awards, such as for NIH where Co-PI designation is not used. Should be used for all other PI’s not listed on Personnel question 1.</td>
</tr>
<tr>
<td>Other (Specify)</td>
<td>Do not use for internal people.</td>
</tr>
</tbody>
</table>

*Select the appropriate roles based on the funding source you are proposing for. Contact your GCA if you are unsure on which role to select.*

3. **Biosketch:** Upload as required by the RFP.
4. **Current and Pending Support:** Upload Current & Pending as required by the RFP.
5. **Individual is:** Select if the person is Senior/Key personnel, Other Significant Contributor, or Other Personnel.
• **Senior/Key Personnel:** As determined by the RFP and sponsor guidance

• **Other Significant Contributor:** NIH term referring to individuals who have committed to contribute to the scientific development or execution of a project but are not committing measurable effort to the project.

• **Other Personnel:** Additional personnel on the project who are not key. May include graduate students, secretarial/clerical, other professionals, etc.

3. **b. Non-Institutional Project Personnel:** This field is intended for non-Princeton project personnel. Leads and co-leads from the subrecipient as well as all foreign collaborators should be added.

   **Click the Add button to add personnel.**

   **Enter the person’s information in the pop-up window.**

   **Add Other Non-Institutional Proposal Staff**

   **1. Staff member name:**

   a. **Prefix:**

   b. **First name:**

   c. **Middle name:**

   d. **Last name:**

   e. **Suffix:**

1. **Staff member name:** Enter First Name (1b), Middle Name- if available (1c), and Last Name (1d). Leave 1a and 1e blank.
2. **Staff member contact information:** Enter email in 2c (required field). If available, enter a phone (2a) and fax number (2b).

3. **Staff member address:** Enter fields 3a-3h. Ensure Country (3g) is entered.
4. **Staff member organization information**: Organization (4b) is required. Enter Position/Title (4a) and Department (4c) if available.

5. **Select project role**: Select the project role

   - For subrecipient personnel, select the applicable project role. For non-NIH submissions, select Co-PD/PI. For NIH submissions select Co-Investigator. Please consult with your GCA if you are unsure what role to select.
   - For foreign collaborators, select role “Other(Specify)” and then enter “Foreign Collaborator” in the text field which appears.

6. **Credential, e.g. agency login**:

7. **Degree**:

   - **Type**:

   - **Year**:

8. **Attach a biographical sketch**:

9. **Attach current and pending support documentation**:
6. **Credential, e.g. agency login:** For NIH S2S applications, enter ERA Commons login. For foreign collaborators, leave this blank.

7. **Degree:** Enter if known. Required for NIH S2S. For foreign collaborators, leave this blank.

8. **Biosketch:** Upload if required per the RFP or if submitting NIH S2S. For foreign collaborators, leave this blank.

9. **Current and Pending:** Upload Current & Pending if required per the RFP. For foreign collaborators, leave this blank.

10. **This individual is a:**

    - [ ] Senior / key person on the proposal
    - [ ] Other significant contributor on the proposal
    - [ ] Other personnel
    - [ ] Clear

10. **Individual is:** Select if the person is Senior/Key personnel, Other Significant Contributor, or Other Personnel.

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Checkovage</td>
<td>Michael</td>
</tr>
<tr>
<td>Dimaggio</td>
<td>Melissa</td>
</tr>
<tr>
<td>Heather</td>
<td>Jeanne</td>
</tr>
<tr>
<td>Sullivan</td>
<td>Bob</td>
</tr>
<tr>
<td>Taylor</td>
<td>Timothy</td>
</tr>
<tr>
<td>Zhao</td>
<td>Tingling</td>
</tr>
</tbody>
</table>

4. **Administrative Personnel:** Review and add administrative personnel as needed.

   a. **Administrative Contact:** Enter the dept administrator or grants manager who will be responsible for the creation and submission of this proposal. This will generally be the person creating the proposal or someone else within your department. This person will be the only person to receive email notifications that the department reviewer or ORPA GCA requests changes, that Final SPO (ORPA) review has been completed, and that JIT changes are requested for the funding proposal.

   **Note:** This field should not be left blank. If no administrative contact is listed, emails will be sent directly to the Principal Investigator.

   b. **Proposal Editors:** Editors are institutional personnel who can view and edit the proposal. Editors will default based on the selected responsible department, and additional editors may be added if needed.

   - If you do not see an updated list of editors, click Save on the SmartForm page and the list will refresh.
   - If the PI’s home department defaulted in Personnel Question 2, then those default editors and the default editors from the updated department will appear. The home department editors can be deleted out depending on the scenario. Home departments will be kept aware of PI’s proposals in other departments or centers via an information warehouse report.
c. **Proposal Readers:** Enter any individuals who may need read only access to the proposal.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

**2.2.3 Submission Information – SmartForm**

The submission information page will request different information based on if the sponsor of the proposal is federal, non-federal, or a flow-through.

**Non-Federal Proposals**

This SmartForm page will appear when Princeton is submitting a non-federal proposal, including internal submissions. This does not include flow-through proposals where we are the subrecipient.

![Submission Information](image)

1. **Submission Type:** Defaults based on sponsor information
2. **Direct Sponsor:** Defaults based on sponsor entered in General Proposal Information.

![Select the internal funding opportunity](image)

3. **Internal Funding Opportunity:** This field will only appear if Trustees of Princeton is selected as the Direct Sponsor on the General Submission Information page. This should only be used when the funding on the main award has already been received from an external sponsor and there is an internal competition to divide that funding. Select the appropriate internal funding opportunity.

![Add any general submission documents](image)

3. **General Submission Documents:** Click the Add Button to upload submission documents
**Note:** If you are using the multi-prong approach, you may not be uploading all documents at this time. In this scenario, only upload the finalized administrative components under General Submission Documents. You will later upload draft scientific documents using the Add Attachment activity if they are available. For a thorough review of the proposal, including the SOW draft is highly encouraged.

<table>
<thead>
<tr>
<th>General Submission Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Narrative or Statement of Work (SOW)</td>
</tr>
<tr>
<td>Request for Proposal (RFP)</td>
</tr>
</tbody>
</table>

**Federal Proposals**

This SmartForm page will appear when Princeton is submitting a federal proposal.

For federal proposals, the Submission Information page is where you will determine if the application is being submitted system-to-system or not.

**Submission Information**

1. **Submission type:** Federal
2. **Direct sponsor:** NIH - National Institutes of Health
3. **Will this application be submitted system-to-system?**
   - [ ] Yes
   - [ ] No
   - [ ] Clear

1. **Submission Type:** Defaults based on sponsor information
2. **Direct Sponsor:** Defaults based on sponsor entered in General Proposal Information.
3. **Will this application be submitted system-to-system?** Defaults as Yes. Select yes or no.
If the application is not being submitted system-to-system:

4. Type a package ID, opportunity ID, or CFDA number, and click Find.

   - **Package ID:**
   - **Opportunity ID (PA or RFA number):**
   - **CFDA number:**
   - **Competition ID:**

No Funding Opportunity Announcements were selected.

If the desired opportunity is not listed above, type its ID and title below:

   a. **Package ID:**
   b. **Opportunity ID:**
   c. **Opportunity title:**

5. **NIH grant type (if applicable):**

6. **General Submission Documents:** Click the Add Button to upload submission documents

   - **Note:** If you are using the multi-prong approach, you may not be uploading all documents at this time. In this scenario, only upload the finalized administrative components under General Submission Documents. You will later upload draft scientific documents using the Add Attachment activity if they are available. For a thorough review of the proposal, including the SOW draft is highly encouraged.
Required General Submission Documents

<table>
<thead>
<tr>
<th>Narrative or Statement of Work (SOW)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for Proposal (RFP)</td>
</tr>
</tbody>
</table>

If the application is being submitted system-to-system:

3. * Will this application be submitted system-to-system?
   - Yes  ○ No  [Clear]

4. Type a package ID, opportunity ID, or CFDA number, and click Find.  
   - Package ID:
   - Opportunity ID (PA or RFA number):
   - CFDA number:
   - Competition ID:

   No Funding Opportunity Announcements were selected.

4. **Enter the Package ID, Opportunity ID, CFDA number or competition ID and Click Find** to search for the Funding Opportunity. Opportunity ID is the most common way to search. When you locate the opportunity, select the radio button next to the Package Id to select it.

You will not need to upload any General Submission Documents at this time, as they will be uploaded directly to the SF-424. Refer to the system to system guide for more details.

**Pass-through/Subaward**

This SmartForm page will appear when we are proposing for a pass-through or flow-through award.
1. **Submission Type:** Defaults to Pass-through/Subcontract/Subaward when both a Direct and Prime sponsor are listed on the General Proposal Information page.

2. **Direct Sponsor:** Defaults based on sponsor entered on the General Proposal Information page.

3. **Prime Sponsor:** Defaults based on prime sponsor entered on the General Proposal Information page.

4. **Direct Sponsor Contact Information:** List the direct sponsor contact information, if available.

5. **CFDA number provided by the direct sponsor:** List the CFDA number, if available.

6. **Grant award number provided by the direct sponsor:** List the award number, if available.

7. **General Submission Documents:** Click the Add Button to upload submission documents.
   
   **Note:** If you are using the multi-prong approach, you may not be uploading all documents at this time. In this scenario, only upload the finalized administrative components under General Submission Documents. You will later
upload draft scientific documents using the Add Attachment activity if they are available. For a thorough review of
the proposal, including the SOW draft is highly encouraged.

<table>
<thead>
<tr>
<th>General Submission Documents</th>
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<tbody>
<tr>
<td>Narrative or Statement of Work (SOW)</td>
</tr>
<tr>
<td>Request for Proposal (RFP)</td>
</tr>
</tbody>
</table>

2.2.4 Funding Opportunity Announcement (S2S Only) - SmartForm
This Funding Opportunity Announcement SmartForm page will only appear for system-to-system submissions where the
opportunity has been selected on the Submission Information SmartForm page.

Review the funding opportunity information including required forms, optional forms, and instructions. A message will
confirm if the forms are fully supported and this application can be submitted to Grants.gov.

If an optional form is not supported, you may still proceed with S2S submission. However, if a mandatory form is not
supported then the application may not be submitted S2S.

2.2.5 Budget Periods and Key Dates – SmartForm
1. **Application Submission Deadline**: Enter the sponsor’s deadline. If there is no deadline, enter 12/31/9999. The proposal is due to your ORPA GCA for review 5 business days before this date.

   *Note: If the application submission deadline falls on a weekend or holiday, follow the sponsors instructions for which date to enter.*

2. **Date Response Expected from Sponsor**: Enter date response is expected. If unknown, leave the field blank.

3. **Date Project Starts**: Defaults based on start date entered in General Proposal Information SmartForm

4. **Date Project Ends**: Defaults based on start date and budget periods (number and duration)

5. **Project length (years)**: Defaults to 5 years. Will update based on changes to budget periods (number or duration).

    To update the length, update the budget periods in #7.

6. **Modular Budget**: Select yes or no. Only select yes if the budget will be an NIH modular budget. The budget will then add any offsets needed to round up to the next module increment for each budget period.

   - For certain applications, NIH may request the Modular Budget form. Direct costs are requested in “modules” of $25,000 to $250,000 per year, as opposed to providing the detailed budget to the sponsor.
7. **Budget Periods**: The system automatically creates 5 periods that are 12 months in duration each. Use the **Add Period, Remove Period and Update Period** buttons as needed.

*If you would like to budget based on period dates instead of duration, select Update Periods and check “Used advanced editing”.*

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.2.6 Compliance Review – SmartForm

1. *Does this project involve human subjects?*
   - Yes  
   - No  
   - Clear

   a. *Is this a clinical trial?*
   - Yes  
   - No  
   - Clear

   b. *Has the IRB Protocol been submitted?*
   - Yes  
   - No  
   - Clear
1. **Human Subjects**: Select yes or no. For more information about human subjects research, visit the RIA website.
   a. **Clinical Trial**: Select yes or no. Answer will generally be no.
   b. **Submitted**: Defaults as no. Select yes or no. Select yes only if the protocol has been submitted to RIA. If you answer yes, a table for the approved or pending IRB protocols will appear.

c. **IRB Protocol**: Click the Add button to add any submitted IRB protocols.

- **Add PU_Compliance IRB Protocol Numbers**
  1. **IRB Protocol Number**: 
  2. **IRB Status**: 
     - Approved
     - Pending
  3. If this protocol is exempt, please enter the exemption numbers below: 
  4. **IRB Approval Date**: 
  5. **IRB Expiration Date**: 

- Enter the protocol information. It will appear in the IRB protocol table.
  - Please enter the protocol number exactly as it appears from RIA
  - If multiple exemption numbers are relevant list them with commas in between: 2,6
  - If the status is approved, the approval date must be added.
2. * Are live, vertebrate animals used in this project? *
   - Yes  ○ No  Clear
   a. * Has the IACUC Protocol been submitted? *
      - Yes  ○ No  Clear

   2. Animals: Select yes or no.
   a. Submitted: Select yes or no. Select yes only if the protocol has been submitted to RIA. If you answer yes, a table for the approved or pending IACUC protocol will appear.

   b. IACUC Protocol numbers: Click the Add button to add any submitted IACUC protocols.

   ![Add PU_Compliance IACUC Protocol Numbers](image)

     1. * IACUC Protocol Number: 
     2. * IACUC Status: 
        ○ Approved 
        ○ Pending  Clear
     3. IACUC Approval Date: 
     4. IACUC Expiration Date: 

       • Enter the protocol information. It will appear in the IACUC protocol table.
         ○ Please enter the protocol number exactly as it appears from RIA
         ○ If the status is approved, the approval date must be added.

   3. * Does this project involve the use of biological agents (including recombinant or synthetic nucleic acids)? *
      - Yes  ○ No  Clear
      a. * Has the IBC Registration been submitted? *
         - Yes  ○ No  Clear

   3. Biological Agents: Select yes or no. Review the help text for more details on biological agents and r/s NA.
   a. Submitted: Select yes or no. Select yes only if the registration has been submitted. If you answer yes, a table for the approved or pending IBC registrations will appear.
b. **IBC Registration numbers**: Click the Add button to add any submitted IBC registration numbers.

- Enter the protocol information. It will appear in the IBC registration table.
  - Please enter the registration exactly as it appears from RIA
  - If the status is approved, the approval date must be added.

---

4. **Exports**: Select yes or no. If yes is selected, provide details on the item in the required text box including the manufacturer name and model number.
5. **Foreign Collaborators:** Select yes or no. If you select yes, foreign collaborators must be listed on Personnel page 3B. If no one is listed for this question when you answer yes, you will receive an error message.

6. **ITAR:** Select yes or no. If yes is selected, provide details in the required text box.

7. **Space Change:** Select yes or no. If yes, provide details in the required text box.

8. **BSL-3 Handling:** Select yes or no.

9. **Collaborating/Funding/Traveling Countries:** Check off any countries you are collaborating with, receiving funding from, or traveling to during the course of this project. If none are applicable, select None of the above.

10. **Collaborating/Funding Countries:** Check off any countries you are collaborating with or receiving funding from during the course of this project. If none are applicable, select None of the above.

11. **Embryonic Stem Cells:** Select yes or no. If yes, enter the stem cell line or indicate that it cannot be referenced at this time.

12. **Select if any of the following will be used for this project:**
   - Chemicals of interest as listed by the DoD of Homeland Security (6 CFR 72)
   - Explosive, unstable, reactive materials or processes that could create these materials
   - Generation of hazardous gases: highly toxic, pyrophoric, unstable reactive or corrosive
   - Particularly hazardous substances: carcinogens, redeveloped and developmental toxicants, or acutely toxic materials
   - Unbound engineered nanomaterials
   - Radiation producing equipment: Ionizing (e.g. x-ray)
   - Radiation producing equipment: Non-Ionizing (e.g. microwave/radiofrequency)
   - High power magnets or equipment that produces significant ambient magnetic fields (> 30 Gauss)
   - Biological materials requiring biosafety level 2 or higher containment conditions
   - Invertebrate animals that require containment facilities
   - Toxins or biological materials regulated as Select Agents
   - None of the above
12. Hazards/Chemicals/Radiation/Select Agents: Check off any relevant hazards or select None of the above if none listed are applicable. Use the links available in the Help Text bubble for more information regarding Chemicals of Interest, Hazardous Substances, and Select Agents. If yes is selected for any of these items, provide a description in the required text field.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

Additional Compliance Information

For more information or training on Princeton's policies regarding human subjects, animal usage, biosafety, or export controls – Please reach out to the appropriate contacts.

PIs must submit a protocol or registration to the appropriate committee for any human subjects, animal research, recombinant DNA or biohazardous materials that are described in the proposal.

<table>
<thead>
<tr>
<th>Oversight Board</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institutional Review Board for Human Subjects</td>
<td><a href="mailto:irb@princeton.edu">irb@princeton.edu</a></td>
</tr>
<tr>
<td>Institutional Animal Care and Use Committee</td>
<td><a href="mailto:iacuc@princeton.edu">iacuc@princeton.edu</a></td>
</tr>
<tr>
<td>Institutional Biosafety Committee</td>
<td><a href="mailto:ibc@princeton.edu">ibc@princeton.edu</a></td>
</tr>
<tr>
<td>Institutional Review Board for Human Subjects</td>
<td><a href="mailto:irb@princeton.edu">irb@princeton.edu</a></td>
</tr>
<tr>
<td>Export Control, Foreign Collaborators, Foreign Travel, ITAR Items</td>
<td><a href="mailto:exports@princeton.edu">exports@princeton.edu</a></td>
</tr>
</tbody>
</table>

Based on the compliance review information and additional factors, Proposals that meet the University Research Board (URB) readership criteria will be sent to the URB for review, after ORPA submits the proposal to the sponsor.

- Proposals that meet URB criteria are assigned by the ORPA Assistant Director to two URB faculty committee members: one from humanities or social sciences and one from engineering or natural sciences.
- If a URB reader has questions for the PI, the URB reader notifies the ORPA Assistant Director, who emails the questions to the PI, without identifying the URB reader raising the questions.
- The PI replies to the ORPA Assistant Director.
- The ORPA Assistant Director then sends the PI responses along to the URB reader.
- If the URB reader has further questions, the process is repeated until either the URB reader approves or the PI is invited to present the proposal at a URB meeting.
- Proposals that meet the URB criteria will have an URB ancillary review added to them by the ORPA Assistant Director. The ancillary review must be completed and accepted prior to award setup in PeopleSoft.

URB Conditions

- Over $30 million in total costs
- Lab or facility space change (Compliance Review-7)
- Biosafety level 3 handling (Compliance Review-8)
During the course of this project, collaboration with, receiving funding from, or traveling to countries listed in Compliance Review-9

- Collaborating with or receiving funding from countries listed in Compliance Review-10
- ITAR items (Compliance Review-6)
- Unusual proposal (As determined by the ORPA GCA)

### 2.2.7 Additional Proposal Information – SmartForm

1. **Application Institution**: Defaults to “Trustees of Princeton university”. Do not change or update.
   a. **Performance Location**: Leave blank. Not used for external performance sites.

2. **Will there be program income?** Select yes or no.
   - Yes should only be selected if there will be income generated directly by the grant-supported activity or earned as a consequence of the award.
   - If yes is selected, you will need to report the budget period(s), source of funding, and amount.

Click continue on the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

### 2.2.8 Completion Instructions - SmartForm

Once you have completed filling out the funding proposal SmartForm, click “Validate” on the Completion Instructions page. This will check that all required information has been entered. If you receive a red stop icon, click on the blue link in the message to return to that page and enter the requested information.
Once all information has been entered and validated, click the Finish button to complete the SmartForm. This will take out to the funding proposal’s workspace where you can complete other proposal items, like PI assurances and the budget.

*Note:* Even when you “finish” the funding proposal SmartForm, you can return to make updates up until the proposal is submitted for department review. The proposal is editable by you and other Editors as long as it is in “Draft” status, so it is not necessary to complete all of the SmartForm pages at once.

### 2.3 Introduction to Funding Proposal Workspace

Once the funding proposal has been created, it will have its own workspace that contains a summary of proposal information, activities, and other relevant information regarding the proposal.

*Note* “WorkSpace” is the term for this page in Princeton ERA and is not related to the Grants.gov Workspace.
Across the top of the proposal workspace, we see several important details about the proposal. We can see it is in Draft state. We can also see its short title (“New Proposal Example”) and the FP ID (FP00000351). For more information on proposal states, refer to the Proposal State section of this manual.

On the left side of the workspace, we see our buttons to Edit the Funding Proposal and create a Printer Version of the funding proposal. Below those buttons are our activities.

Activities are actions or steps that we can take for this funding proposal. Some activities involve moving the proposal through the approval process, and others may include checking or updating budget or compliance information. The activities available are dependent on your user role and the state of the proposal.

Many of these activities will be used during the proposal development process. Refer to the Complete WorkSpace Activities section which will provide instructions on how to execute activities that are required for the proposal development process.

Some activities are not used for every proposal submission but are good to be aware of because they can provide helpful functionality. Instructions for these activities are included in the “Additional Functionality” section towards the end of this manual.

Proposal and Budget demographic information are displayed in the middle of the workspace.

**PD/PI:** Displays PI from the funding proposal SmartForm.

**Department:** Displays Responsible Department from the SmartForm.

**Specialist:** ORPA Specialist is automatically assigned by the system based on the PI’s home department, which may not be the same Specialist as the submitting department. If the automatically assigned GCA is not the GCA for the submitting department, ORPA will update the specialist when the proposal reaches the Specialist Review state.

**Sponsors:** Displays the direct sponsor from the SmartForm.

**Internal Submission Deadline:** 5 business days prior to the sponsor deadline (provided on the SmartForm).

**SF424 Link:** Link to the SF424 record appears if the Create -Update SF424 activity has been executed. A link will only appear in this field for S2S submissions.
Starting Date: Date of first proposed budget period.
Number of Periods: Set on the Budget Periods and Key Dates SmartForm page.
Total Direct: Summary of direct costs from all proposed sponsor budgets.
Total Indirect: Summary of F&A from all proposed sponsor budgets.
Total: Summary of all direct and indirect on proposed sponsor budgets.

Note that all totals are $0 until a sponsor budget has been added.

PeopleSoft Award ID: Field is populated once the proposal has been awarded and setup in PeopleSoft.

The middle of the screen features workflow bubbles that can be used to track where a proposal is in the approval and submission process.

The orange bubble represents where the proposal is now. Refer to the workflow bubbles for a visual representation of where your proposal is in the submission process.

The bottom of the workspace contains helpful tabs.

The Budgets tab provides a link to each budget. If there are multiple budgets (including cost sharing budgets) they will all be listed here. You can select the Edit button to jump to the Budget SmartForm.

The SF424 summary tab provides details about the SF424 and its submission status. This tab will only have data for system to system submissions.
The **History tab** provides a helpful record of all actions taken on the funding proposal. It shows what the activity was, who executed it, and when. This is a useful tool for understanding the history of a proposal and seeing where it is in the approval process.

To learn more about an event in the history tab, you can click the Activity name. It will present you with additional details, if available, such as comments or documents uploaded. The below example is an example where a document and comment were added.

---

**Activity Details (JIT Response Submitted)**: Records that JIT information has been provided to sponsor

**Author:** Michael Checkovage (CHM.Chemistry)

**Logged For (Funding Proposal):** Taylor-Retest

**Activity Date:** 7/24/2020 8:20 PM

---

1. **Comments:**
   - I've updated the protocols and budget. Attached a doc summarizing my changes.

2. **Attachments:**
   - Name
     - [JIT Updates for NH proposal.docx](#)

---

You can review the various tabs to see what fields where changed, what documents were attached, and if a notification was sent by the system.
The **Reviewers** tab shows you information about reviewers and other individuals involved with the proposal.

**Contacts:** This list includes Princeton personnel listed on the proposal as project personnel or administrative editors.

**Reviewers:** All reviewers for the responsible department (submitting department) will be listed. 

*Note that all proposals will only have 1 Approval Step. In Draft State, the proposal is at step 0 and in Department Review State the proposal is at step 1.*

**Ancillary Review:** This table summarizes all ancillary reviews that have been added to the proposal. It shows the type, who they are to (person or organization). It will also show if the review is required, if it is completed, and if it has been accepted.

---

The **Attachments** tab consolidates all documents associated with the funding proposal for easy access and review. Attachments can be uploaded many different places in Princeton ERA including the General Submission SmartForm, Personnel SmartForm, Budget, Subaward Budget, Cost Share Budget, Add Attachments activity, and Add Comment activity. This tab will summarize those attachments.

*Note: This does not include attachments stored on the SF-424. Those must be viewed directly on the SF-424 record.*
You can also see helpful information about the document such as the type (where it was uploaded), who it was uploaded by, when it was created, and when it was modified (if revised). You can also select the ellipsis to see the history for a document. If multiple prior versions exist and they are saved as Word documents, you can use Compare button to review differences between the versions.

The Financials tab shows a summary of all sponsor budgets including Personnel Costs, General Costs, Indirects, and Totals. This summary includes subawards budgets. It does not include cost share budgets, or budgets that are marked as do not include in financials.

For more information on budgets, refer to the Budget Manual.
The **Reviewer Notes tab** summarizes any reviewer notes added to the funding proposal SmartForm by department approvers or the ORPA specialist during the review process. If a proposal is returned to the department for updates, this section can be used to review requested updates and jump to the field where change is requested by using the blue links.

The **Related Projects tab** shows any agreements that have been associated with this funding proposal. Agreements may be associated in the agreements module or by using the Manage Relationships Activity on the proposal. You can click the ID or Name link to navigate to the agreement.

The **Change Log tab** tracks major and minor versioning of the proposal as it moves through workflow. In general, this tab can be ignored. If you would like to see the differences funding proposal versions, use the “Compare” feature within the funding proposal SmartForm.

### 2.4 Complete Workspace Activities

After completing the funding Proposal SmartForm, there are additional activities that must be completed before submitting the funding proposal for department review. Detailed steps are included for each activity, but below are the general processes you will follow for S2S and non-S2S applications.
2.4.1 Add Assurances Ancillary Review (AR)

Assurances must be obtained for all PIs, co-PD/PIs, co-investigators, key personnel, fellows, and mentors on the funding proposal.
Looking at the Personnel SmartForm page, a review should be sent to anyone that is listed in question 1 (PI or fellow/mentor), any institutional personnel in 3a with the role PI/PD, Co-PD/PI or Co-Investigator, and any institutional personnel with a role other than those listed but marked as Senior/Key personnel on question 5.

The assurances can be completed electronically by the investigator. If the PI or key person prefers not to submit electronically, a paper-based version of the assurances can be signed by the individual and uploaded to Princeton ERA by the department administrator.

Below is the business process for obtaining PI assurances using the electronic or paper-based method.

### PI Assurances - Electronic

On the funding proposal workspace, select the Manage Ancillary Review activity.

In the Manage Ancillary Review pop-up window, select Add.
On the Add Ancillary Review slide in window

- **Person**: Add the Person the ancillary review is for. Search by the person’s full name, last name or using the % sign as the wildcard
- **Review Type**: Assurances
- **Response Required**: Yes
- Add any comments to the reviewer. These will be included in the AR email, but do not appear on the History tab. Sign your name so the reviewer knows who is requesting the review.

Click “OK and Add Another” to add additional ancillary reviews or click OK to add the review and return to the Manage Ancillary Review view.
You will see a summary of the ancillary reviews. If reviews for additional personnel are needed, click Add and repeat the steps above.

On the Manage Ancillary Review screen, add a comment stating the ancillary reviews added are for PI Assurances. This comment will appear in the History tab. Typically supporting documents are not uploaded on this screen for PI Assurances.

Once all ancillary reviews have been added, click OK.

Please note that it is VERY important to click OK on the Manage Ancillary Review screen because it triggers the email notification from erasupport@princeton.edu to the PI. If comments were included in the Add Ancillary Review window, they will appear in the email to the PI:
FP0000377: Notification of Ancillary Review

erasure@princeton.edu
Wed 7/29/2020 7:35 PM
To: Martha Gibbs (testpi9)
Link: FP0000377
PI: Martha Gibbs (testpi9)
Title: Princeton ERA - Example Research Proposal

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

<table>
<thead>
<tr>
<th>Review Type</th>
<th>Comments</th>
<th>Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assurances</td>
<td>Hi Martha- Please complete your assurances.</td>
<td>yes</td>
</tr>
</tbody>
</table>

Office of Research & Project Administration
87 Prospect Avenue, 2nd Floor
Princeton, NJ 08544
https://apsa.princeton.edu/about-us/departmental-contacts

 Execute "Manage Ancillary Reviews" on FP00003052 - Google Chrome

Manage Ancillary Reviews

1. Identify each organization or person as a reviewer:
   - Add
   - Review Type

These comments do not appear in the notification email

2. Comments:
   - Person: Gilbert Ramsey (testpi10)

2. * Review type:
   - Assurances

3. * Response required?
   - Yes

4. Comments:
   - Dear Prof Ramsey,
     Please fill out your PI Assurance. Thanks!

These comments appear in the notification email
While there is a comments box on the “Manage Ancillary Reviews” window, these comments are not included in the AR notification email. The comments in the “Add Ancillary Reviews” window are included in the AR notification email. The comments on the “Manage Ancillary Reviews” screen are stored on the History tab.

The electronic assurance ancillary review has successfully been added.

**PI Assurances – Paper Based**

On the funding proposal workspace, select the Manage Ancillary Review activity.

![Manage Ancillary Review](image)

In the Manage Ancillary Review pop-up window, select Add.

![Add Ancillary Review](image)

On the Add Ancillary Review slide in window

- **Person:** Add the review to yourself. Do NOT add it directly to the PI since you will be completing the AR once the PI has sent you a signed paper PI Assurance.
- **Review Type:** Assurances
- **Response Required:** Yes
- **Comments** are not required, but any comments added will be included in the AR notification.
Click OK to add the review and return to the Manage Ancillary Review view.

You will see a summary of the ancillary reviews. If reviews for additional personnel are needed, click Add and repeat the steps above. If you are submitting paper-based assurances for multiple personnel, you will add multiple assurances to yourself so you can upload each signed document as it is completed.

Once all ancillary reviews have been added, add a comment on the Manage Ancillary Review screen to designate that these reviews are for PI Assurances within the History tab. Typically documents are not uploaded at this point, since the signed assurances should be uploaded when submitting ancillary review. Click OK to add the ancillary review.
Locate the PI Assurance form on the ORPA forms page. Contact your PI or Senior Key personnel to have them review and sign the document.

Once you have received the document, select the Submit Ancillary Review activity from the proposal workspace.

In the Submit Ancillary Review pop-up screen:
• Confirm the correct AR has a checkbox next to it if there are multiple ARs (there may be multiple if you have added several assurances for different people)
• Accept the submission
• AR is complete
• Upload the signed assurance document under Supporting Documents
• Select that “The signed Assurance Statement is uploaded as a Supporting Document to this Ancillary Review”

Click OK. The assurance has successfully been added and submitted.

Reviewing the Status of Ancillary Reviews

To review all ancillary reviews and check if they have been completed, refer to the Ancillary Review section on the Reviewers tab of the workspace.

All assurances ancillary reviews should be completed and accepted before the ORPA GCA will submit the proposal to the sponsor. Ideally, the reviews should be completed and accepted before the funding proposal reaches the Specialist Review state.
You can also refer to the history tab, which will show you additional details about the ancillary review being completed including the person, date, comments, and attached documents.

If ancillary reviews have not been completed, use the Send Email activity on the workspace to remind the PI or key person to log on and complete their review.

In the send email activity pop-up window:
• Add Email subject line
• To select any other recipient for this email, search and select the PI or personnel to whom you would like to send the reminder email
• Enter comments which will be included in the email

Click OK. An email message will be sent from erasupport@princeton.edu to the selected personnel.
2.4.2 Add Additional Ancillary Reviews (as required)

Additional ancillary reviews of the funding proposal may be required based on certain criteria. The ancillary review process is a method of electronically sending a review request to another person or people associated with an office. It is not part of the proposal approval workflow process.

The department administrator will add these ancillary reviews, prior to submitting to department review. They may be added right after the PI assurance, or later in the proposal development process (such as after you have completed the budget).

Department administrators should add additional ancillary reviews based on the following criteria:

<table>
<thead>
<tr>
<th>Review Type</th>
<th>Review Details + Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Sharing</td>
<td>• Send the cost sharing commitment approval request to the manager of the department committing cost share, or the following Organizations as appropriate:</td>
</tr>
<tr>
<td></td>
<td>o SEA-Sch of Eng &amp; Appl Sci</td>
</tr>
<tr>
<td></td>
<td>o PRV-Ofc of the Provost</td>
</tr>
<tr>
<td></td>
<td>o DFR-Ofc Dean for Research</td>
</tr>
<tr>
<td></td>
<td>Include details in the AR comment, including if the cost sharing is mandatory or voluntary.</td>
</tr>
<tr>
<td></td>
<td>• Cost share for Graduate School tuition, when the sponsor pays the full OH rate, should not be sent to the graduate school. In the rare case where the Graduate School is cost sharing tuition when the sponsor does not pay the full OH rate, send the Ancillary Review to Organization “DGS-Central Admin Grad Fllwshp.” See the cost share guide for more details on the cost sharing process.</td>
</tr>
</tbody>
</table>
| **Indirect Cost Waiver** | Please note that in cases in which a sponsor does not have a publicly-available policy on overhead costs, ORPA/the Dean for Research will consider requests for indirect cost waivers in very limited circumstances. When in doubt, it can be useful to write a sponsor directly to inquire on their policy or approach to indirect costs. Please note that considerations of equity are taken into account in waiver requests in which the projects of other PIs with that same sponsor carry overhead.

Please make sure that the below information is included as part of the Ancillary Review, which should be send to the ORPA Director:

- The justification for the request
- The dollar amount of the IDC waiver. This is the difference between the overhead that the sponsor will pay and the standard 62% OH rate. For example, if you are requesting that the indirect costs are waived from 62% to 0% OH, the value of the waiver is the 62% of all MTDC budget items.

**Note:** When IDC is reduced because the sponsor’s RFP states the allowable IDC rate, the department administrator must upload the document in the Submission Information SmartForm, General Submission Documents section, clearly labeled as the reduced IDC rate. An Ancillary Review does not need to be sent to the ORPA Director nor the GCA.

| **Lab or Facility Space Change** | Send if a lab or facility space change would result from the proposal. The Compliance Review question 7 should also be marked as yes.

Please include a description of the proposed changes in the comments of the Add AR and Manage AR windows. Upload the existing floor plan and the proposed floor plan (or an outline of the proposed floorplan) as attachments.

- If submitting through an engineering dept, send to SEA- Sch of Eng & Appl Sci.
- If submitting through any other department, send to PRV-Ofc of the Provost

| **Biosafety Level 3 (BSL3) Review** | Send if project requires BSL3 handling. Send to PRV-Ofc of the Provost.

| **Congruency Review** | Send for IACUC for congruency review if required by sponsor. This AR should NOT be sent during proposal development; it will be sent when the award is likely to be funded or is funded. Refer to the Congruency Review section for more details.

| **PI Eligibility** | Send an ad hoc review when PI status is needed for a researcher.

Other reviews may be sent on an ad hoc basis, such as department reviews, scientific reviews, or ad hoc reviews. Refer to the Ancillary Review Matrix for additional guidance.

The process for adding any ancillary review is very similar to the steps to add the PI assurances ancillary review. Follow the steps below.

On the funding proposal workspace, select the Manage Ancillary Review activity.

Complete the Manage Ancillary Review and Add Ancillary Review screens by following the instructions below.
After clicking OK in #10, an email is sent from erasupport@princeton.edu (not from your email address) to the person specified in #1, or the people associated with the “organization” in #1.

Only the comments in #5 are included in the email. No attachments are included in the email. By including the comments in #8 and attachments in #9, it makes it easy for the ancillary reviewer to see, directly in Princeton ERA, why they are reviewing the proposal, because those comments are included in the History tab and the attachments are included on both the History and Attachments tabs.

### 2.4.3 Display Team COI Information

The Display Team COI Information activity shows the last date personnel completed their Princeton COI disclosure and their CITI COI Training Date.

COI Disclosures should be checked for all senior key personnel on proposals to all federal sponsors and all applicable nonfederal sponsors that have adopted the PHS FCOI regulations as per the chart below. Disclosures need to be up to date (within the current calendar year) prior to submitting the proposal to the sponsor.

<table>
<thead>
<tr>
<th>Non-Federal Sponsors with PHS FCOI Regulations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alliance for Lupus Research (ALR)</td>
</tr>
<tr>
<td>Alpha-1 Foundation</td>
</tr>
<tr>
<td>American Asthma Foundation (AAF)</td>
</tr>
<tr>
<td>American Cancer Society (ACS)</td>
</tr>
</tbody>
</table>
COI CITI Training must be completed by all senior key personnel on PHS awards. At this stage, it may be a helpful time to remind faculty to complete their CITI training. Training must be completed prior to the award setup stage; however, training is not required prior to proposal submission.

Follow the process below.

From the funding proposal workspace, select the Display Team COI Information activity.
In the pop-up window, review the PI’s Last Disclosure Date and Training Date. The PI, fellow, and any personnel included as Senior/Key Personnel or Other Significant Contributor on the Personnel page will be displayed.

Confirm the Last Disclosure Date appears and is within the current calendar year. Check if COI training requirements are met.

Click OK to close the window. Note that clicking “OK” will record that this information has been checked in the History tab, which is helpful for review and audit purposes. Remember to exit using the OK button instead of “x-ing” out of the window.

If Disclosures have not been completed by any senior key personnel, use the Send Email activity to remind this person to complete their disclosures in eRIA. For more details on the Send Email activity refer Additional Funding Proposal Activities section. You may submit the proposal for department review prior to the COI disclosures being completed, but disclosures need to be completed prior to proposal submission.

If CITI training has not been taken or is expired, you may want to remind the senior key personnel that this training must be completed before ORPA can set up the award if it is funded. RIA and CITI will send expiration reminders as well.

2.4.4 Create Budgets

When the funding proposal is created, a blank budget for the associated sponsor will also be created. It appears under the Budget tab on the funding proposal workspace.
To enter the proposed budget, you will follow the business process below.

For additional information budgets, refer to the Budget Manual. This manual includes step by step instructions for creating your budget.

### 2.4.5 Create-Update SF424 (S2S only)

If the proposal application will be submitted system to system, you must create, update, and validate the SF424 before submitting the proposal for department review. Please refer to the S2S Manual for details on creating and updating the SF424.
2.4.6 Proposal Complete or Multi-Prong Approach?

When proposals are submitted for Department Review and Specialist Review, they may be fully complete, or the department administrator may be using the multi-prong approach. The multi-approach refers to routing the final administrative components and final administrative attachments for review while scientific or research elements of the proposal are still being finalized.

Add Comment to Reviewers

To let the department reviewers and GCAs know if the proposal is ready for full review, execute the Add Comment activity on the funding proposal workspace.

In the pop-up window, add your comment explaining if all documents are final and ready for review or if any of the research elements are pending finalization. If the documents are final, the comment should say “All research/narrative/science documents are final.”
The comment will appear in the funding proposal history tab. This will let reviewers know if the review is fully complete or multi-prong.

**Update Proposal Attachments**

If you are using a non-multi-prong approach, all finalized administrative and research related documents should have been uploaded on the funding proposal SmartForm – Submission Information page for non-S2S submissions or the SF424 for S2S submissions. You generally will not need to use the Add Attachment activity to upload additional documents, but can use this activity if there is additional documentation you’d like to provide your reviewers.

If you are using the multi-prong approach for an S2S application, you will have uploaded administrative documents to the funding proposal SmartForm – Submission Information page and SF424 but may wait to submit scientific documents.

If you are using the multi-prong approach for a non-S2S submission and have drafts of the scientific documents available, you may upload them using the Add Attachments activity on the workspace. For thorough review of the proposal, it is highly encouraged to upload your Statement of Work draft.

Please label all draft documents with the prefix “Draft”. If you are selecting or adding the document, you can update the title within Princeton ERA. If you are dragging and dropping the file it should be saved with the Draft prefix.

Select the Add Attachment activity.
Click Add to Choose a File. Or drag and drop a file below the Add button.

Click OK on the Submit a Document Screen and Add Attachment Screen.

Your document has been uploaded to the Attachments tab and can be revised when the final document is available.

**Complete Multi-Prong Proposal**

Once all documents have been finalized, you will need to update the funding proposal and add a comment to let your GCA know all documents are final. Documents must be finalized before the GCA submits to the sponsor.

For S2S Submissions, the final documents should be uploaded directly to the SF424 and the application should be validated. After this is complete, add a comment to the Funding Proposal workspace to let the GCA know that the finalized documents have been added.

For non-S2S submissions, the final documents should be added to the funding proposal using the Add Attachments activity.

Open the Add Attachment activity. If you are adding a new document, use the drag and drop functionality or click Add and choose the correct document.

If you are revising a previously uploaded draft document, click the ellipsis next to the document and select Upload Revision. Drag and drop functionality cannot be used when revising files.
Choose the file. Update the Title if necessary, including removing “DRAFT” from the end.

Your finalized documents will now be available on the attachment tab.

Use the Add Comment activity to let the GCA know that the documents have been finalized. The comment should state “All research/narrative/science documents are final.”
The multi-prong proposal is now ready for full review.

2.4.7 Review Proposal Checklist
Once the funding proposal SmartForm is complete and all workspace activities are executed, review the funding proposal SmartForm, budget, subaward budget, cost sharing budget, activities, and attachments for completeness.

Use the Proposal Checklist available on the Princeton ERA website to confirm your proposal is complete and ready for review.

2.5 Submit for Department Review
Once proposal development is complete (including the funding proposal SmartForm, budget, subaward budget, cost sharing budget, activities, and attachments), the funding proposal is ready to be submitted for department review!

2.5.1 How to Submit
On the funding proposal workspace, select the Submit for Department Review activity.

The Submit for Department Review pop-up window will include a summary of all ancillary reviews. A warning message will appear if there are outstanding ancillary reviews. All assurances ancillary reviews must be complete before the ORPA specialist submits the proposal to the sponsor. Other required and outstanding ancillary reviews must be completed before the award can be set up in PeopleSoft.
Ignore the warning message for now; it will not stop you from submitting.

In the Endorsements section, select the second option stating that as a proposal team member you will obtain the PI's signature. This is done by requesting or completing the assurances ancillary review.

Click OK.

The proposal has been submitted for Department Review. Notice on the workspace that the state has been updated. An automatic email notification has been sent to the Department Reviewers to alert them of the review.
Also notice that the funding proposal is now in a read-only view. You cannot edit the proposal in the Department Review state.

To learn more about the next steps of Department Review and Specialist Review, refer to the Proposal Review section of this manual.

### 2.5.2 Errors When Submitting

If information on the funding proposal is missing or is inconsistent, you may receive an error when attempting to Submit for Department Review.

Address any reported errors and re-try submitting for department review.

- **Required Field is missing.** Use the “Jump To” link to go to this field and enter the requested data.
- The Compliance Review page indicates the PI will be working with foreign collaborators (compliance question 5), but no foreign collaborator names have been listed on the Personnel page in question 3B (non-institutional personnel). Add all foreign collaborators on the Personnel page in Question 3B.
- Cost Share Commitment listed on the Create-Update Cost Share Commitment Activity and Cost Share Budgets are not equal. Update the cost share commitment or cost share budget as appropriate.

### 3 Proposal Review

This section explains the workflow proposals follow after they've been created and submitted for review. Proposals will be reviewed by the department and ORPA specialist (GCA) before being submitted to the sponsor. This section outlines the basics of those review processes and how to respond if changes are requested.

#### 3.1 General Review Process

This section will cover the reviews your proposal will go through after development. Referring to the business process diagram below, we will focus on the Department Review and Specialist Review processes. As a department
administrator, you may not be responsible for reviewing or approving proposals. However, this section will provide insight into how these processes work and how to track the progress of your proposal as its being reviewed.

Additionally, you will learn how to respond to changes requested by department reviews or GCAs during the review process.

### 3.2 Department Review

After a proposal is developed and submitted, it transitions to the Department Review state. Each proposal must be reviewed by the Responsible Department (submitting department) identified on the Personnel SmartForm page. All of the department reviewers will receive an email notification when the proposal has been submitted for Department Review.

Each department will have 1 Approval Step. In some cases, a proposal creator may also be the approver whereas in other departments the proposal will be created and then approved by someone else within the department. The proposal only needs to be approved by one of the listed department reviewers.

To see the approvers for your proposal, review the “Reviewers” section on the Reviewers tab of the funding proposal workspace.
If your department approval list needs updating, please reach out to erasupport@princeton.edu.

### 3.2.1 Review Proposal

Department Reviewers will receive an automatic system generated email from erasupport@princeton.edu in their Princeton email client (such as Outlook) alerting them that there is a funding proposal ready for Department Review with the subject “Proposal Submitted”. This means the proposal has been submitted for your department review and approval.

The email notification will include a link that will take the reviewer directly to the proposal.

---

**FP00000352: Proposal Submitted**

**erasupport@princeton.edu**

Wed 7/28/2020 6:30 PM

To: Cecilia Rouse, Todd Bristol

**Link:** [FP00000352](#)

**PI:** Gilbert Ramsey (testpi10)

**Title:** Demo Proposal Excitement!

The above grant has been submitted by Gilbert Ramsey (testpi10) for your review. Please click on the link above to review the proposal.

If you have any questions, please contact the Sponsored Programs Administration:

Office of Research & Project Administration
87 Prospect Avenue, 2nd Floor
Princeton, NJ 08544
[https://orpa.princeton.edu/about-us/departmental-contacts](https://orpa.princeton.edu/about-us/departmental-contacts)
Additionally, the funding proposal will appear on department reviewers’ Dashboard. It will be in the “My Inbox” tab, signaling that it requires an action, and the “My Reviews” tab, which is a list of all proposals requiring their review.

The reviewer will select the funding proposal and review this proposal from its workspace. From the workspace, reviewers should use the proposal checklist to confirm the funding proposal is complete, accurate, and that all required activities have been completed. Please use the proposal checklist available on the Princeton ERA website.

Approvers will review the funding proposal SmartForm. Note that reviewers cannot edit the SmartForm pages, but only have a read-only view.

To assist with the review, Department Approvers can check off each section as they review it. This turns the section green and is a helpful tool for tracking progress of your review.
If the reviewer has questions or comments on the funding proposal SmartForm pages, they may add Reviewer Notes.

To add a Reviewer Note, select the conversation bubble next to a question and a pop-up bubble will appear. The type will automatically be Department Draft Change Request.

- Add your comment.
- Select if a response from the proposal creator is required or not. You should ONLY check response is required when you will be sending the proposal back to the Dept Admin for changes and require that they change or specify a question before proceeding.
- Click OK.

Once added, the comment will appear below. Proposal editors can respond to comments when the proposal is sent back for changes.
Checking off sections as they are reviewed and adding Reviewer Notes are not required steps of the review process but are a helpful way to track progress and communicate with the proposal creator.

*Note: The Reviewer Notes functionality is only available on the Funding Proposal SmartForm pages and is not on the budget pages or activities.*

### 3.2.2 How to Approve Proposal

Once a proposal has been reviewed and is considered complete, it can be Approved. Approving the proposal will advance it on to Specialist Review (GCA Review).

From the funding proposal workspace, the reviewer can select the Approve activity.

The Approve pop-up will appear. If any Ancillary Reviews are outstanding, you will receive a warning message but can continue with approval.

Comments are not required but will appear on the History tab if added.

Click OK.
The proposal has been approved by the Department Reviewer. The proposal is now in Specialist Review. ORPA will begin reviewing the proposal.

3.2.3 How to Request Changes
If a proposal needs to be updated or changes are required, a Department Approver may request changes before they approve the proposal.

To request changes, select the Request Changes activity on the funding proposal workspace.

In the pop-up window, you will see a summary of any unresolved reviewer notes that you have added. You can also add additional comments to the Department Administrator that will appear in the History Tab.
Click OK.

The proposal is now in Department Review: Response Pending from PI State and the Clarification Requested workflow bubble is highlighted. The system sends automated email from erasupport@princeton.edu only to the Admin Contact. Any comments added to the Request Changes window do not appear in the email to the Admin Contact, but will appear on the History tab.

The proposal is in the “My Inbox” tab on the dashboard for all editors listed in the funding proposal.

FP00000364: Department Requests Changes From PI

erasupport@princeton.edu
Wed 7/29/2020 11:48 AM
To: Stacey Weber

Link: FP00000364
PI: Gilbert Ramsey (testpi10)
Title: [redacted]

There are changes that need to be made to the proposal. Please click on the link above to open your proposal.
The department editors can now edit the funding proposal, respond to reviewer notes, and submit changes back to the department reviewer. See the Proposal Changes Requested section for more details.

### 3.3 Specialist Review

Once a proposal has been developed and approved by a Department approver, the proposal state changes to Specialist Review. During specialist review, your ORPA GCA will review the proposal.

If changes are needed, the Admin Contact will receive an email from erasupport@princeton.edu and the state will change to Specialist Review: Response Pending PI. Any comments added to the Request Changes window do not appear in the email to the Admin Contact, but will appear on the History tab.

The proposal will appear in all editors’ “My Inbox.”

If no updates are needed, the specialist will move the proposal to Final SPO Review and then proceed with submitting the proposal to the sponsor. Only the Admin Contact will receive automated system generated emails from erasupport@princeton.edu when Final SPO Review is complete.
Note: If you are using the multi-prong approach, all documents must be finalized, and a comment must be added to let your ORPA GCA knows before the ORPA GCA can complete Specialist Review and move the proposal to Final SPO Review.

3.4 Proposal Changes Requested
During their proposal review, Department Reviewers and/or ORPA GCAs (Specialists) may need to request changes or updates to the funding proposal.

When the Department Review requests changes, the proposal will change to “Department Review: Response Pending from PI”. When the Specialist requests changes, the proposal state is updated to “Specialist Review: Pending Changes by PI”. Either of these scenarios mean the department administrator must respond to the request and resubmit the proposal back. Only the Admin Contact will receive a system generated email notification from erasupport@princeton.edu that changes have been requested. The proposal will appear in “My Inbox” on the Dashboard for the admin contact and all editors on the funding proposal.

3.4.1 How to Respond to Change Request
Navigate to the workspace of the proposal which requires changes. Admin contacts and editors can locate the proposal on your Inbox tab on your Princeton ERA dashboard or on the Internal Review tab on the Grants tab. Admin contacts can click on the link in the notification.
Review the History tab to see if the reviewer added any general comments, such as changes needed based on the proposal, budgets, or workspace activities. The history tab also indicates if any reviewer notes were logged on the Funding Proposal SmartForm pages.

To review the requested changes, select the Reviewer Notes tab. This tab will show all Reviewer Notes on the funding proposal and summarize them, including which fields changes are requested for and if the response is required.

Select the page name or field name (displayed in blue, e.g. Personnel or Biosketch). Following the link will take you directly to that question on the SmartForm.

The left navigator identifies which SmartForm pages have reviewer notes. An orange bubble on the page indicates which question(s) have reviewer notes.
Click the orange bubble to open the comment. Review the comment.

To make changes, close the window and update the requested information. Then return to the comment.

To respond to the comment, click “reply”. Enter your response and select “OK”.

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Note that all Reviewer Notes marked as “Response Required” must be replied to before you can resubmit the proposal to the Department or Specialist.

Once all Reviewer Notes have been addressed, return to the funding proposal workspace by clicking on the Exit button in the lower right corner.

Select Submit for Department Review activity (if changes requested by department reviewer) or Submit Changes to Specialist activity (if changes requested by an ORPA GCA).

On the Submit Changes pop-up window, enter any comments if necessary and click OK.
The proposal state will update to “Department Review” or “Specialist Review” depending on who requested the changes. An email notification will be sent to the reviewer and the proposal will appear in their Inbox.

*Note that sometimes the ORPA GCA may require updates go through department review before returning to the specialist. If the ORPA GCA has requested this, the proposal will automatically go to Department Review even if you select the Submit Changes to Specialist activity.*

If you get error messages about reviewer notes, that means there are required reviewer notes that you did not reply to. Click on the link in the “Jump To” column to go to that question and reply to the reviewer note. Then click on the Submit for Department Review or Submit Changes to Specialist activity as appropriate.

### 3.5 Submitted to Sponsor

After your ORPA GCA has reviewed and approved the proposal, they will move the proposal to Final SPO review state. This indicates the proposal is queued to be submitted to the sponsor. After the proposal has been submitted, the ORPA GCA will update the system to reflect that. The state will be “Pending Sponsor Review.”

After the ORPA GCA executes the “Final SPO Review” activity, the Admin Contact will receive the “Final SPO Review Completed” email from erasupport@princeton.edu. “SPO” and “SPA” in the email refer to “Sponsored Programs Office” and “Sponsored Research Administration”. At Princeton, this is referring to ORPA.
If the department or PI is directly submitting the proposal to the sponsor, the ORPA GCA should still be notified so that they can update the status in Princeton ERA. Use the Send Email activity on the workspace to notify your GCA.

4 Anticipate and Receive Award

After sponsor review, the proposal may be awarded, not funded, or additional changes and reviews may be necessary. This section reviews the processes followed after notification has been received from the sponsor.

4.1 Department Receives Commitment or Award

A sponsor may directly notify the PI or department of the proposal’s status. They may let you know the proposal has been awarded or not funded, send a letter of commitment, or request changes.
In all of these scenarios, the department should notify ORPA by sending an email to the awards@princeton.edu inbox including the sponsors decision and any documentation (e.g. Notice of Award, Letter of Commitment).

4.2 ORPA Receives Notice from Sponsor or Department

If the department receives the award notice from the sponsor, the department should send the award notice to the awards@princeton.edu inbox. When ORPA receives notification about a proposal from the department, via the awards@Princeton.edu inbox, or from the sponsor, they will update the proposal status in Princeton ERA.

If a letter of commitment is received, ORPA will update the proposal state to Pending Sponsor Review Award Anticipated. The letter of commitment will be added as an attachment to the proposal.

When ORPA receives the notice of award, an ORPA Award specialist will be assigned to the proposal. They will review the proposal and execute any needed follow ups for JIT changes or outstanding ancillary reviews. Once the proposal is considered ready for award setup, the specialist will update the funding proposal state to Award Notification Received. The admin contact, all editors, and the ORPA specialist will receive a system generated notification from erasupport@princeton.edu. This will let you know the proposal is officially ready for ORPA to begin the award setup process in PeopleSoft.

If ORPA receives notification that the proposal has been withdrawn from the sponsor or not funded, ORPA will update the proposal state to Withdrawn from Sponsor or Not Funded. These are considered terminal states.
4.3 Just-In-Time (JIT) Revisions – Budget, Protocols, & Other Support

The just-in-time process will be used when additional information or changes are needed on a proposal prior to award setup. Although JIT is NIH terminology, Princeton ERA uses this terminology whenever changes are needed prior to award setup for any sponsor. Examples include when budget revisions are needed, personnel changes are needed, protocols must be updated, or congruency review is needed.

If the department administrator receives notification that JIT Changes are needed, they must use the Send Email activity to notify the ORPA specialist.

The assigned ORPA Specialist will execute the JIT Changes Required activity which will move the proposal to “JIT Response Required” state. The system will send email from erasupport@princeton.edu to the assigned Admin Contact.
As the Admin Contact, you will respond to the JIT request.

Use the link in the email notification or log in to ERA to locate the funding proposal in your Inbox. The proposal will also be in the Inbox of the funding proposal editors.

In the JIT Response Required State, your funding proposal and budget are editable. Make the requested revisions to the proposal or budget. These changes will overwrite the current proposal information. Examples may include:

- Update budget due to reduction of budget or change in level of effort
- Add additional people to Personnel page. Update current and pending.
- Update Compliance Review page to show up to date IRB or IACUC protocol information or IBC registration information. This includes updating protocol number, status, exemptions, and dates.

Please ONLY make the requested changes or alert your ORPA specialist if additional updates are needed.

After updates are made, use the Submit JIT Response activity.

In the Submit JIT Response pop-up window, add any clarifying comments about what was updated to your ORPA Specialist. Click OK.
Your ORPA specialist will be notified that the JIT changes have been submitted. They will review the changes and submit any needed updates to the sponsor.

The ORPA Specialist will update the proposal to the Pending Sponsor Review Award Anticipated state.

4.3.1 Updating Protocols

Proposals with human subjects’ protocols, animal protocols, or biosafety registrations will undergo the JIT revision process to ensure that all protocols are updated.

The department admin will receive a notification that JIT Changes are requested. Navigate to the funding proposal in your Inbox or from the JIT email notification. On the history tab, any comments from the Specialist will appear.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Author</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>JIT Changes Requested</td>
<td>Formica, Samuel V</td>
<td>7/22/2020 10:52 AM</td>
</tr>
</tbody>
</table>

Please update the IACUC protocols. We need the congruency review completed before we can begin award setup.

Edit the funding proposal and navigate to the Compliance Review page to add or update protocols and registrations.
After the updates are complete, Save the page and Exit to return to the funding proposal workspace.

If this proposal includes animal research and is funded by a sponsor that requires congruency review, you must add a congruency review ancillary review before proceeding. To add this review – refer to the IACUC Congruency Review section below.

Once all updates have been made and the congruency ancillary review has successfully been added (if required), use the Submit JIT Response activity.

In the Submit JIT Response pop-up window, add any comments to your ORPA specialist about what was updated and click OK.
Your ORPA specialist will be notified that the JIT changes have been submitted.

### 4.3.2 IACUC Congruency Review

Congruency review ensures that the animal research described in the proposal matches with any corresponding protocols approved by the IACUC. Congruency review must be conducted by the RIA team for any proposals with animal research where congruency review is required by the sponsor.

#### Sponsors Requiring Congruency Review

- National Institutes of Health (NIH)
- All NIH subdivisions (e.g. NCI, NHLBI, NIAID, NIDDKD, NIAAA, etc.)
- National Science Foundation (NSF)
- US Department of Health & Human Services (DHHS)
- USDA National Institute of Food and Agriculture
- American Heart Association (AHA)
- Department of Veterans Affairs (VA)
- March of Dimes (MOD)
- Cystic Fibrosis Foundation (CFF)
- Susan G. Komen for the Cure

When animal research is involved, the department will update the protocols during the JIT revision process described above. After the protocol information is updated, the department administrator will kick-off the IACUC congruency review by adding an ancillary review.

To add the ancillary review, select the Manage Ancillary Review activity.
Click Add to add the new ancillary review.

On the add ancillary review slide-in window, enter the following information:

- **Organization Review**: Add “RIA-IACUC” as the reviewer.
- **Review Type**: Compliance Review
- **Response Required:** Yes
- **Comments:** Enter any comments to the reviewer letting them know this ancillary review is for congruency review. Sign your name so they know who is requesting the review. These comments will appear in the ancillary review email notification, but are not included on the History tab.
- **Documents:** Do not attach documents here, as they will not appear on the Attachments tab. Instead attach any documentation to the Manage AR screen.

Click OK.

On the Manage Ancillary Review screen, confirm your ancillary review has been added.

Add a comment indicating that this is an IACUC congruency review. This comment will appear in the History tab. Generally supporting documentation is not needed, but if desired attach documentation here as opposed to the Add Ancillary Review screen. Attached documents will appear on the Attachments tab and History tab.

Click OK. It is important to hit OK instead of “x-ing” out since this sends the ancillary review notification.
Once the ancillary review has been added, you can proceed with submitting your JIT Response.

RIA will complete the congruency review and upload the congruency letter to the funding proposal. If an additional biosafety review (IBC) is required, it will be handled by RIA by adding an additional congruency review to the RIA-IBC team. Once all required reviews are complete, the ORPA specialist will proceed with the award setup process.

### 4.4 Award Setup

Awards are setup and maintained in PeopleSoft. Once a proposal has been updated to the Award Notification Received state, an ORPA Award Specialist will setup the award in PeopleSoft. They will create and distribute the Notice of Award.

When setup of the award in PeopleSoft is complete, your ERA funding proposal will be in the Awarded state. The PS Award ID will appear on the workspace.
5 Revisions, Renewals, and NIH Resubmissions

This section provides instructions for creating revisions (supplements), renewals, and NIH resubmissions in Princeton ERA.

### Types of follow-on proposals that can be created:

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revision (Supplement)</td>
<td>An application requesting additional funding for an active award.</td>
</tr>
<tr>
<td>Renewal</td>
<td>A competitive application for a new project with a scope based on or related to a current project which is expiring.</td>
</tr>
<tr>
<td>NIH Resubmission</td>
<td>An application that NIH has reviewed and declined to fund, which the investigator has now modified and is resubmitting for consideration. NIH generally allows one resubmission.</td>
</tr>
</tbody>
</table>

This section describes how to create revisions, renewals, and NIH resubmissions for Princeton ERA funding proposals.

If you are creating a follow-on submission for a proposal originally funded in Coeus, a new Princeton ERA funding proposal should be created, and the type should be noted on the Funding Proposal SmartForm. Please refer to the Funding Proposal- General Proposal Information SmartForm section for additional details.

#### 5.1 Create a Revision

Revisions (also known as supplements) are applications requesting additional funding on an existing, active award that is already set up in PeopleSoft Financials with a PeopleSoft award number. This section provides instructions on how to create a revision application.

On the proposal workspace of a proposal in the “Awarded” state, click the Create Revision activity.  
*Note: Only the Admin Contact and proposal editors will have access to this activity.*
In the Create Revision pop-up window, confirm the Revision name. The name will default to the original proposal name with the suffix of “- Revision – 1.” Click OK.

You will be brought to the funding proposal SmartForm. Notice the ID has been amended with “Rev” and the number of the revision. The application type is Revision.

Review the revision proposal for completeness and accuracy, using the Continue button to navigate through each SmartForm page.

Most proposal information will copy directly from the original funding proposal. The information below will not copy and must be updated for the revision:
• General Proposal Information page: Expected Start Date
• Submission Information: Copies but may need to update the revision funding opportunity
• Budget Periods and Key Dates page: Application submission deadline
• Compliance Review page: All fields

On the Completion Instructions SmartForm page, click the Finish button.

You will be returned to the proposal workspace. Note that the state is Draft and the proposal type is Revision. There is also a link to the original proposal for easy navigation.
Note: you will also be able to easily access the revision from the originally funded proposal. A new tab called “Follow-on Submissions” will include links to all follow-on proposals.

From the revision proposal workspace, navigate to and complete the budget. The revision budget will default to $0.

<table>
<thead>
<tr>
<th>Working Budgets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
</tr>
<tr>
<td>National Academy of Sciences-</td>
</tr>
</tbody>
</table>

On the revision proposal workspace, complete the required workspace activities. If you have questions on which activities are needed or would like detailed instructions, please refer to the Complete Workspace Activities section of this manual.

**Workspace Activities**

- Manage Ancillary Review – Add PI Assurances Ancillary Review(s)
- Manage Ancillary Review – Add additional required reviews (e.g. cost share, indirect cost waiver, space change)
- Display Team COI Information
- Create-Update SF424 (S2S only)
- Add Comment – Indicate if all documents complete or not
- Add Attachments – if using multi-prong approach and if draft research elements are available

When the submission is complete, click the Submit for Department Review activity. Complete the endorsements and click OK.

If you are submitting this application system-to-system, you will generate and complete a new SF424 using the Create-Update SF424 activity.

The Federal Identifier is required for revisions; Enter the NIH Award ID.
Ensure the application type on the R&R cover page is “Revision” with the appropriate request type specified.

The revision proposal follows the same workflow as the primary proposal.

### 5.2 Create a Renewal

Renewals are competitive application for a new project with a scope based on or related to a current project which is expiring. This section provides instructions on how to create a renewal application.

On the Proposal Workspace of a proposal in the “Awarded” state, click the Create Renewal button.  
*Note: Only the Admin Contact and proposal editors will have access to this activity.*
You will be brought to the funding proposal SmartForm. Notice the Type of application is Renewal. Also note that the funding proposal does not have an FP ID yet. It will receive a new FP ID when the General Proposal Information page is saved.

The Short title of the proposal will default based on your original proposal name with the suffix “-Renewal”. Most information from the original funding proposal is not copied on to the renewal proposal, so you must complete all SmartForm pages as you would for a new proposal.

Enter the information for all fields. Refer to the Complete the Funding Proposal SmartForm section of this manual for detailed instructions on completing each page.
Review each SmartForm page. On the Completion Instructions SmartForm page, click the Finish button.

You will be brought to the proposal workspace. Note that the state is Draft and the proposal type is indicated as Renewal. There is also a link to the original proposal for easy navigation.

Note: you will also be able to easily access the renewal from the originally funded proposal. A new tab called “Follow-on Submissions” will include links to all follow-on proposals.

From the renewal proposal workspace, navigate to and complete the budget. The renewal budget will default to $0.
On the renewal proposal workspace, complete the required workspace activities. If you have questions on which activities are needed or would like detailed instructions, please refer to the Complete Workspace Activities section.

### Workspace Activities

- **Manage Ancillary Review** – Add PI Assurances Ancillary Review(s)
- **Manage Ancillary Review** – Add additional required reviews (e.g. cost share, indirect cost waiver, space change)
- **Display Team COI Information**
- **Create/Update SF424** (S2S only)
- **Add Comment** – Indicate if all documents complete or not
- **Add Attachments** – if using multi-prong approach and if draft research elements are available

When the submission is complete, click the Submit for Department Review activity. Complete the endorsements and click OK.

If you are submitting this application system-to-system, you will generate and complete a new SF424 using the Create-Update SF424 activity.

Ensure the application type on the R&R cover page has defaulted to “Renewal.”
The renewal proposal follows the same workflow as the primary proposal.

**5.3 Create a NIH Resubmission**

A NIH resubmission is created when NIH reviewed and declined the original proposal; that submission is now being modified and resubmitted for sponsor consideration. NIH resubmissions may be created for new proposals or renewal proposals. This section provides instructions on how to create a resubmission application.

On the Proposal Workspace of a proposal in the “Not Funded” state, click the Create Resubmission activity.

*Note: Only the Admin Contact and proposal editors will have access to this activity and this activity can only be executed when the proposal is in the Not Funded state.*

*If the proposal has not been updated from “Pending Sponsor Review” state, contact awards@princeton.edu to let them know the original proposal was not funded. Once the original submissions status is updated, the resubmission proposal can be created.*

In the Create Resubmission pop-up window, enter the Resubmission name. The name will default to the original proposal name with the suffix of “- Resubmission– 1” but can be updated if needed. Click OK.
You will be brought to the proposal SmartForm. Notice the ID has been amended with “Res” and the number of the resubmission. The application type is Resubmission.

Review the NIH resubmission proposal for completeness and accuracy, using the Continue button to navigate through each SmartForm.

Most proposal information will copy directly from the original funding proposal, but the following information will not. These required fields must be updated for the resubmission:

- **Budget Periods and Key Dates page**: Application submission deadline
- **Compliance Review page**: All fields
After reviewing each SmartForm page, on the Completion Instructions page, click the Finish button.

You will be returned to the proposal workspace. Note that the state is Draft and the proposal type is indicated as Resubmission. There is also a link to the original proposal for easy navigation.

From the resubmission proposal workspace, navigate to and update the budget if needed. The budget from the original proposal submission will default.
On the resubmission proposal workspace, complete the required workspace activities. If you have questions on which activities are needed or would like detailed instructions, please refer to Complete Workspace Activities section.

### Workspace Activities

**Manage Ancillary Review** – Add PI Assurances Ancillary Review(s)

**Manage Ancillary Review** – Add additional required reviews (e.g. cost share, indirect cost waiver, space change)

**Display Team COI Information**

**Create-Update SF424** (S2S only)

**Add Comment** – Indicate if all documents complete or not

**Add Attachments** – if using multi-prong approach and if draft research elements are available

When the submission is complete, click the Submit for Department Review activity. Complete the endorsements and click OK.

If you are submitting this application system-to-system, you will generate and complete a new SF424 using the Create-Update SF424 activity. Ensure the application type on the R&R cover page is Resubmission.

**Note:** NIH only allows for one resubmission of a proposal. Do not submit additional resubmissions for NIH funding opportunities.

Complete the SF-424. The Federal Identifier is required for resubmissions; Enter the NIH Award ID.
Ensure the application type on the R&R cover page is Resubmission.

The resubmission proposal follows the same workflow as the primary proposal.

6 Additional Functionality

This section outlines additional system functionality that will be helpful for the development and tracking of proposals. Key highlights include how to manage your ERA grants Dashboard and steps for additional funding proposal activities you may use.

6.1 Manage your Princeton ERA Dashboard

When you first log in to Princeton ERA, you will land on your personalized Dashboard. The Dashboard is a great place to see any action items and search for recently worked on proposals.
My Inbox: This acts as your to-list and shows all proposals or agreements that require you to take action. Reviewing the State of a record is a helpful way to know what actions need to be taken. To access a record, click on the Name link (which is the short title of the proposal) and you will be brought to the records workspace.

My Reviews: Shows items assigned to you to review, including Department Reviews or Ancillary Reviews. This is a subset of the items in My Inbox.

Create Menu and Buttons: You can create funding proposals or agreements directly from the Dashboard. This will open the SmartForm to begin a new FP or agreement.

Recently Viewed: Shows the last few items you viewed. Look here to easily locate items you worked on recently.

6.2 Search for Proposals or Agreements
To search for proposals that are not in your Inbox, navigate to Grants > Funding Proposal. Here you can view all funding proposals that you have access to.

Use the Filter by fields to search for a record by various information. Click the “?” help text for search tips.

A few helpful ways to search are:

- Search the funding proposal ID
- Search by Name (short title) using key words – use the wild card feature by entering a “%” sign before the key word. For example, search %molecular mechanism
- Search by State
You can also use the various tabs to search by proposals in Draft, Internal Review (includes Department Review, Specialist Review, and when proposals require changes), Sponsor Review, Awarded, or Completed states.

6.3 Proposal States

When reviewing proposal progress and searching for proposals, it is helpful to understand the current state of the funding proposal and where it is in the overall workflow process. Refer to the funding proposal states below.
6.4 Additional Funding Proposal Activities

This section will provide basic how-tos for completing activities on the funding proposal. These are activities are not necessarily completed as part of the usual proposal development process but are helpful to be aware of and may be used in certain scenarios.

6.4.1 Copy a Proposal

Proposals can be copied to use as a starting point for a new proposal. This is helpful when proposals have very similar information to another. It can also be used to copy a proposal in a terminal state (such as Not Funded).

On the proposal workspace, click the copy activity.
In the Copy pop-up window, enter the new proposal name. Select Use background processing. Click OK.

Navigate to the History tab. The link to your newly create proposal will appear. If you don’t see it initially, its because the copying process is still running. Refresh the page and it will appear. The copied proposal will also appear in your Inbox in Draft state.

Please note that Compliance Review information from the proposal and the proposal deadline date will not copy. The compliance review and proposal deadline date must be updated for every proposal to ensure accuracy. All SmartForm pages should be fully reviewed and updated as appropriate prior to submitting.

6.4.2 Print a Proposal
The proposal SmartForm can be printed for review or your records.

To create a printer version, select the printer version button on the proposal workspace.

The printer friendly version will be created in a new tab. Select Print.
Choose your printer to print the document.
6.4.3 Send Email

Emails can be sent from the proposal to other Princeton users. All emails will send a notification to the user with the email content. They are also tracked in the History tab.

Select the Send Email activity on the funding proposal workspace.
In the Send Email window, enter the appropriate information. You can send the email notification to a subset of people working on the proposal, or search and send to a specific person. Once you have entered your information, click OK. Note that “All team members” includes the PI, the Specialist, the editors, and the readers.

The email notification will be received in Outlook email and logged on the History tab.

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To: Tingting Zhao, Melissa DiMaglio, Martha Gibbs (testpt9), Timothy Taylor, Bob Sullivan, Paula Looney, Joanne Heether, Michael Checkovage

Link: FP00000359

PI: Martha Gibbs (testpt9)

Title: New Proposal Copy

Comments:

Hi team,

FYI: I began creating the new proposal we discussed in our morning meeting. Please feel free to review. I will complete and submit by Friday afternoon.
6.4.4 Add and Revise Attachments
Select the Add Attachment activity.

Click Add to Choose a File. Or drag and drop a file below the Add button.

Click OK on the Submit a Document Screen. Confirm your document appears. Click OK on the Add Attachment screen.
The document will now appear on the Attachment tab under the type “Attachments”. The History tab will also record that a document was uploaded.

If you need to revise an attachment, select the Add Attachments activity. Click the ellipse and select Upload Revision.

Choose the new file. Update the file title if necessary. It will retain the original title, so you may need to make updates such as removing the word “draft.”
Click OK on the Submit a Document Page and on the Add Attachment page. Return to the workspace.

On the attachments tab, the new version will appear.

To see the history or review a previous version, select the ellipsis.

Note that for the “Compare” feature to work, both files must be Word documents.

6.4.5 Add Comment
Comments can be added to the proposal. They are a helpful way to communicate with reviewers or notify others if you are using the multi-prong submission approach.
To add a comment, select the Add Comment activity.

In the Add Comment window, enter your comment and attach a document if desired.

The comment and document will be logged in the History tab.
6.4.6 Create Budget PDF
A budget PDF can be created on the funding proposal to share with internal parties (such as the PI) or sponsors.

If there are multiple budgets, the PDF will show a summary budget and each individual budget. It will show a breakdown by sponsor budget and cost share budgets. The budget will also summarize and include any subaward budgets. Note that only sponsor budgets that are marked as “Include in Financials” on the Budget SmartForm will be included in the PDF.

To create the PDF, select the Generate Budget PDF activity.

Click OK to generate the PDF.

Navigate to the history tab to view the PDF.

Click the PDF and it will open in another tab.
The PDF can be downloaded and printed as needed.

Please note that an Export Budget activity is also available. In general, using the Generate Budget PDF activity is advised.

6.4.7 Manage Guest List
During proposal development, Editors and Readers are added to the Personnel SmartForm. To add editors or readers after submission (when the proposal is in a view only state), use the Manage Guest List activity. This will give selected individuals the ability to edit the funding proposal or view it.

Select the Manage Guest List activity on the funding proposal workspace.
Add new Editors and Readers as needed. Search and select the person. Click OK when you’ve added all new Editors and Readers.

6.4.8 Recall Proposal
Administrative contacts and proposal editors can recall the proposal if needed. Recalling the proposal will move it back to a Draft state where it can be edited and updated.
The recall activity can only be used during the Department Review and Specialist Review stages. Once the proposal is in Final SPO Review state or has been submitted to the sponsor, it cannot be recalled.

To recall a proposal, select the Recall Funding Proposal activity on the proposal workspace.

In the Recall Funding Proposal window, enter the reason you are recalling. This is a mandatory field. Click OK.

The proposal will now be in Draft state and can be edited. The Recall information will appear on the History tab.
The proposal can now be updated and re-submitted for Department Review.

A notification will not be sent to individuals who have already reviewed the proposal, but as a professional courtesy it is suggested you use the Send Email activity to let the current reviewers know that you will be recalling the proposal in case they are actively reviewing the proposal.

6.4.9 Withdraw Proposal for proposals that will not be submitted
The proposal administrative contact and editors can update a funding proposal that is being withdrawn from consideration for funding or will not be submitted. This activity is used for proposals that are “abandoned” meaning they were started in Princeton ERA and will never been submitted to the sponsor. There is no way to delete a proposal from Princeton ERA, but using the Withdraw Proposal activity will put the proposal into the “Not Submitted” state.

Department administrators can withdraw the proposal when it is an editable state for them – in Draft, Department Review: Response Pending from PI, or Specialist Review: Pending Changes by PI. If the proposal is with the ORPA specialist, please contact them to withdraw the proposal.

To withdraw a proposal, select the Withdraw Proposal activity on the funding proposal workspace.

In the Withdraw Proposal window, enter the reason for withdrawal. This is a mandatory field. Click OK.
The proposal is now in a Not Submitted state and the withdrawal is logged in the History tab.

6.4.10 Create Agreement

If you are creating an agreement that is related to a funding proposal, you can create the agreement directly from the funding proposal which will link the records.

Select the Create Agreement activity on the funding proposal workspace.
In the Create Agreement window, select the Agreement Type from the drop down and click OK.

![Create Agreement window](image)

The Agreement has been created. Select the Related Projects tab to view the agreement.

![Related Projects](image)

Clicking the ID or Name will take you directly to the new agreement. For more information on agreement setup, refer to the Agreement Manual.

6.4.11 Manage Relationships

Funding proposals can be linked to related agreements from the funding proposal workspace. Note that they can also be linked from the Agreement workspace.

To link a funding proposal to an agreement, select the Manage Relationships activity on the workspace.

![Manage Relationships](image)
Search and select the desired agreement. Click OK.

The agreement is now linked. Navigate to the Related Projects tab on the workspace to confirm or to navigate to the agreement.