



# IBIS Research

## Research Community: Grants User Guide

---

## Table of Contents

1. Navigating IBISResearch .....	4
1.1. How to Access a Record .....	5
1.2. How to Search .....	5
<b>2. How to Manage Proposal Submission .....</b>	<b>6</b>
2.1 How to Create A Proposal .....	6
2.2 How to Complete a Budget.....	11
2.3 How to Create An Additional Budget .....	20
2.4. How to Create A Cost Share Budget .....	20
2.5 How to Create a Subaward Budget .....	21
2.5.1. Using the Import Subaward Activity .....	23
2.6. How to Manage SF424 Submission for Federal Proposal .....	24
<b>3. How to Manage Ancillary Reviews .....</b>	<b>29</b>
3.1. How to Add Ancillary Reviewers .....	29
3.1.2. Managing and Adding an Ancillary Review: (Follow diagram) ...	29
3.2. How to Submit an Ancillary Review (Ancillary Reviewers Only) ...	31
<b>4. How to Update the Proposal with Sponsor Determination.....</b>	<b>32</b>
<b>5. Additional Proposal Tasks .....</b>	<b>33</b>
5.1. How to Manage deliverables .....	33
5.2. How to Manage Relationships (linking records in IBISResearch).	34
5.3. How to Manage Tabs .....	34
5.4. How to Export the Budget.....	35
5.5. How to Send an Email .....	35
5.6. How to Add Attachments to a Proposal .....	36
5.7. How to Manage the Guest List .....	37
5.8. How to Add a Comment .....	37
5.9. How to Copy a Proposal.....	38
5.10. How to Respond to Change Request .....	38
5.11. How to Respond to a JIT Request.....	40

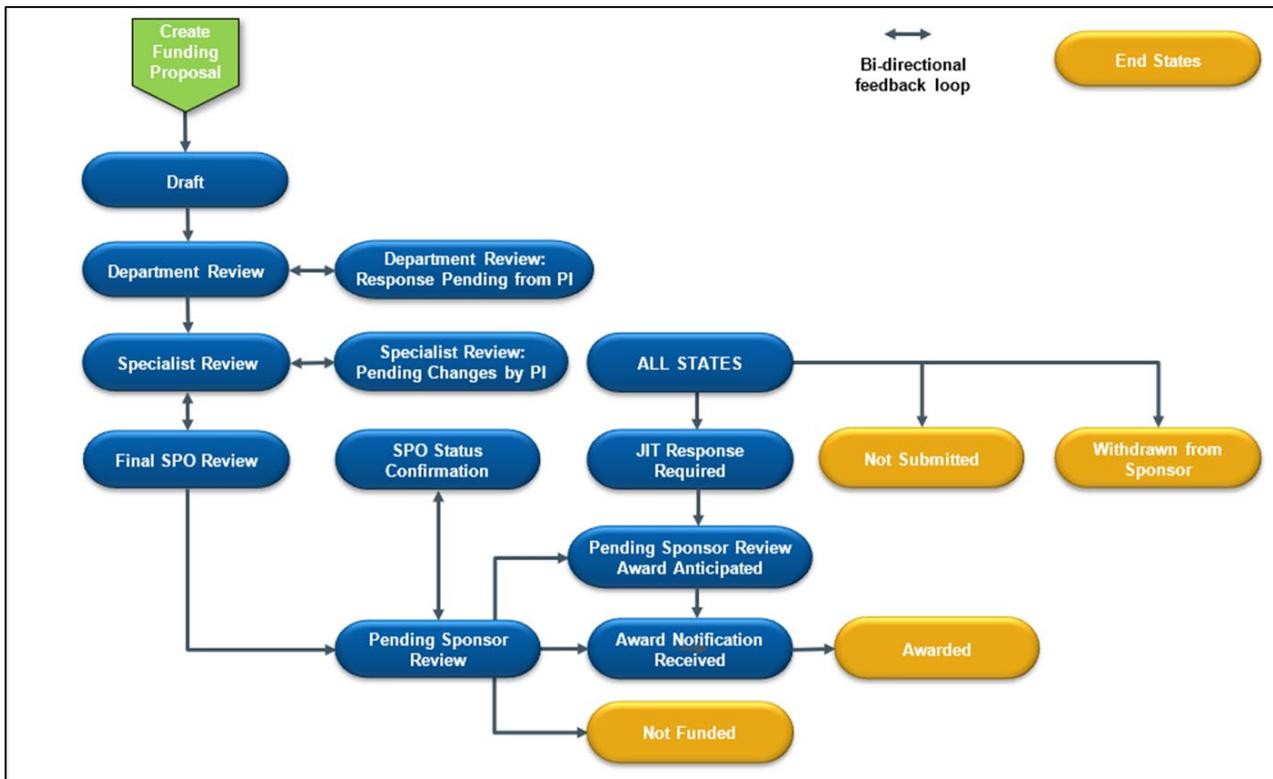
<b>6. How to Complete Award Department Edits .....</b>	<b>40</b>
6.1. Budget Reconciliation Example Using the Import Approach .....	44
6.2. Budget Reconciliation Examples Using the Non-Import Approach	47
<b>7. How to Upload Award Documents .....</b>	<b>48</b>
7.1. How to Request An Award Modification .....	49
7.2. How to Complete Department Edits For an Award Modification ...	50
<b>8. How to Manage Deliverables.....</b>	<b>51</b>
8.1. How to Add a Deliverable .....	51
8.1.2. How to Edit and Complete A Deliverable.....	52
<b>9. How to Manage Pre-Proposal .....</b>	<b>55</b>
<b>10. How to Manage Follow-On Proposal Types.....</b>	<b>55</b>
10.1. How to Create a Noncompeting Continuation Proposal from An Active Award	55
10.1.2. How to Create a Renewal Proposal.....	56
10.1.3. How To Create A Competing Revision To A Proposal .....	56
10.1.4. How Create A Resubmission Proposal.....	57
11. How to Create an Agreement from a Proposal.....	57
<b>12. Appendix.....</b>	<b>59</b>
12.1 Understanding the Workflows.....	59
12.2. System-to-System Submissions through Grants.gov Workflow..	60
12.3. Award Workflow.....	61
12.3.1. Award Modification Request and Award Modification Workflows	62
<b>13. Understanding Email Notifications .....</b>	<b>63</b>
13.1. Proposal Email Notifications .....	63
13.2. Award Email Notifications .....	64
State transition from “Draft” to “Department Edit” .....	64
13.3. Award Modification Request Email Notifications .....	65
13.3.1. Award Modification Email Notifications .....	65
13.4. Subaward Email Notifications .....	66

## 1. Navigating IBISResearch

This guide describes how the Research Community (PIs, Department Administrators, project team members, etc.) will interact with the IBISResearch system by creating and managing proposal submissions.

**Tip:** See the “Introduction to IBISResearch” reference guide in the Help Center for general information on navigation, user roles, searching, and workflow.

For reference, below is the workflow of a Proposal by State:



## 1.1. How to Access a Record

When you first [LOG IN](#) to **IBISResearch**, you will be on your Dashboard, which is the starting point for finding items and performing many basic tasks.

After logging in to the IBISResearch system, you are able to access and view records you have permission to see. You can locate or search for records on the *My Inbox* or *Grants Project Listing* pages. You can also quickly access records you have Recently Viewed on the left of the screen.

- **My Inbox page** – This page acts as your to-do list and contains records (Proposals, Awards, etc.) from the Grants and Agreements modules that require an action from you. To access a record, click on the ID or Name link.

ID	Name	Date Created	Date Modified	State	Coordinator
FP00000033	Project Champions - 01-08-20 (MVM)	1/8/2020 2:12 PM	1/8/2020 4:45 PM	Draft	Ava Lambert
FP00000034	JLV Test 2020	1/8/2020 3:21 PM	1/8/2020 3:25 PM	Draft	Ava Lambert
FP00000014	Project Champions (Nov)	11/15/2019 10:06 AM	1/6/2020 3:18 PM	Draft	Ava Lambert
FP00000030	JLV TEST 2020	1/6/2020 10:05 AM	1/6/2020 11:09 AM	Draft	Ava Lambert
FP00000011	DD Test 7	11/14/2019 3:27 PM	12/28/2019 5:03 PM	Draft	Ava Lambert
FP00000009_Con1	Demo Proposal 4 - JLV	11/21/2019 11:22 AM	12/19/2019 3:26 PM	Draft	Ava Lambert
CTA00000007	TEST - 12/17 - JLV	12/17/2019 4:40 PM	12/17/2019 4:45 PM	Pre-Submission	
MTA00000003	Agreement with Abbott	11/21/2019 9:17 AM	12/17/2019 10:49 AM	Pre-Submission	
AWD00000002	Demo Proposal 4 - JLV	11/19/2019 6:36 PM	12/16/2019 10:17 AM	Completed	Ava Lambert
SA00000003	Agreement with Abbott	12/12/2019 2:34 PM	12/12/2019 2:40 PM	Pre-Submission	
MTA00000006	OTT TEST - JLV	12/12/2019 1:02 PM	12/12/2019 1:07 PM	Pre-Submission	

- **Grants Project Listing page** – All records you have permission to see can be found on this page. To access a record click on the ID or Name link.
- **My Reviews** – Contains items assigned to you to review. These are a subset of the items in My Inbox.

**Recently Viewed** – Records you have recently accessed are quickly located from the Recently Viewed section located on the left. To access the record click on the link.

## 1.2. How to Search

Use the Filter by fields to search for a record by various information (e.g., ID, Name, State, etc.)

Click the **HELP** text icon for more information about search options. The most common searches are:

- **Search for key words** – use the wild card feature by entering a “%” sign before the key word. In the example below, the user searched for “MVM” in the Name.

ID	Name	SmartForm	State	PI	Primary Sponsor	Submission Type	Application Deadline	Specialist	Submitting Department
FP00000033	Project Champions - 01-08-20 (MVM)	[Edit]	Draft	Simms (pi)	National Institutes of Health	Funding Submission	6/5/2020	Lambert	Gastroenterology
FP00000028	Test MVM 12_18	[Edit]	Specialist Review	Simms (pi)	National Institutes of Health	Continuation		Lambert	Gastroenterology

- **Search by State** – You may also use the tabs to search by proposals in Draft, Internal Review, Sponsor Review, Awarded or Completed state.

- Sorting – You may also sort your criteria by ID, Name, State, Primary Sponsor, Submission Type, Sponsor ID, Specialist, and Submitting Department.

Proposals									
Draft		Internal Review		Sponsor Review		Awarded		Completed	
Filter by ID <input type="text" value="Enter text to search for"/> <input type="button" value="Q"/> + Add Filter <input type="button" value="X Clear All"/>									
ID	Name	SmartForm	State	PI	Primary Sponsor	Submission Type	Sponsor Award ID	Specialist	Submitting Department
FP0000009	Demo Proposal 4 - JLV	[Edit]	Awarded	Simms (pi)	National Institutes of Health	Funding Submission	AWARD12345	Lambert	Gastroenterology
1 items <span style="float: right;">page 1 of 1</span> <span style="float: right;">25 / page</span>									

## 2. How to Manage Proposal Submission

Proposal submission to the Office of Research Administration consists of creating a proposal, completing a primary budget, creating additional budgets as necessary, (cost share, subawards, etc.), managing SF424 submissions (for federal proposals being submitted through Grants.gov, called System-to-System or S2S proposals), and submitting the proposal package for Department Review.

The sections below provide step-by-step instructions on how to complete these tasks.

### 2.1 How to Create A Proposal

Creating a proposal consists of completing the Proposal SmartForm, which is a series of pages where you will answer questions about the proposal. For federal opportunities, many of the answers to these questions will populate on the SF424 form. Follow the steps below to create a proposal:

1. On the My Inbox or Grants Project Listing page, click the **Create Funding Proposal** button.
2. Complete the Proposal SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue to navigate through the rest of the SmartForm Pages.



*Tip: Click on the Help icons  throughout the SmartForms for additional information on how to answer the questions.*

#### a. General Proposal Information page:

- 1. **Type of application:** Defaults to NEW for new proposals.
- 1a. **Is the award being transferred from another institution?** This defaults to No. Answer Yes, if applicable.
- 2. **Short title of proposal:** Enter a descriptive name for the proposal (50 character maximum). The short title identifies the proposal throughout the system, such as the IBISResearch Inbox, Grants page and in reports.
- 3. **Long Title of Proposal:** If this will be an SF424 application, this title will display on the SF424 forms (255 character maximum).
- 4. **Program Director/Principal Investigator/ Project Lead/Fellow:** Enter or search for the PI's name. *Names in IBISResearch are brought in from Workday.*

*In the rare instance, that the Principal Investigator is not in the list, pick the Chairperson as the Principal Investigator. Once the faculty member is hired the individual should be present in the Workday feed and can be selected as the PI for the award. For more information, contact the Specialist listed on the Funding Proposal.*

*Note: View the University of Miami [PI Eligibility Policy](#).*

- 5. **Select the Direct Sponsor:** Enter the sponsor's name or search for key words using the wild card feature ("%"). The Direct Sponsor is the organization that is directly funding the project.
  - If the sponsor's name is not listed, type the sponsor's name in Question 5a. The Office of Research Administration will research the sponsor and update the Funding Proposal to reflect the sponsor from the pick list.

- If this will be flow through, select the prime sponsor in Question in 5 b. The prime sponsor is the original

**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:

funding sponsor.

- **6. Instrument type:** Select whether the proposal will be a Grant, Contract, Cooperative Agreement or Subaward. If unknown, you can leave blank.
- **7. Select the appropriate F&A rate type:** Select the appropriate F&A rate type. Visit the [ORA website](#) for guidance with F&A rates.
- **8. Expected start date:** Enter the expected start date of the project.

**Click Continue to move forward to the next page of the SmartForm.**

b. Personnel page.

- **1. Program Director/Principal Investigator/Project Lead/Fellow** – This field contains the name of selected PI on the prior page. Under 1b, you may upload the Biosketch. If the funding proposal is federal S2S, the biosketch will feed to the SF424 form. Do not upload Other Support unless directed to do so by the sponsor instructions.
- **2. Responsible Department** – Select the UM organizational unit responsible, which may or may not be the same as the PI's home department. Please ensure the responsible department is selected correctly.
- **3. Project Personnel** – Enter other institutional key, non-key, or other significant contributor personnel in Question 3a and enter non-institutional key personnel in Question 3b. For example, the Subaward PI is considered key personnel, but is not a University of Miami personnel. This person should be entered under non-institutional key personnel. For more information about Key Personnel and Other Significant Contributor designation, see the [NIH website](#).
- **4. Administrative Personnel** – In 4a enter the administrative contact who should be contacted for questions regarding this funding proposal and who will be notified if the proposal is awarded. In 4b, select team members that should have edit rights to this record. For example, study team members working on the budget, uploading documents, etc. Consider adding individuals from collaborating departments so they can complete their own portion of the budget. In 4c, enter any additional individuals who may need read-only access to the record. For example, this could include the Chairperson, a co-investigator, or any person you want to have view access to the record. Granting individuals from collaborating departments reader access allows them to verify the accuracy of their budget data.

c. Submission Information Page

**For a Federal Proposal**

- **1. Submission Type** – “Federal” is displayed based on the sponsor selected on the *General Proposal Information page*.
- **2. Direct Sponsor** – Displays the sponsor selected on the *General Proposal Information page*.
- **3. Will this application be submitted system-to-system?** –
  - If **yes**, then enter or search for the Package ID, Opportunity ID, CFDA number, or Competition ID under Question 4. Then click Find. Click the Help icon for search tips. After the opportunity displays, click on the

radio button to select it and click **Continue** to navigate to the next page of the SmartForm. Confirm you have selected the correct set of forms for your Funding Opportunity.

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:

Package Id	Opp Id	Opportunity Title	Opening Date	Closing Date	CFDA	Comp ID	Instructions
● PKG00037235	PA-DD-R01	G.g. Training and NIH Ext-UAT FOA (R01)	8/16/2017	8/16/2020	93.865	FORMS-E	

- If **no**, then enter the funding opportunity identifiers (Package ID, Opportunity ID, and/or Opportunity title) under Question 4a, 4b and 4c. If the opportunity is funded by the National Institutes of Health, select the grant type under Question 5. Any general submission documents can be attached under Question 6.

### For Federal Program Projects and Center Grants

Program Projects, Center Grants or other Complex Projects cannot be submitted to NIH electronically through IBISResearch. Please indicate the Funding Proposal is NOT an S2S submission when completing the Submission Information SmartForm and prepare the ASSIST or Grants.gov submission materials based upon Sponsor guidelines.

### For Non-Federal Proposals

- **1. Submission Type** – The type displayed is based on the sponsor selected on General Properties Information page.
- **2. Direct Sponsor** – Displays the sponsor elected on General Properties Information page.
- **3. Add any general submission documents** – Click the Add button to upload submission documents. You must upload the funding opportunity announcement or guidelines and a complete copy of the proposal being submitted to the sponsor.

d. Funding Opportunity Announcement page (displayed for Federal Proposals Only).

This page contains a list of required and optional SF424 Forms and identifying opportunity information from the prior page and indicates if the forms are supported by the system.



*If any of the forms are not supported, the proposal cannot be submitted system-to-system. In this rare case, return to the prior page and update Question 3 (“Will this be submitted system-to-system”) to “No”.*

e. Budget Periods and Key Dates page

- **1. Application submission deadline** – The date entered here is used to calculate the Internal Submission Deadline”.



*Note: View the University of Miami [Application Deadline Policy](#).*



*Note: For flow-through, enter the date the application submission is due to the Direct Sponsor.*

- **2. Date response expected from sponsor.** Estimate a date you expect to hear back. This will assist the research community to manage their pending portfolio.
- **3. Date project starts** – Displays the start date entered on the General Proposal Information page.
- **4. Date project ends** – End date displayed is based on the end date of the last project period.
- **5. Project length (years)** – Number of years displayed based on the budget periods.

- **6. Modular budget** – (Applicable only to NIH) Select to indicate whether sponsor budgets for this proposal should be modular. If you select Yes, the system adds any offsets needed to round up to the next modules increment in each budget period.



*Note: The modular grant budget uses specific modules (or increments) in which direct costs are requested. Rather than submitting a detailed line-item budget, funds are requested in “modules” of \$25,000 up to \$250,000 per year in direct costs. When entering a modular budget, you still enter the detailed personnel costs and the summary level general cost category amounts in order for the F&A to calculate correctly and for effort reporting. The system then updates the direct cost calculations to \$25,000 modular increments up to \$250,000. This detailed budget will not go to the sponsor. UM still needs the detailed budget.*

- **7. Budget Periods** – The system automatically creates 5 periods that are 12 months each. Use the **Add Period**, **Remove Period**, and/or **Update Periods** button to modify the periods, if necessary.

7.

**Budget periods:**

Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12	1/1/2021	12/31/2021
2	Period 2	12	1/1/2022	12/31/2022
3	Period 3	12	1/1/2023	12/31/2023
4	Period 4	12	1/1/2024	12/31/2024



*Note: In the Update Periods window, click the “Use Advanced Editing” checkbox to enter specific period dates (as opposed to a number of months).*

f. IBIS Proposal Information

- **1. What is the primary purpose of this project?** – Select from the list the primary purpose of the project.
- **2. Does this project/activity involve any of the following (check all that apply)** – Select from the list all that apply to the project.
- **3. In relation to this project/activity (check all that apply)** – Select from the list all that apply to the project.
- **4. Does this project include any foreign collaboration including, but not limited to persons, entities and/or travel?** – Reply Yes or No to this question. Refer to [Foreign Influence on US Research](#) page for more details.
- **5. Will this project require you to provide deliverables or materials that would be considered proprietary or restricted (not available to the general public) and/or will you be sending deliverable or materials to a foreign country?** – Answer Yes or No to this question. Refer to the [Export Control Compliance website](#) for more information.
- **6. Will this project involve any of the following: research activities in International Waters; create dual use items for military/commercial applications; and/or require the use of select agents and/or toxins identified by the U.S. Government’s DURC policy?** – Answer Yes or No to this question. Refer to the [Export Control Compliance website](#) for more information

g. Compliance Review

Select Yes or No to the questions listed below. In some cases, answering Yes will prompt additional questions to display.

## Compliance Review

1. \* Human subjects involved in this project:

Yes  No [Clear](#)

2. \* Laboratory animals involved in this project:

Yes  No [Clear](#)

a. \* IACUC review status of this research: ?

Approved  
 Pending  
 Not Yet Submitted  
[Clear](#)

3. \* Recombinant DNA involved in this project:

Yes  No [Clear](#)

4. \* Hazardous materials involved in this project:

Yes  No [Clear](#)

5. \* Radioactive materials involved in this project:

Yes  No [Clear](#)

6. \* Human embryonic stem cells involved in this project: ?

Yes  No [Clear](#)

- 1. Human Subjects involved in this project
- 2. Laboratory animals involved in this project
- 3. Recombinant DNA involved in this project
- 4. Hazardous materials involved in this project
- 5. Radioactive materials involved in this project
- 6. Human embryonic stem cells involved in this project

h. Additional Proposal Information

- 1. **Will there be program income?** – UM requires that you answer Yes or No to whether this project will incur program income. Program income is gross income generated directly from a grant-supported activity. If Yes is selected, please provide program income details.
- 2. Select resources required for this proposal – Select as applicable, any resources needed for the project. If any resources are selected, an attachment explaining the resource requirements must be attached.

i. Completion Instructions

This page contains guidance on what to do after you have completed this SmartForm, including how to validate all required questions when completed. Review the instructions and click Finish when complete.

**Validate** Compare

You Are Here: Training Test (MVV) - 01/15/20...

**Editing: FP00000043**

**Completion Instructions:**

**Next Steps**

1. Click Validate to verify that all required questions in this proposal are complete. Correct any errors or omissions, and refresh the error report.
2. When no errors are reported, click Finish.
3. From the proposal workspace, complete the primary budget and any other budgets you add for this project.
4. Generate the SF424 and supply any required information not auto-populated from the proposal. (Upload any SF424 attachments to the SF424 directly.)
5. Start the institutional approval cycle by submitting the proposal for department review.

You are returned to the Proposal Workspace. A primary budget will be automatically created in the budget tab with the name of the primary sponsor.

**!** *Important: Clicking Finish moves your proposal into the "Draft" state, but does not submit your proposal to ORA. This allows for additional edits and/or actions to occur prior to the proposal submission (e.g., completing the budget, adding Ancillary Review, etc.)*

Dashboard Agreements Grants SF424 Center

Funding Proposal Complex Projects Awards Reports Help Center

**Draft** Project Champions - 01-08-20 (MVM) FP00000033 Funding Proposal

**Next Steps**

- Edit Funding Proposal
- Printer Version
- Create Document Review
- Team Disclosure Status
- Submit For Department Review
- Withdraw Proposal
- Manage Ancillary Reviews
- Manage Relationships
- Manage Tone

**Proposal Information**

PD/PI:	Rebecca Simms (pi)	<b>Budget Information</b>	Starting Date:	1/1/2021
Department:	Gastroenterology		Number of Periods:	4
Specialist:	Ava Lambert		Total Direct:	
Sponsors:	National Institutes of Health		Total Indirect:	
Internal Submission Deadline:	5/29/2020		Total:	
SF424 Link:	SF-42400000013			

**Working Budgets**

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
National Institutes of Health	[Edit]	1/8/2020 3:35 PM	Draft	Federal		

## 2.2 How to Complete a Budget

After the proposal has been created, the system automatically creates a budget record with the name of the primary sponsor. The next step in the proposal submission process is to access the *Budget Workspace* and complete the *Budget SmartForm*. You may create additional budgets, as necessary.

**Note:** Consider creating additional budgets for the following scenarios:

- Multiple Departments or Colleges

- *Multiple PIs/Investigators*
- *Cost Share*

Follow the steps below to complete a budget:

1. Navigate to the Proposal Workspace. This can be done by accessing the proposal from the My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the *Proposal Workspace*.
2. On the *Proposal Workspace*, under the *Budgets* tab, click the budget name to display the *Budget Workspace*.

The screenshot shows the Grants User Guide interface for the Budget Workspace. The top navigation bar includes tabs for Dashboard, Agreements, Grants, and SF424 Center. Below the navigation bar, there are sections for Draft, Next Steps, Proposal Information, Budget Information, and Working Budgets. A red arrow points to the 'Budgets' tab in the Working Budgets section.

Proposal Information		Budget Information	
PDI/PI:	Rebecca Simms (pi)	Starting Date:	1/1/2021
Department:	Gastroenterology	Number of Periods:	4
Specialist:	Ava Lambert	Total Direct:	
Sponsors:	National Institutes of Health	Total Indirect:	
Internal Submission Deadline:	5/29/2020	Total:	
SF424 Link:	SF-4240000013		

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
National Institutes of Health	[Edit]	1/8/2020 3:35 PM	Draft	Federal		

3. On the Budget Workspace, click the Edit Budget button.
4. Complete the *Budget SmartForm* pages. The subsections below walk you through each of the pages. When finished with each page, click **Continue** to navigate through the rest of the SmartForm pages.



*Tip: Click on the Help icons  throughout the SmartForms for additional information on how to answer the questions.*

#### a. General Budget Information page

- **1. Budget Title** – Modify the title as necessary to be more descriptive of the budget's contents.
- **2. Principal Investigator for this Project** – This drop-down list contains only the names of those identified as a PI or Co-PI on the proposal. Update as necessary.
- **3. Does this budget use the standard F&A cost base and rates?** The system determines the standard F&A (indirect) cost base and rates from set up selection, sponsor, and budget period dates.
- If Yes, the Standard F&A cost base and rates display in the table.

3. \* Does this budget use the standard F&A cost base and rates? ?

Yes  No [Clear](#)

Standard F&A cost base and rates

	Period	1	2	3	4
F&A Cost Base	Start:	1/1/2021	1/1/2022	1/1/2023	1/1/2024
	End:	12/31/2021	12/31/2022	12/31/2023	12/31/2024
MTDC	Rate:	53.5%	53.5%	53.5%	53.5%

- If No, a second Non-Standard F&A Cost base and rates table displays to specify a different cost rate (if appropriate) and different cost rates. When entering rates, enter the value in the first field and use the arrow to duplicate the value in all periods.

The **F&A Cost Base** options are:

- **TDC** – Total Direct Costs
- **MTDC** – Modified Total Direct Costs
- **S&W** – Salary and Wages (excludes benefits)
- **S&B** – Salary and Benefits
- **FEL** – Fellowship
- **NIH Training Grant** – Training Grant

Non-standard F&A cost base and rates

	Period	1	2	3	4
F&A Cost Base	Start:	1/1/2021	1/1/2022	1/1/2023	1/1/2024
	End:	12/31/2021	12/31/2022	12/31/2023	12/31/2024
MTDC [Not Selected] NONE TDC MTDC S&W S&B S&S FEL NIH Training Grant	Rate:	53.5%	53.5%	53.5%	53.5%
					<a href="#">Clear</a>

4. Include in consolidated budgets? ?

- **4. Include in consolidated budgets?** This should be answered as a Yes for all sponsor budgets. Only select No for cost share budgets or budgets created in error.

**Note:** Selecting Yes adds this budget's totals to the figures on the Proposal's Financial tab. The totals of all budgets (except cost share budgets) will roll up into one total per cost type on the SF424 budget.

- **5. Salary cap** – This field may be automatically populated with the sponsor's salary cap. Update as necessary.
- **6. Apply inflation rate to personnel costs?** Defaults to Yes. Update as necessary.

- **7. Enter inflation rates** – Defaults to 3%. Update as necessary
- b. Personnel Cost Definition page – The detailed budget tables consist of two pages. This first page, Personnel Cost Definition, is for entering costs. The second page, Personnel Costs, is for entering amounts.
  - **1. Personnel Costs** – Complete the list of personnel by completing one of the following tasks:
    - Click the **Import Proposal Personnel** button to import the PI and all other institutional personnel listed on the proposal at one time. *This action can only be completed once.*
    - Click the **Go to additional personnel on the funding proposal** link to jump to the *Personnel* page of the Proposal SmartForm to add personnel.

When complete, navigate back to the Personnel Costs page of the Budget SmartForm and click the **Import Proposal Personnel** button.

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

**Personnel Cost Definition** ?

[Go to additional personnel on funding proposal](#)

1. **Import Proposal Personnel**

Personnel costs:

Staff Member	Appointment	Role	Is Key
There are no items to display			

 **Important:** The **annualized base salary** must be entered for personnel on the project. For example, if a person makes \$90,000 for 9-month period, the annualized base salary ( $90,000/9 \times 12 = \$120,000$ ) The salary entered should be \$120,000.

Use the **Staff To Be Determined** value if the position has been funded, but not staffed.

You can edit personnel costs by clicking **Update**

## Edit Personnel Cost

**1. Staff member:**

**2. Role:**

PD/PI

**3. \* Appointment:**

**4. Base salary applied: ?**

**5. Apply inflation rate:**

Yes  No [Clear](#)

When complete, each row of the table reflects the Appointment duration, Role and whether the individual is a key contributor. The system maps all personnel marked as “key” to section A of the Research and Related Budget in the SF424 forms, and all personnel marked as “non-key” map to section B of the Research and Related Budget. See [NIH FAQs](#) for clarification of Senior Key Personnel, Non-Key Personnel, Significant Contributor and Consultant.

### Personnel Cost Definition ?

[Go to additional personnel on funding proposal](#)

**1. Personnel costs:**

+ Add					
	Staff Member	Appointment	Role	Is Key	
	Rebecca Simms (pi)	9 months	PD/PI	yes	
	Charles Bauer	12 months	Technician	no	
	Staff Member To Be Determined	12 months	Technician	no	

- a. Personnel Costs page – This page consists of a *Budget Summary* table and a Personnel Costs table that contains a row for each individual listed on the prior page, which includes their salary benefits, and total compensation.

## Personnel Costs

### Budget Summary

	Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022	Budget Totals
<b>Personnel Total:</b>	\$0.00	\$0.00	\$0.00
<b>Direct Total:</b>	\$0.00	\$0.00	\$0.00
<b>Indirect Total:</b>	\$0.00	\$0.00	\$0.00
<b>Grand Total:</b>	\$0.00	\$0.00	\$0.00

### Personnel Costs

<input type="button" value="Show Effort"/>	Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022
<b>Person:</b> Rebecca Simms (pi) <b>Role:</b> PD/PI	<b>Salary:</b> \$0.00 <b>Benefits:</b> \$0.00 <b>Total:</b> \$0.00	\$0.00 \$0.00 \$0.00
<b>Person:</b> Alex Adesina <b>Role:</b> Faculty	<b>Salary:</b> \$0.00 <b>Benefits:</b> \$0.00 <b>Total:</b> \$0.00	\$0.00 \$0.00 \$0.00
<b>Person:</b> Staff Member To Be Determined <b>Role:</b> Technician	<b>Salary:</b> \$0.00 <b>Benefits:</b> \$0.00 <b>Total:</b> \$0.00	\$0.00 \$0.00 \$0.00
<b>Salary Cost Total:</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Benefits Cost Total:</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Personnel Cost Total:</b>	<b>\$0.00</b>	<b>\$0.00</b>

- Click the **Show Effort** button to display additional fields used to indicate the percentage of effort each individual will contribute on the project and the percent of the base salary required.

### Personnel Costs

<input type="button" value="Show Totals"/>	Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022	Period 3 1/1/2023 12/31/2023	Period 4 1/1/2024 12/31/2024
<b>Person:</b> Rebecca Simms (pi) <b>Role:</b> PD/PI	<b>Effort:</b> 10 % <b>Sal Req:</b> 10 % <b>FB Rate:</b> 27.2 % <b>Base:</b> \$120,000.00	10 % 10 % 27.2 % \$123,600.00	10 % 10 % 27.2 % \$127,308.00	10 % 10 % 27.2 % \$131,127.00
<b>Person:</b> Charles Bauer <b>Role:</b> Technician	<b>Effort:</b> 85 % <b>Sal Req:</b> 85 % <b>FB Rate:</b> 27.2 % <b>Base:</b> \$50,000.00	85 % 85 % 27.2 % \$51,500.00	85 % 85 % 27.2 % \$53,045.00	85 % 85 % 27.2 % \$54,636.00
<b>Person:</b> Staff Member To Be Determined <b>Role:</b> Technician	<b>Effort:</b> 100 % <b>Sal Req:</b> 100 % <b>FB Rate:</b> 27.2 % <b>Base:</b> \$50,000.00	100 % 100 % 27.2 % \$51,500.00	100 % 100 % 27.2 % \$53,045.00	100 % 100 % 27.2 % \$54,636.00
<b>Salary Cost Total:</b>	<b>\$54,500.00</b>	<b>\$56,135.00</b>	<b>\$57,819.00</b>	<b>\$59,554.00</b>
<b>Benefits Cost Total:</b>	<b>\$14,824.00</b>	<b>\$15,269.00</b>	<b>\$15,727.00</b>	<b>\$16,199.00</b>
<b>Personnel Cost Total:</b>	<b>\$69,324.00</b>	<b>\$71,404.00</b>	<b>\$73,546.00</b>	<b>\$75,753.00</b>

- Enter the applicable Effort and Sal Req percentages and modify the Fringe Benefit Rate (FB Rate) to the [University of Miami rates](#). If you expect these values to remain consistent across all periods, click the small arrows to copy the values to the subsequent periods.
- Repeat this process for all salaried personnel. When complete, click the Save button to update the totals fields in both the Budget and Personnel Costs tables.

## Personnel Costs

### Budget Summary

	Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022	Period 3 1/1/2023 12/31/2023	Period 4 1/1/2024 12/31/2024	Budget Totals
<b>Personnel Total:</b>	\$132,924.00	\$136,912.00	\$141,019.00	\$145,250.00	\$556,105.00
<b>Direct Total:</b>	\$270,924.00	\$215,000.00	\$215,000.00	\$215,000.00	\$915,924.00
<b>Indirect Total:</b>	\$91,444.00	\$88,275.00	\$88,275.00	\$88,275.00	\$356,269.00
<b>Grand Total:</b>	\$362,368.00	\$303,275.00	\$303,275.00	\$303,275.00	\$1,272,193.00

### Personnel Costs

<input type="button" value="Show Effort"/>		Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022	Period 3 1/1/2023 12/31/2023	Period 4 1/1/2024 12/31/2024
<b>Person:</b> Rebecca Simms (pi) <b>Role:</b> PD/PI	<b>Salary:</b>	\$12,000.00	\$12,360.00	\$12,731.00	\$13,113.00
	<b>Benefits:</b>	\$3,264.00	\$3,362.00	\$3,463.00	\$3,567.00
	<b>Total:</b>	\$15,264.00	\$15,722.00	\$16,194.00	\$16,680.00
<b>Person:</b> Charles Bauer <b>Role:</b> Technician	<b>Salary:</b>	\$42,500.00	\$43,775.00	\$45,088.00	\$46,441.00
	<b>Benefits:</b>	\$11,560.00	\$11,907.00	\$12,264.00	\$12,632.00
	<b>Total:</b>	\$54,060.00	\$55,682.00	\$57,352.00	\$59,073.00
<b>Person:</b> Staff Member To Be Determined <b>Role:</b> Technician	<b>Salary:</b>	\$50,000.00	\$51,500.00	\$53,045.00	\$54,636.00
	<b>Benefits:</b>	\$13,600.00	\$14,008.00	\$14,428.00	\$14,861.00
	<b>Total:</b>	\$63,600.00	\$65,508.00	\$67,473.00	\$69,497.00
<b>Salary Cost Total:</b>		<b>\$104,500.00</b>	<b>\$107,635.00</b>	<b>\$110,864.00</b>	<b>\$114,190.00</b>
<b>Benefits Cost Total:</b>		<b>\$28,424.00</b>	<b>\$29,277.00</b>	<b>\$30,155.00</b>	<b>\$31,060.00</b>
<b>Personnel Cost Total:</b>		<b>\$132,924.00</b>	<b>\$136,912.00</b>	<b>\$141,019.00</b>	<b>\$145,250.00</b>

### General notes about the Personnel Costs Table:

- Use the Show Effort button to toggle between the percentage and the dollar amount views.
- The Base salary added to personnel should be their **annualized base salary**.
- If the Base salary is greater than the salary cap amount, the calucations will use the salary cap.

d. **General Costs Definition page** – On this page you will enter line items for cost categories no entered in the preceding buget tables. Similar to the *Personnel Costs* pages, the General Cost tables consist of two pages. The first page, *General Cost Definition*, is for entering costs. The second page, *General Costs* is for entering the amounts.

- **1. General Costs** – Click the **Add** button to add a new cost type and repeat as necessary.

## General Cost Definition

### 1. General costs:

<input type="button" value="+ Add"/>		
Cost Type	Description	Cost
There are no items to display		

In the Add General Costs window, answer the following questions:

- **General cost type** – Make a selection from the drop-down list.
- **Cost** – Enter the dollar amount per period.
- **Description** – Enter additional information about the cost type.
- **Apply Inflation?** Answer Yes or No. By answering No, the amounts will be editable on the next page. (For example, if you are purchasing a microscope in Year 1, you should mark No to Apply Inflation. This will allow you to edit the other budget periods to “0” if microscopes will not be purchased in future years.
- **Include in Indirect Cost Rate** – Answer Yes or No. This question only displays for certain cost types.

## Add General Cost

## 1. \* General cost type:

## 2. Cost:

## 3. Description:

## 4. Apply inflation?

 Yes  No [Clear](#)

## 5. Include in indirect calculations?

 Yes  No [Clear](#)

When complete, click **OK** or **OK and Add Another**.

1. *General Costs page* – This page consists of a Budget Summary table and a General Costs table that contains a row for each cost type listed on the prior page. Notice that the costs with inflation factored in are automatically promoted across all budget periods.

Enter any notes about the general costs in question 1 and click **Save**.

If you have any supporting documents for this budget, you will have an opportunity to attach them to the last page of the Budget SmartForm.



*Note: The general cost collar amounts shown below are editable because the “Apply Inflation?” question in the Add General Cost window was answered as No.*

**Budget Summary**

	Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022	Period 3 1/1/2023 12/31/2023	Period 4 1/1/2024 12/31/2024	Budget Totals
<b>General Total:</b>	\$88,000.00	\$13,090.00	\$13,183.00	\$13,278.00	\$127,551.00
<b>Direct Total:</b>	\$270,924.00	\$215,000.00	\$215,000.00	\$215,000.00	\$915,924.00
<b>Indirect Total:</b>	\$91,444.00	\$88,275.00	\$88,275.00	\$88,275.00	\$356,269.00
<b>Grand Total:</b>	\$362,368.00	\$303,275.00	\$303,275.00	\$303,275.00	\$1,272,193.00

**General Costs**

	Period 1 1/1/2021 12/31/2021	Period 2 1/1/2022 12/31/2022	Period 3 1/1/2023 12/31/2023	Period 4 1/1/2024 12/31/2024
<input type="button" value="Save"/>				
<b>Cost Type:</b> Equipment <b>Description:</b> High Volume Centrifuge	\$75,000.00	\$75,000.00	\$75,000.00	\$75,000.00
<b>Cost Type:</b> Materials and Supplies <b>Description:</b>	\$10,000.00	\$10,000.00	\$10,000.00	\$10,000.00
<b>Cost Type:</b> Travel: Domestic <b>Description:</b>	\$3,000.00	\$3,090.00	\$3,183.00	\$3,278.00
<b>General Cost Total:</b>	<b>\$88,000.00</b>	<b>\$13,090.00</b>	<b>\$13,183.00</b>	<b>\$13,278.00</b>

 You must answer **No** to **Apply Inflation?** If you want to edit the general cost dollar amounts.

2. *F&A Cost Overrides page* – The page reports the F&A cost base standards being used to calculate the F&A amount for this budget and if applicable, any overrides. Only Specialist in the central office can change these settings.

 **F&A Cost Overrides** 

1. **F&A cost base:**  
MTDC
2. \* **Personnel salary:**  
No override
3. \* **Personnel benefits:**  
No override
4. \* **General cost:**  
No override

3. *Attachments page* – Attach any supporting budget documentation that may be useful for internal review processes in either, PDF, Word or Excel formats. These attachments will not promote to the SF424. When complete, click the Finish button. You are returned to the *Budget Workspace*.
4. On the Budget Workspace, the Financials tab reflects the categories and totals specified on the budget tables. Click the **Edit Budget** button to make any additional updates.

**Draft** National Institutes of Health BU00000066 Project Budget

**Next Steps**  
 Edit Budget  
 Printer Version  
 Create Subaward

**Sponsor:** National Institutes of Health **Grand Total:** \$1,272,193  
**PI:** Rebecca Simms (p) **Budget Type:** Federal  
**Funding Proposal:** Project Champions - 01-08-20 (MVM) **Subaward Count:** 1  
**Cost Share Budget:** Cost Sharing for National Institutes of Health

Financials Subaward Documents Snapshots History

Current All-Period Totals	Period 1	Period 2	Period 3	Period 4	Cumulative
<b>Personnel:</b>	<b>\$132,924</b>	<b>\$136,912</b>	<b>\$141,019</b>	<b>\$145,250</b>	<b>\$556,105</b>
Salaries:	\$104,500	\$107,635	\$110,864	\$114,190	\$437,189
Benefits:	\$28,424	\$29,277	\$30,155	\$31,060	\$118,916
<b>General:</b>	<b>\$88,000</b>	<b>\$13,090</b>	<b>\$13,183</b>	<b>\$13,278</b>	<b>\$127,551</b>
Travel:	\$0	\$0	\$0	\$0	\$0
Animal Costs:	\$0	\$0	\$0	\$0	\$0
Animal Ordering:	\$0	\$0	\$0	\$0	\$0
Animal Maintenance:	\$0	\$0	\$0	\$0	\$0
Trainee:	\$0	\$0	\$0	\$0	\$0
Patient Care:	\$0	\$0	\$0	\$0	\$0
Inpatient:	\$0	\$0	\$0	\$0	\$0

### 2.3 How to Create An Additional Budget

Additional budgets may need to be created for the proposal submission. Consider creating additional budgets for the following scenarios.

- Multiple Departments or Colleges
- Multiple PIs/Investigators
- Cost Share

Follow the steps below to create an additional budget:

1. Navigate to the Proposal Workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.
2. On the Proposal Workspace, click the **Create Additional Budget** activity button.
3. In the Create Additional Budget window, enter the Budget title and the associated PI Name and click OK.
4. On the Budget Workspace, complete the pages, as necessary. See “How to Complete a Budget” section above for additional information.

### 2.4. How to Create A Cost Share Budget

Cost share budgets are necessary to account for funds when sharing a portion of the research project’s cost. Cost share budgets can only be created after the primary budget associated with the proposal has been created.

Follow the steps below to create a cost share budget:

1. Navigate to the Proposal Workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.
2. On the Proposal Workspace, under the Budgets tab, click the primary budget name to display the Budget Workspace.

Dashboard Agreements Grants SF424 Center

Funding Proposal Complex Projects Awards Reports Help Center

**Draft** Project Champions - 01-08-20 (MVM) FP00000033 Funding Proposal

**Next Steps**  
 Edit Funding Proposal  
 Printer Version  
 Create Document Review  
 Team Disclosure Status  
 Submit For Department Review  
 Withdraw Proposal  
 Manage Ancillary Reviews  
 Manage Relationships  
 Manage Tags

**Proposal Information**  
 PDI/PI: Rebecca Simms (p)  
 Department: Gastroenterology  
 Specialist: Ava Lambert  
 Sponsors: National Institutes of Health  
 Internal Submission Deadline: 5/29/2020  
 SF424 Link: SF-4240000013

**Budget Information**  
 Starting Date: 1/1/2021  
 Number of Periods: 4  
 Total Direct:  
 Total Indirect:  
 Total:

Budgets SF424 Summary History Reviewers Attachments Financials Reviewer Notes Related Projects Change Log

**Working Budgets**

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
National Institutes of Health	[Edit]	1/8/2020 3:35 PM	Draft	Federal		

3. On the Budget Workspace, click the **Create Cost Share** button.
4. Complete the Cost Share SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue. To navigate through the rest of the SmartForm pages.



*Tip: Click on the Help icons  throughout the SmartForms for additional information on how to answer the questions.*

## 2.5 How to Create a Subaward Budget

Subaward budgets are necessary to account for funds when contracting an external institution for certain services (scope of work) as part of the research project. Subaward budgets can only be created after the primary budget associated with the proposal has been created.

Follow the steps below to create a Subaward budget:

- Navigate to the Proposal Workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.
- On the Proposal Workspace, under the Budgets tab, click the primary budget name to display the Budget Workspace.

- On the Budget Workspace, click the **Create Subaward** button. You can create an unlimited number of subawards, if needed, by clicking **Create Subaward**.
- Complete the Subaward SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue to navigate through the rest of the SmartForm pages.



*Tip: Click on the Help icons  throughout the SmartForms for additional information on how to answer the questions.*

### a. Subaward Budget Information page

- **1. Title** – Enter a descriptive name for the buget.
- **2. Organization** – Enter the subawardee’s name or search for key words using the wild card feature (“%”). If the subawardee name is not listed select TBD.
- **3. Principal Investigator** – This field automatically populates with the primary budget’s PI.
- **4. Subawardee PI** – Enter the Subaward’s PI’s information.
- **5. Subaward Budget Detail Level** – Select how to capture budget data for this subaward.
  - **Per Period Direct and Indirect Totals** – All costs are captured in a single budget table as per period direct and indirect costs.
  - **SF424 Subaward Import** – Allows you to upload the suawardee’s budget totals from a completed R&R subaward Budget PDF Form.

 **Note:**

- Select this option when submitting your proposal system to system (IBISResearch to Grants.gov).
  - The PDF form must be opened with Adobe Acrobat (not a web browser) to edit it
  - The period of period dates entered in the Subaward R&R Budget PDF form must match the budget periods of the primary budget.
- **6. Include in the consolidated budget?** – Select Yes or No on whether to include the subaward totals in the consolidated budget. Only select “No” for budgets created in error.
  - **7. Subaward indirect contribution limit** – For budgets using the MTDC cost base standard, the system automatically includes the first \$25,000 of subaward budgets in the cost base for calculating indirect costs for the primary budget. Update as necessary.

 Note: This question only displays if MTDC was selected as the cost base standard in the primary budget.

b. All Personnel page

- **1. Subaward Key Personnel, Graduate Students, Post Grants, etc.** – Click the Add button to add personnel identified who will be working on the project.

c. Per Period Cost Totals page (displayed only if this option was selected on the first page).

Enter Direct and Indirect costs as necessary and use arrows to promote the same values to the subsequent periods.

Per Period Cost Totals

Total Direct:					\$140,000	
Total Indirect:					\$60,000	
Total Project:					\$200,000	
	Period Start:	1/1/2021 12/31/2021	1/1/2022 12/31/2022	1/1/2023 12/31/2023	1/1/2024 12/31/2024	Total
Cost Totals						
Direct:		\$35,000.00	\$35,000.00	\$35,000.00	\$35,000.00	\$140,000
Indirect:		\$15,000.00	\$15,000.00	\$15,000.00	\$15,000.00	\$60,000
Grand Total:		\$50,000.00	\$50,000.00	\$50,000.00	\$50,000.00	\$200,000

The total at the the top of the table will update as data is entered. It is optional to enter budget notes in Question 1.

- d. SF424 Subaward Import page (displayed only if this option was selected on the first page). The editable PDF is available on the SF424 Workspace within the system or on the Grants.gov website.

 The budget perios entered on this PDF form must match the budget periods on the primary budget.

- To import, select your SF424 Subaward and click Save. The totals from the form will be loaded in the system.

### SF424 Subaward Import

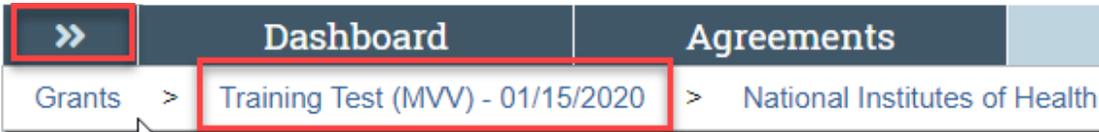
- To import, select your SF424 Subaward PDF click Save. The totals from the form will be loaded in the system.

Choose File

e. Attachments page

- **1. Attachments** – Click the **Add** button to uploaed any supporting documents

When complete, click the Finish button. You re returned to the *Subaward Workspace*. Use the breadcrumbs to navigate back to the primary *Budget Workspace*.



For future reference subaward budgets are displayed under the Subaward tab of the *Budget Workspace*.

**National Institutes of Health** BU00000066 **Project Budget**

<b>Sponsor:</b>	National Institutes of Health	<b>Grand Total:</b>	\$1,111,125
<b>PI:</b>	Rebecca Simms (pi)	<b>Budget Type:</b>	Federal
<b>Funding Proposal:</b>	Project Champions - 01-08-20 (MVM)	<b>Subaward Count:</b>	1
		<b>Cost Share Budget:</b>	Cost Sharing for National Institutes of Health

Financials **Subaward** Documents Snapshots History

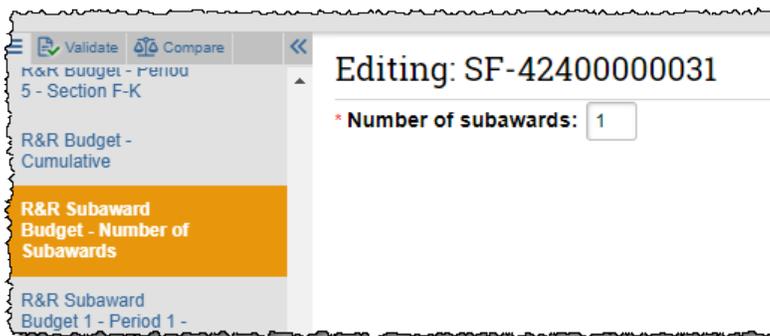
**Subaward**

ID	Name	SmartForm	Date Created	Date Modified	State	Include in Totals	Total
BU00000067	Beach Blood Products	[Edit]	1/8/2020 3:00 PM	1/15/2020 7:59 AM	Draft	yes	\$0

### 2.5.1. Using the Import Subaward Activity

If the subaward budget is being submitted system-to-system, the required Subaward R&R Budget form from Grants.gov form must be uploaded. Typically, users will upload the completed Subaward budget PDF form within the Subaward Budget SmartForm. However, if the data was manually entered on the Subaward Budget SmartForm, Grants.gov will still require you to upload this form as part of the SF424 submission. The **Import Subaward** activity can be used to accomplish this task after the SF424 has been created.

1. Once the SF424 is ready to be generated, click the **Create-Update SF424** activity on the *Proposal Workspace*.
2. On the **Create-Update SF424** window, select the applicable forms, including the R&R Subaward Budget form, and click **OK**. The system generated the SF424 application.
3. On the *Proposal Workspace*, click the **SF424 Summary** tab. Click the **SF424 link** to access the *SF424 Workspace*.
4. On the *SF424 Workspace*, click the **Edit Grant Application** button.
5. On the *SF424 SmartForm*, update the forms as necessary. On the R&R Subaward Budget – Number of Subawards form, enter the number of Subawards. You do not need to complete the Subaward Budget form pages, as this is what will be uploaded using the Import Subaward activity.



6. On the *SF424 Workspace*, click the **Import Subaward** activity.
7. In the *Import Subaward* window, select a subaward for Question 1. and upload the completed Subaward R&R Budget PDF form for Question 2. Click **OK**.

 **Important:** The period dates entered in the Subaward R&R Budget PDF form must match the budget periods of the primary budget.

8. When returned to the SF424 Workspace, click the **Validate Submission** activity and complete the remaining steps to submit the SF424 application.

## 2.6. How to Manage SF424 Submission for Federal Proposal

If you selected to submit your proposal by system-to-system on the Submission Information page of the Proposal SmartForm, the system will create the applicable SF424 forms automatically and populate them with data from the Proposal and Budget SmartForms. This functionality also allows you to quickly verify compliance with sponsor requirements.

**Note:** For additional guidance on specific SF424 forms, please reference the [“General Application Guide for NIH and other PHS Agencies”](#) or the SF424 Instructions Reference Guide.

Follow the steps below to create the SF424:

1. On the *Proposal Workspace*, click the **Create-Update SF424** activity.
2. In the *Create-Update SF424* window, select the forms you want to include in the submission and click **OK**.

 **Important:**

- *The applicable optional forms must be selected, specifically the budget forms should be selected for all applications that include a budget.*
- *If this is the first time this activity is being executed, click **OK** to create the SF424 application. If this is not the first time this activity is being executed, please be aware that selecting **OK** will override any manual changes made in the SF424 form to previously mapped data.*
- *You have the option to select only the form that needs to be updated.*

**Create-Update SF424**

**ⓘ WARNING:** Selecting "OK" below will **override** any manual changes previously made directly in an already created SF424 form. Do not use this activity if you are making a correction requested by a specialist.

If this is the first time this activity is being executed, select "OK" and this activity will create your SF424 application.

If this is not the first time this activity is being executed, selecting "OK" will override any manual changes made in the SF424 form.

Select "Cancel" if you do not wish to execute this activity.

Action	Status
<input checked="" type="checkbox"/> Research & Related Senior/Key Person Profile (Expanded) V2.0	
<input checked="" type="checkbox"/> Research & Related Project/Performance Site Location(s) V2.0	
<input checked="" type="checkbox"/> Research And Related Other Project Information V1.4	
<input checked="" type="checkbox"/> PHS 398 Research Plan V4.0	
<input checked="" type="checkbox"/> PHS 398 Cover Page Supplement V4.0	
<input checked="" type="checkbox"/> SF424 (R&R) V2.0	
<input checked="" type="checkbox"/> PHS Human Subjects and Clinical Trials Information V1.0	
<input checked="" type="checkbox"/> Research & Related Budget V1.4	
<input type="checkbox"/> PHS 398 Modular Budget V1.2	
<input type="checkbox"/> Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V1.4	
<input type="checkbox"/> PHS Assignment Request Form V2.0	

- The "Status" column will update as the system generates the forms. When all the forms have been created, a "Success!" message displays at the bottom.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes
---------	---------------	---------	-----------	-------------	------------	----------------

SF424 Link: SF-4240000025

SF424 Tracking#:

SF424 Received Date/Time:

SF424 Status Updated:

SF424 Current State: Pre-Submission

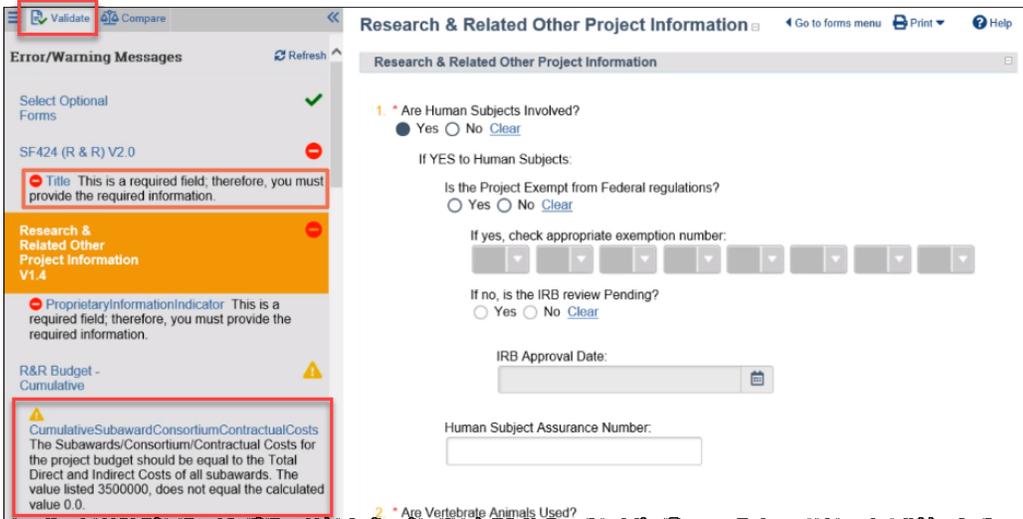
- On the *Proposal Workspace*, click the **SF424 Summary** tab, then click the SF424 link.
- On the *SF424 Workspace*, click the **Edit Grant Application** button.
- Review each of the S424 forms, reviewing each page to ensure the information is accurate. Many fields are automatically populated based on data entered on the proposal and budget.

**! Important guidance on reviewing SF424 forms:**

- If a SF424 form field needs to be updated, but contains data that was automatically populated, make the necessary updates on the proposal and/or budget SmartForm pages and update the SF424 forms systematically. If changes are made directly on the SF424 forms, the next time the **Create-Update SF424** activity is executed, your changes will be overwritten with the values in the proposal and/or budget.
- Fields with a red asterisk are required to be completed by the IBISResearch system. Please note that Grants.gov may require additional fields to be completed, in addition to those required by IBISResearch. For example, Grants.gov requires the "Email" field under the "A Person to be Contacted" section of the "SF424 (R&R) 2.0" form to be completed (however IBISResearch does not indicate that field is required).
- All attachments must be uploaded in PDF format.
- If a Subawardee was entered as "TBD" on the budget, you must update the SF424 form(s) with the name of the Subawardee.

7. When your review is complete, check for errors using the **Validate** button in the left navigation pane. Errors that must be corrected will be highlighted with a red circle and warnings will be noted with a yellow triangle. Click on the field name or page to navigate to that location within the SF424 forms.

It is encouraged to re-run the validation from within the SmartForm as many times as necessary.



Error/Warning Messages <span style="float: right;">Refresh</span>		
Message	Field Name	Jump To
 The Commons account provided in the Credential field for the PD/PI rsimms is either not affiliated with the applicant organization or does not hold the PI role. Check with your Commons Account Administrator to make sure your account affiliation and roles are set-up correctly (NIH 005.21.3)	PD/PI Profile, credential	Research And Related Senior/Key Person Profile (Expanded) (V2.0)
 The Specific Aims attachment is required. (NIH 010.2.1)	Research Plan Attachments: Specific Aims	PHS 398 Research Plan (V4.0)
 You must answer "Yes" to all questions 1.4a through 1.4d on at least one study record OR provide a Delayed Onset Study with Anticipated Clinical Trial for this Funding Opportunity Announcement (NIH 034.5.5)	Section 1 - Basic Information 1.4 Clinical Trial Questionnaire 1.4.a - 1.4.d	PHS Human Subjects and Clinical Trials Information V1.0
 The e-mail address for the Person to Be Contacted was not included. The AOR email address also provided on the SF 424 RR cover page will be used instead. (NIH 001.27.1)	Person to be Contacted, e-mail	SF424 (R & R) V2.0
 The name provided for the PD/PI, Rebecca Simms (pi) does not match the name listed on the eRA Commons account: Robert Simms. The application image will display the name as submitted here. If the name listed in the eRA Commons is	PD/PI Contact Information, name (	SF424 (R & R) V2.0

8. When validation complete, return to the *SF424 Workspace* and click the **Validate Submission** activity. This activity runs additional checks on the submission.
9. If the validation does not pass, an *Error/Warning Messages* window displays which guides you through what information needed to be updated/completed. Click on the link under the "Jump To" column to navigate directly to the page where an update is necessary.

Error messages display in red and must be addressed. Warnings are displayed in yellow.

10. When the updates are complete, return to the *SF424 Workspace* and click the **Validate Submission** activity again.
11. If the validation passes, a *Validate Submission* window displays confirming the action. Click the two checkboxes and click **OK**.

**Validate Submission**

Application Filing Name: Simms\_NIH\_10.28.19

Following optional form(s) will be included in your application:

Research & Related Budget V1.4

Following required form(s) will be included in your application:

PHS 398 Cover Page Supplement V4.0

PHS 398 Research Plan V4.0

PHS Human Subjects and Clinical Trials Information V1.0

Research & Related Project/Performance Site Location(s) V2.0

Research & Related Senior/Key Person Profile (Expanded) V2.0

Research And Related Other Project Information V1.4

SF424 (R&R) V2.0

**CAUTION:** If you have manually modified SF424 data or attachments since you last ran the Create/Update SF424 activity, the SF424 data or attachments may be out of sync with those of the Funding Proposal. Verify all SF424 data and attachments are correct before proceeding.

Convert the following editable PDF attachments into read-only PDFs.

Allow special characters to be included in the XML.

12. The state of the SF424 is updated to the "Valid for Submission" state, indicating it can be submitted to Grants.gov. **The SF424 forms are now locked for editing.**

 **Important:**

- A validated SF424 submission is required to meet the "Application Deadline Policy" implemented by the Office of Research Administration.
- A SF424 in the "Valid for Submission" state serves at the document certification to the Specialist in the Office of Research Administration.

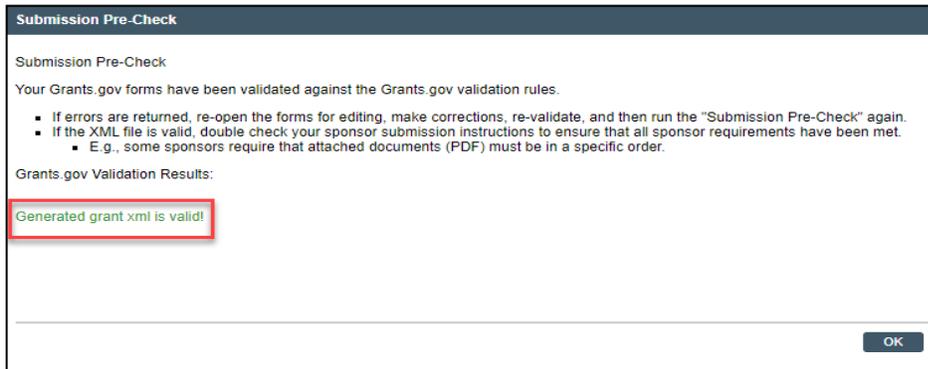
13. To verify that the SF424 data submitted is formatting correctly for electronic submission, click the **Submission Pre- Check** activity on the *SF424 Workspace*.

**!** **Important: In the rare event that something goes wrong, contact:**

**Call: Help Desk - 305-243-2314**

**Email: [OVPRShelpdesk@miami.edu](mailto:OVPRShelpdesk@miami.edu)**

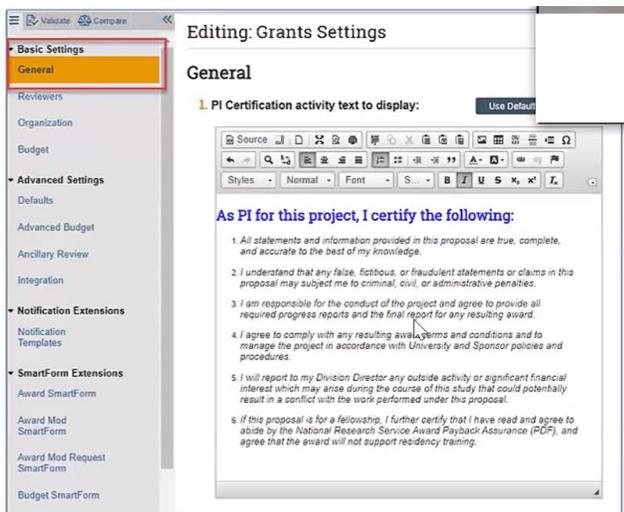
Now the SF424 forms are complete and free of errors, the proposal submission is ready for department review.



14. Please review the steps in the “How to Submit a Proposal for Department Review” section below.

*When the Submit for Department Review is clicked, it routes it to the department for review and sends an email to the PI with a link to the funding proposal certification. The PI must certify those statements prior to the proposal being submitted to the sponsor.*

1. In the Proposal Workspace, you will notice the state has been updated to “Department Review”.
2. The system sends an email to the department reviewer associated with the responsible department and adds the proposal to their IBISResearch Inbox.
3. The system sends an email to the PI with a link to the funding proposal certification.



4. The PI must certify those statements prior to the proposal being submitted to the sponsor.

 **Note:** From the Proposal Workspace, you can click on the Reviewers tab and view the name(s) of those on the approval routing.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
<b>Contacts</b>								
<b>Name</b>			<b>Organization</b>			<b>Phone</b>		<b>Email</b>
Rebecca Simms (pi)			Gastroenterology			503.123.4722		pi@hurontest.com
Savita Pathwa			Microbiology & Immunology			305-243-7732		pi@hurontest.com
Carmen Alverado (coord)			Gastroenterology			503.123.4604		coord@hurontest.com
Mary Brown			Gastroenterology			503.123.4623		GRANTS01@hurontest.com
<b>Reviewers</b>								
The following people will review this proposal and provide organizational approval								
Current Step: 1								
<b>Approval Step 1</b>								
Emily Faller								

### 3. How to Manage Ancillary Reviews

In some cases, it may be necessary to obtain higher approvals within the University to review details of the submission. This business process will be managed by using the **Manage Ancillary Review** activity, which enables you to add reviewers, track these reviews, and ensure they are completed on time.

An Ancillary Reviewer can be added by the Research Community (e.g. PI, Department Administrators, Study team members) or ORA staff (Specialists, Award Approvers, etc.) at various points throughout the workflow. This guide describes how to manage Ancillary Reviews for Proposals, Awards, and Award Modifications within IBISResearch.

Multiple Ancillary Reviews can be completed in parallel with each other and outstanding reviews will not prevent the record (Funding Proposal, Award, Award Modification) from moving forward in the workflow.

#### Important:

- Various users can add ancillary reviewers during the following states:
  - **Proposal** – Proposal Editors and Specialists in the Office of Research Administration may add Ancillary Reviewers from the Draft state through the Pending Sponsor Review state.
  - **Award** – Award Editors and Specialists and Award Approvers in the Office of Research Administration may add Ancillary Reviewers through the “Final Review – Response Pending” state and in the subsequent “Advance Account” state.
  - **Award Modification** – Award Editors (Study Staff) and Specialists and Award Approvers in the Office of Research Administration may add Ancillary Reviewers through the “Final Review – Response Pending” state.
- Ancillary Reviewers receive an email notification as soon as they are added. The record will also appear in their My Reviews tab on the Dashboard.

#### 3.1. How to Add Ancillary Reviewers

Follow the steps below to add an ancillary reviewer to a record (Funding Proposal, Award, or Award Modification):

1. Navigate to the *Workspace*. This can be done by accessing the record from *My Inbox* or searching for the record on the *Grants Project Listing* page. Click the name to display the *Workspace*.
2. On the *Workspace* page, click on the **Manage Ancillary Reviews** activity which is located on the left.

##### 3.1.2. Managing and Adding an Ancillary Review: (Follow diagram)

1. In the *Manage Ancillary Review* window, click **Add**.
2. **Select a person as a reviewer** – From the pop up box, type in the name of the person, or click the ellipsis button next to

the **Person** field to select the appropriate individual (do not select an Organization).

Notes:

- Please review the [Ancillary Review Matrix](#), which will indicate who you should select when initiating an Ancillary Review in IBISResearch..

3. **Review Type** – Select the applicable review type. Available review types are specific to the record.
  - i. **Compliance COI** – Must be used to disclose a potential conflict of interest specifically when submitting an STTR/SBIR application.
  - ii. **Co-PI** – Required if the project is a multiple PI Project, or if Co-PI(s) are included on the project from other departments. The Ancillary Review is submitted to the corresponding department of the Co-PI(s).
  - iii. **Cost Share** - Must be used to obtain approval when cost sharing.
  - iv. **Department Chair/Center Director** – Must be used when a Department Chair, Center or Institute Director is a Principal Investigator on a proposal.
  - v. **Export Controls** – Must be used when the project has export control related issues.
  - vi. **Indirect Cost Waivers** – Must be used when the F&A rate is outside of the standard UM rate.
  - vii. **Nepotism/Familial Relationships** – Must be used when there is a familial relationship on the project.
  - viii. **PI Eligibility** – Must be used when the Principal Investigator on the project does not meet the PI Eligibility requirements.
  - ix. **Resources** – Must be used when space and/or renovations are required for the project.
  - x. **Terms and Conditions** - Used by ORA to route for a review of terms and conditions.



**Important:** The following review types must be approved prior to submission of the application to the sponsor.

- i. *Cost Share*
  - ii. *Indirect Cost Waiver*
  - iii. *Resources*
- SBIR/STTR**
4. For **Response required?** Select Yes
  5. In the **Comments box**, enter any comments which will be saved and visible to the reviewer in the system.

6. In **Supporting Documents**, click to add documents which will be saved and visible to the reviewer in the system.
  - a. For example, when initiating a cost sharing ancillary review, a justification for cost sharing must be included.

**! Important:** Comments and Documents included in the **Add Ancillary Reviews** window will be included in the email notification to the reviewer and will be visible in the History and the Manage Ancillary Reviews screen.

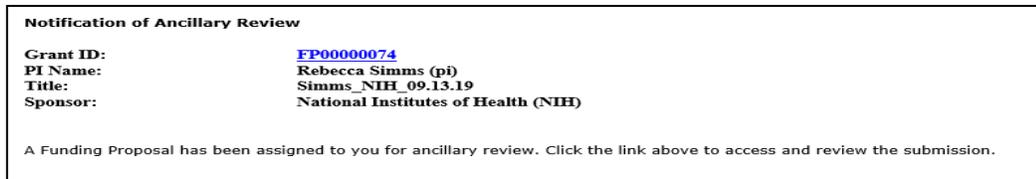
7. Select **OK**.

**! Important:** In order to expedite the review process for all Ancillary reviews, it is important to obtain departmental and/or School level approvals prior to submitting for Institutional approval. Also, it is recommended to include Comments and Supporting documents in both windows, to ensure the information is captured in the email and the Ancillary Review window.

### 3.2. How to Submit an Ancillary Review (Ancillary Reviewers Only)

Follow the steps below to submit an ancillary review:

1. Access the record in one of two ways:



- a. From the system generated email, click on the “Grant ID” link.
- b. Click on the name on the My Inbox or My Reviews tab.
2. On the Proposal Workspace, click the **History** tab to review the comments and/or documents from the requestor.
  - a. On the History tab, click “Ancillary Reviews Updated” activity name.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log	
Activity			Author			Activity Date			
	Ancillary Reviews Updated		Simms (pi), Rebecca			2/10/2020 3:12 PM			
	Email sent		Simms (pi), Rebecca			2/7/2020 9:41 AM			
	Please revise the justification.								
	Comments Added		Simms (pi), Rebecca			2/7/2020 9:39 AM			
	made phone call to department								

3. Next click on the Property Changes tab. Comments from the submitter will be highlighted in green in the Property Changes tab.



4. Click on **Documents** tab to review any attached documents. Open attached documents by clicking on the link. Once you have reviewed any attached documents, you may return to the Funding Proposal Workspace by clicking **Return to Workspace**. If review is for Cost Sharing, navigate to the Cost Sharing Budget and review.

[<< Return to Workspace](#)[< Prev](#)

1 / 5

[Next >](#)

## Activity Details (Ancillary Reviews Updated)

Activity that allows a specialist or project editor to create and manage existing ancillary reviews.

Author:	Rebecca Simms (pi) (Gastroenterology)
Logged For (Funding Proposal):	PI Navigation (MVM 2/13/20)
Activity Date:	2/13/2020 5:29 PM

Activity Form	Property Changes	Documents	Notifications
---------------	------------------	-----------	---------------

[Document for Review](#)

- On the Workspace, you may send an email to request clarification prior to submitting the Ancillary Review.
- If no clarification is needed, from the Workspace click the **Submit Ancillary Review** activity.
- In the *Submit Ancillary Review* dialog box, complete the questions. Click OK to continue submit the review.
- When the system returns to the Workspace page, the History tab displays a *Submitted Ancillary Review* activity.



**Important:** Email notifications are not generated upon completion of the **Submit Ancillary Review** activity. Use the **Send Email** activity to notify the requestor of the ancillary review submission. The status of **Ancillary Reviews** can be found on the Reviewers tab of the Proposal Workspace.

## 4. How to Update the Proposal with Sponsor Determination

When the Principal Investigator receives a determination from the sponsor, he/she may update the proposal to send a notification to the assigned Specialist in the ORA.

Follow the steps below to update the proposal with the sponsor determination:

- On the *Proposal Workspace*, click the **Notify SPO of Grant Status** activity.
- In the *Notify SPO of Grant Status* window, select the **Grant Status** that describes the determination you received.

**Pending Sponsor Review**

**Next Steps**

View Funding Proposal

Printer Version

Create Document Review

Team Disclosure Status

Manage Ancillary Reviews

Manage Relationships

Add Attachments

Copy

**Notify SPO of Grant Status**

Send Email

Manage Guest List

Add Comment

**Notify SPO of Grant Status**

**1. Grants status:**

Award Anticipated

JIT Info Requested

Not Funded

Withdraw Submission (Proposal Not Reviewed)

Award Received

other

[Clear](#)

**2. Comments:**

**3. Documents:**

Name
There are no items to display

- Attach documentation pertinent to this project (i.e., notification from the sponsor of intent to fund, award notice from the sponsor, JIT Info requested, etc.) This is also the time you may request an advance account. Attach intent to fund documentation and Advance Account Form.
- When complete, click OK. The state is updated to “SPO Status Confirmation” an email notification is sent to the assigned Specialist with the Grant Status you selected.
- Based on the Grant Status, the Specialist will decide how to proceed.

**! Important:** At this time, the **Notify SPO of Grant Status** is an activity only available to the Principal Investigator. The Study Staff may use the **Send Email** activity in IBISResearch to notify the specialist of the award status and request an Advance Account. Attach the intent to fund documentation and the Advance Account Form to the email.

## 5. Additional Proposal Tasks

The following subsections describe how to complete additional tasks that may be necessary as the proposal submission progresses through the workflow.

### 5.1. How to Manage deliverables

Deliverables are entered in the system by the Specialist in the Office of Research Administration and the Study Staff in the Department during award set up, however the proposal team is responsible for managing and completing the deliverables in the system. A list of deliverables are displayed on the **Deliverables** tab of the *Award Workspace*.

Follow the steps below to manage Deliverables.

- On the Award Workspace, click the **Manage Deliverables** activity.

**1. Add deliverables:** ?

	Name	Due Date	Responsible Party	Status	Completion Date
<input type="button" value="+ Add"/>					
<input type="button" value="Complete"/>	RPPR	11/30/2021	Rebecca Simms (pi)	Not Started	

- To edit the deliverable, click the Name of the deliverable. Here you can update the status to “In Progress.”
- To complete the deliverable, click the **Complete** button.
- In the Complete Deliverable window, update the applicable fields and click **OK**.

**Edit Deliverable****Complete Deliverable****1. Name:**

RPPR

**2. Due date:**

11/30/2021

**3. \* Attach completed document(s):**

Name
There are no items to display

**4. \* Completed date:** ?
**5. \* Completed by:** ?
**5.2. How to Manage Relationships (linking records in IBISResearch)**

Proposals can be linked to related records in IBISResearch (e.g. an agreement in IBISResearch).

Follow the steps below to manage relationships in IBISResearch.

1. Navigate to the *Workspace*. This can be done by accessing the record from *My Inbox* or searching for the record on the *Grants Project Listing* page.
2. Click the name to display the *Workspace*.
3. On the *Proposal Workspace* page, click the **Manage Relationship** activity.
4. In the *Manage Relationship* window, use the **Related Submissions** field to either enter the ID or use the ellipsis (“...”) to search for the record. You may also search using the wildcard (“%”) and a word.
5. When complete, click **OK**.



**Note:** Linked records are displayed in the *Related Projects* tab of the *Proposal Workspace*.

**5.3. How to Manage Tabs**

Tags are used to identify certain attributes about a proposal for reporting purposes. These were previously called scientific classification. (For example, if the project involves research on marine science, select Ocean Sciences from the tags).

Follow the step below to manage tags:

1. On the *Proposal Workspace*, click the **Manage Tags** activity.
2. In the *Manage Tags* window, click the “...” button to add one or more tags.
3. When complete, click **OK** to return to the *Workspace*.

## 5.4. How to Export the Budget

Follow the steps below to export the budget to Excel format:

1. On the *Proposal Workspace*, click the **Export Budget** activity. Please note the budget must not contain any special characters (: \ / ? \* [ or ]) to execute this activity.
2. After the screen refreshes, click the **History** tab. The Excel file can be accessed under the **Exported Budget** activity.



## 5.5. How to Send an Email

Emails can be sent from the proposal to other users at UM. All emails are tracked within the **History** tab of the proposal. Follow the steps below to send an email from the Proposal:

1. On the *Proposal Workspace*, click the **Send Email** activity.
2. In the *Sent Email* window, click the fields.
3. When complete, click **OK** to return to the *Workspace*.

**Send Email**

1. \* **Email subject line:**

2. \* **Select/Add at least one user**

All team members  
 All editors  
 All readers  
 Specialist

Select any other recipient for this email. Only editors and readers have access to the funding proposal.

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

4. **Supporting documents:**

+ Add

Name	Last Name	E-Mail
There are no items to display		

OK Cancel

## 5.6. How to Add Attachments to a Proposal

The Add Attachments activity can be used to upload new or revised documents to the Proposal.



**Note:** To add/upload attachments to an Award, navigate to the Award Smart Form.

Follow the steps below to add an attachment:

1. On the *Proposal Workspace*, click the **Add Attachments** activity.
2. To a new document, click the **Add** button, search and select your document and click **OK**.

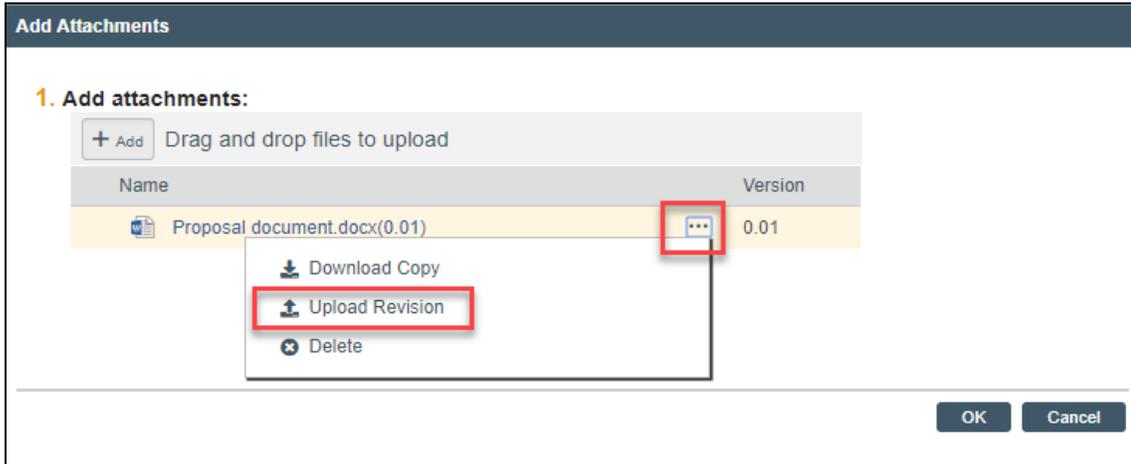
**Add Attachments**

1. **Add attachments:**

+ Add Drag and drop files to upload

Name	Version
There are no items to display	

3. To upload a revised document, click the “...” and select the Upload Revision.
4. When complete, click **OK** to return to the *Workspace*.



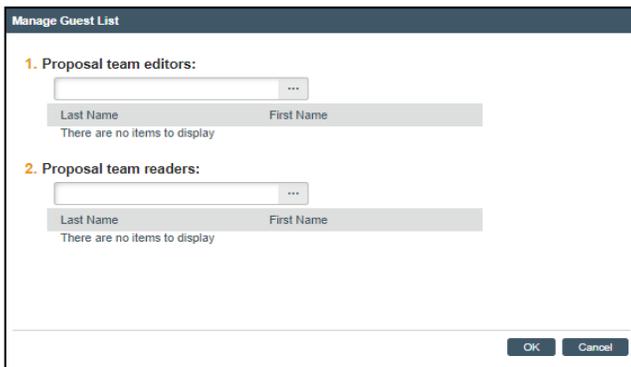
## 5.7. How to Manage the Guest List

The Manage Guest List activity is used to manage the list of individuals who have either edit or read-only access to the proposal submission.

**Note:** This activity contains the same list of editors and/or readers as those listed as administrative personnel on the Personnel page of the Proposal SmartForm.

Follow the steps below to add an individual to the guest list:

1. On the *Proposal Workspace*, click the **Manage Guest List** activity.
2. In the *Manage Guest List* window, enter the individual's name or use the ellipsis ("...") to search for an individual to be added as an editor (under Question 1) or as a reader (under Question 2).
3. When complete, click **OK** to return to the *Workspace*.



## 5.8. How to Add a Comment

Comments can be added to a proposal and are visible to all individuals that have access to read or edit the proposal. Follow the steps below to add a comment to the Proposal:

1. On the *Proposal Workspace*, click the **Add Comment** activity.
2. In the *Add Comment* window, enter your comments and any attachments.

- When complete, click **OK** to return to the *Workspace*.

Click in the **History** tab to review

Activity	Author	Activity Date
Comments Added	Simms (pi), Rebecca	9/17/2019 10:11 AM
Uploaded supporting document Supporting Document.docx	Simms (pi), Rebecca	9/17/2019 10:09 AM

## 5.9. How to Copy a Proposal

In some cases, several proposals with similar information may need to be created. Use the Copy activity to save time. Follow the steps below to copy a proposal:

- On the Proposal Workspace, click the Copy activity.
- In the Copy window, enter the new proposal name and check the Use background processing checkbox.
- When complete, click OK to return to the Workspace.

**Note:** Copies records are not linked as a Related Project.

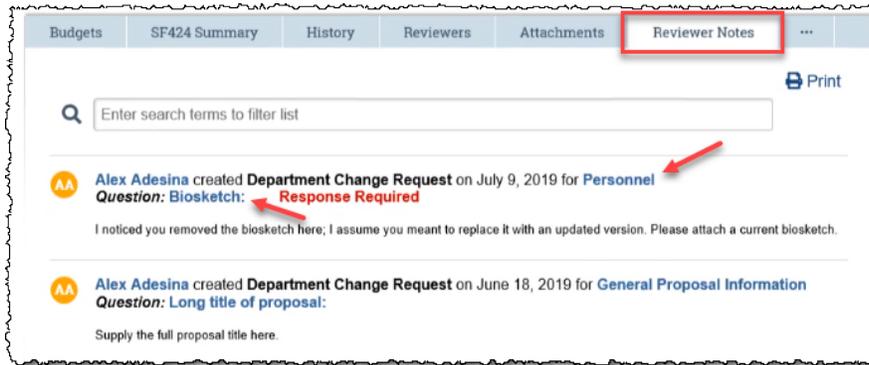
## 5.10. How to Respond to Change Request

During their review, Department Reviewers and/or Specialists in the Office of Research Administration may need to request changes to the funding proposal.

**Note:** When the Department Reviewer requests changes, the proposal state is updated to “Department Review: Response Pending from PI”. When the Specialist requests changes, the proposal state is updated to “Specialist Review: Response Pending from PI”.

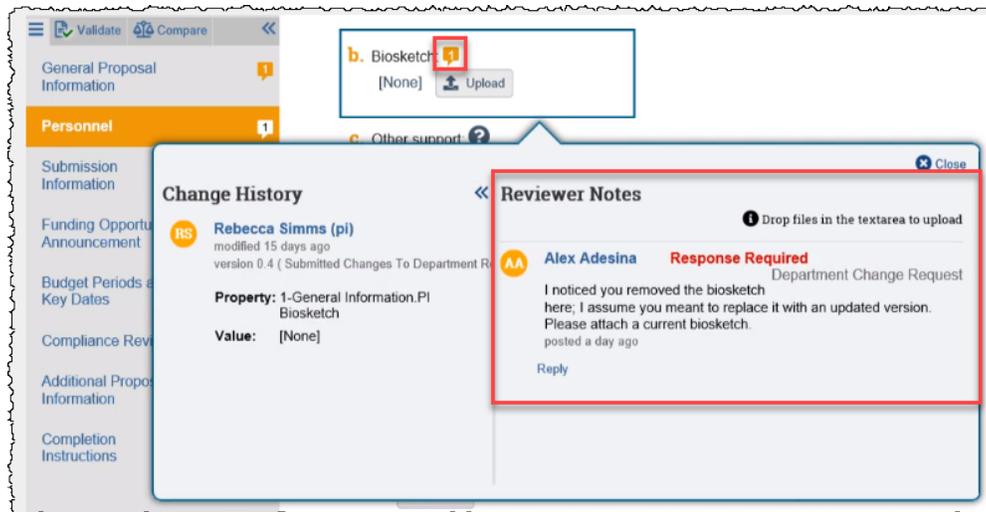
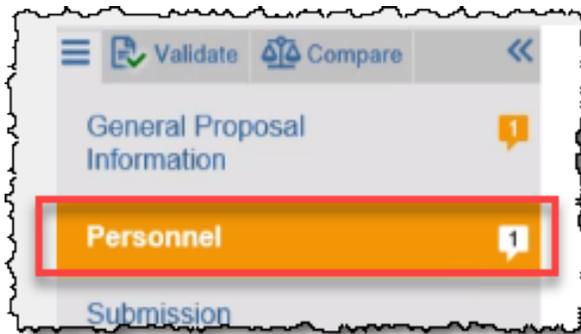
Follow the steps below to respond to a change request:

- Navigate to the *Workspace*. This can be done by accessing the record from *My Inbox* or searching for the record on the *Grants Project Listing* page. Click the name to display the *Workspace*.
- There are two ways to review the change request and display the appropriate page of the *Proposal SmartForm*.
  - Option 1 – Reviewer Notes tab
    - On the *Proposal Workspace*, click the **Reviewer Notes** tab.
    - For each note, click either the SmartForm page name (e.g. “Personnel”) or the question name (e.g. “Biosketch”) to navigate directly to the question to make your updates.

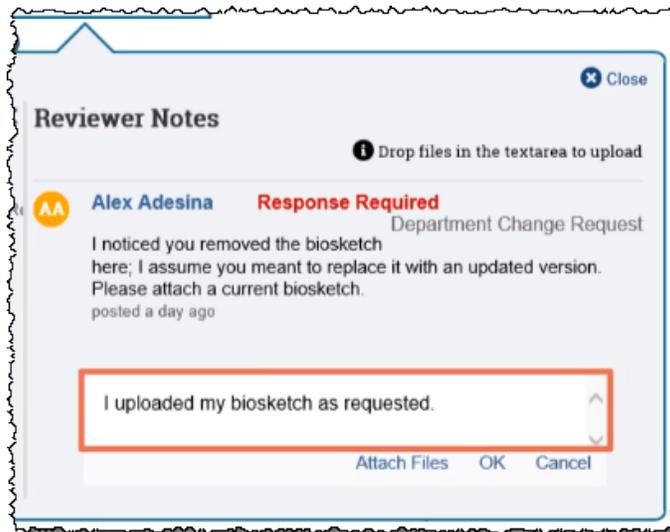


b. Option 2 – Reviewer Notes within the SmartForm

- i. On the *Proposal Workspace*, click the **Edit Funding Proposal** button.
- ii. In the left navigation pane, click the page name(s) with the Reviewer Notes icon.
- iii. On the SmartForm page, click the reviewer note icon for each question to read the reviewer's notes.



- iv. Make the requested change and click the **Reply** link within the Reviewer Note to add a comment about the change (or explain why you did not make a change). When complete, click **OK** and click **Close**.



- v. Click **Save** on the Proposal SmartForm to save your changes.
3. When all reviewer notes have been addressed, navigate back to the *Proposal Workspace*.
4. Click the **Submit Changes to Department Reviewer** activity (if requested by the department reviewer) or the **Submit Changes to the Specialist** activity (if requested by the specialist).

**Note:** All reviewer notes marked as “Response Required” require a response before you can resubmit the proposal back to the department reviewer or specialist.

5. In the *Submit Changes* window, enter comments and attachments (if necessary) and click **OK**.
6. The proposal state is updated back to “Department Review” or “Specialist Review” (depending on who requested the changes) and an email notification is sent to the reviewer. Additionally, the proposal is moved to the reviewer’s IBISResearch Inbox.

## 5.11. How to Respond to a JIT Request

When a sponsor needs additional information or a change to a submission (e.g. budget revision), the sponsor will issue a Just-in-Time (JIT) request to the Office of Research Administration. The assigned specialist will perform the **JIT Changes Required** activity to move the proposal to the “JIT Response Required” state, which sends an email notification to the assigned PI.

Follow the steps below to respond to a JIT Request

1. Access the proposal in one of the ways:
  - a. From the system generated email, click on the “Grant ID” link.
  - b. Click the Proposal name on the *My Inbox* or *Grants Projects Listing* page.
2. On the *Proposal Workspace*, click the **History** tab to review the comments and/or attachments from the assigned Specialist.

## 6. How to Complete Award Department Edits

After the Specialist in the Office of Research Administration Office has created the award record and completed the preliminary pages of the Award SmartForm they are responsible for, the Specialist notifies the Administrative Contact on the Funding Proposal to complete the remaining Award SmartForm pages. The Funding Award remains in Draft state.

**Note:** The Specialist in the Office of Research Administration is responsible for starting the following pages of the

*Award SmartForm:*

- General Award Information
- Related Items
- Financial Setup
- Budget Allocations
- Terms and Conditions
- Deliverables

The Department is responsible for reviewing and completing the forms started by the ORA Specialist. In addition, the Department must complete the Budget Reconciliation, Personnel Effort, Deliverables and Compliance Review pages in order for the Award to be Activated. Once they have completed all pages, they must send an email to the Specialist who will complete the final review prior to activating the account.

From the *Award Workspace*, click the **Edit Award** button.

1. Use the left navigation pane to jump to the following pages that need to be reviewed and/or completed by the Award Editors:
  - a. General Award Information – This page was initiated by the ORA Specialist. Review the page for any discrepancies. The Department is responsible for revising #21 as needed. See detailed instructions below.
  - b. Related Items: This is completed by the Specialist in ORA. Please review.
  - c. Financial Set Up: This is completed by the Specialist in ORA after the Department has completed the pages in the Funding Award. This is the final step before the award is activated.
  - d. Budget Allocations: This is completed by the Specialist in ORA. Please review.
  - e. Budget Reconciliation: The Department is responsible for completing the budget Reconciliation page. This page is where you reconcile the proposal's budget data with the amount released in the Notice of Award to match the award. See detailed instructions below.
  - f. Personnel Effort: The Department is responsible for completing the Personnel Effort page. Personnel proposed in the funding proposal automatically import into the Personnel Effort page in the Award. See detailed instructions below.
  - g. Terms and Conditions: These are the terms and conditions of the award. This page completed by the Specialist in ORA. Please review.
  - h. Deliverables: This ORA Specialist will have added financial deliverables in this section. The Department should include milestones or deliverables they wish to track and manage these in IBISResearch. See detailed instructions below.
  - i. Compliance Review: The Department is responsible for the compliance page. Provide compliance approvals and update all compliance questions related to the project. See detailed instructions below.

**Instructions to Complete Award Setup SmartForm**

Follow the steps below to complete the applicable Award SmartForm pages.

1. From the *Award Workspace*, click the **Edit Award** button.
2. Use the left navigation pane to jump to the following pages to edit.

**General Award Page**

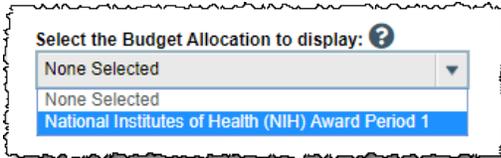
*Field #21: Select team members who have edit rights or read-only rights to the award:* Only individuals listed in section #21 will be able to edit or view the award. Add or delete individuals, as needed. If this is not completed, individuals in the department who require access to the award may not have access to view it.

**Budget Reconciliation Page**

This page is where you reconcile the proposal's budget data with the amount released in the Notice of Award

- i. In the Select the Budget Allocation to display drop down list, select the allocation reconcile.

**Note:** Only allocations characterized as "authorized" or "advance account" on the Budget Allocations page are available for reconciliation.

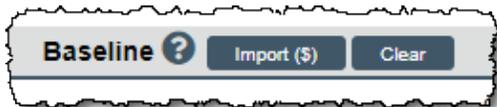


Selecting an allocation displays a table of the award budget categories defined in the system. It also updates the **Total Sponsor Award** field with the amount you entered on the first page of the award.

At this point, you can choose to proceed with one of two approaches to reconcile the budget.

- **Import Approach** – Click the **Import** button to use the proposal's budget data as a baseline for making adjustments.

**Warning:** Using the "import (\$)" and "Clear" buttons updates the Budget Reconciliation and Personnel Effort pages.



With this approach, you typically enter positive or negative amount in the **Adjustments** column to modify the budget until the **Difference** value in the header reaches zero. Use this approach when you can match the allocation amount with a few adjustments.

- **Non-Import Approach** - Do not import the proposal budget data and manually type in the budget amounts in the **Adjustments** column.

This approach is helpful if the amount released in the Notice of Award will require so many changes that it is just simpler to enter the new budget amounts directly. With this approach, enter positive amounts that reduce the **Difference** value in the header to zero.

iii. Regardless of the approach used, note the following:

- Dagger icons next to the **Adjustments** column indicate categories that are eligible for F&A recovery. Adjustments to these expenses automatically create the needed F&A adjustments

Budget Categories	Baseline ?	Import (\$)	Clear	Rollup Adjustments	Adjustments
Personnel	PERSON	\$115,000		\$0 †	\$0
Other Personnel Services	OPS	\$0		\$0 †	\$0

in the Facilities and Administration row, using the indirect rate specified in the allocation.

- In the header of the page, note the following the figures under the **Current Allocation** section pertain to the allocation that was selected for reconciliation.

The **Total Reconciled** amount is the sum of the Active Allocation Total amounts for all line items listed on the form. This amount updates as individual costs are adjusted.

The **Difference** amount reflects the gap between the total awarded amount on the selected allocation and the total of the detailed budget amounts on this page. A negative value means the detailed budget amounts on this page add up to more than the awarded amount on the allocation and need to be adjusted. The budget is reconciled when the **Difference** amount is zero or a positive number acceptable to UM.

- The amounts under the **All Allocations** section pertain to the sum of all currently authorized and advance account allocations. If multiple applications are authorized and imported to the *Budget Reconciliation* page, these figures will differ from the **Current Allocation** figures.

iv. When complete, click the **Continue** button.

### Personnel Effort Page

This page allows you to document effort commitments for personnel paid from the award. Typically, you will do this for the currently authorized allocation. You are not required to update it, but once during award setup.

**Note:** By default, this page expands the entries for the first allocation, and collapses the other allocations. To expand an allocation, click the plus sign next to its name. To collapse one, click the minus sign.

Initially, the commitments displayed match the effort and salary projected in the funding proposal. However sometimes these require adjustments. For example, you can use this page to adjust appointment start and end dates.

To designate a position that is not yet filled, leave the **Person** box blank and check the **TBD** box. If a TBD position has been filled add the person to the Personnel Effort page.

The system calculates a cost share percentage whenever effort percentage exceeds the salary requested percentage.

**Personnel Effort** ⓘ

Name: Abbott Laboratories Award Period 1 PI: Rebecca Simms (pi)  
 - Financial Account: Financial Account 1 Period: 1  
 Start Date: 10/28/2019 End Date: 10/27/2020

Person	TBD	Role ⓘ	Role Other	Start Date	End Date	Effort %	Salary Req %	Cost Share %	Remove Row
Rebecca Simms (pi)	<input type="checkbox"/>	PD/PI		10/28/2019	10/27/2020	60	60		X
Juan Pablo (pi3)	<input type="checkbox"/>	Co-PD/PI		10/28/2019	10/27/2020	50	50		X
George Johnson	<input type="checkbox"/>	Technician		10/28/2019	10/27/2020	30	30		X
<input type="text"/>	<input type="checkbox"/>	None							
<input type="text"/>	<input type="checkbox"/>	None							
<input type="text"/>	<input type="checkbox"/>	None							

Name: Abbott Laboratories Award Period 2 PI: Rebecca Simms (pi)  
 + Financial Account: Period: 2  
 Start Date: 10/28/2020 End Date: 10/27/2021

Name: Abbott Laboratories Award Period 3 PI: Rebecca Simms (pi)

### Deliverables Page

The Department should include milestones or deliverables they wish to track and manage in IBISResearch. ORA will have already added financial deliverables for the project.

### Compliance Review Page

The answer on this page are populated based on those entered in the proposal.

Update as necessary. Note that answering "Yes" to some questions will dynamically display additional fields for completion.

2. When complete, click the **Save** and **Exit** buttons.
3. On the Award Workspace, click the **Send Email** activity to notify the Specialist in ORA.
4. In the *Send Email* window, enter comments and attachments (if necessary) and click **OK**.

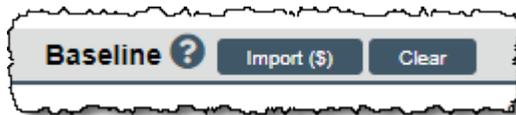
## 6.1. Budget Reconciliation Example Using the Import Approach

This section uses the import approach to demonstrate how to reconcile the budget by importing the proposal's budget data to use as a baseline for making adjustments. With this approach, you typically enter positive or negative amount in the **Adjustments** column to modify the budget until the **Difference** value in the header reaches zero. Use this approach when you can match the allocation amount with a few adjustments.

1. See the "How to Complete Award Department Edits" section above.
2. On the *Budget Reconciliation* page, select the budget allocation and click the **Import** button.



**Warning:** Using the "import (\$)" and "Clear" buttons updates the Budget Reconciliation and Personnel Effort pages.



3. In the *Import Budget* window, select the applicable period and click **OK**.
4. On the *Budget Reconciliation* page, the amounts from the proposal budget populate the Award **Budget Categories** column. Notice the same amounts appear at first under the **Active Allocation Total** column; these will update as you enter adjustments to the original budget amounts.
5. The next step is to reconcile the budget by entering positive and/or negative values in the Adjustments columns.

### **Tips:**

- Use the **Undo All Changes** button to restore the values this page displayed the last time it was saved.
- Use the **Clear** button to clear all amounts from the budget categories list.

In this example, the PI has informed you they can reduce costs by \$10,000 by not attending two conferences and can cut another \$7,000 from Other Expenses.

Note the current amounts in the Active Allocation Total column for Travel (\$25,000), Facilities and Administration (\$92,365), Total Reconciled (\$315,865), and the Difference (-\$37,865).

Award / Authorized Budget Reconciliation

All Allocations		Current Allocation	
Total Sponsor Awarded to Date:	\$427,000	Total Sponsor Awarded:	\$278,000
Total Reconciled to Date:	\$464,865	Total Reconciled:	\$315,865
Difference:	-\$37,865	Difference:	-\$37,865

Select the Budget Allocation to display:		Start Date: 10/14/2019	End Date: 10/13/2020
Abbott Laboratories Award Period 1		Undo All Changes	

Budget Categories	Baseline	Import (\$)	Clear	Rollup Adjustments	Adjustments	Active Allocation Total
Personnel		\$115,000		\$0	\$0	\$115,000
Other Personnel Services		\$0		\$0	\$0	\$0
Fringe Benefits		\$34,500		\$0	\$0	\$34,500
Consulting		\$4,000		\$0	\$0	\$4,000
Equipment		\$35,000		\$0	\$0	\$35,000
Stipends		\$0		\$0	\$0	\$0
Subcontracts with F&A		\$0		\$0	\$0	\$0
Subcontracts without F&A		\$0		\$0	\$0	\$0
Travel		\$25,000		\$0	\$0	\$25,000
Tuition		\$0		\$0	\$0	\$0
Other Direct Expenses with F&A		\$10,000		\$0	\$0	\$10,000
Other Direct Expenses without F&A		\$0		\$0	\$0	\$0
Facilities and Administration		\$92,365		\$0	\$0	\$92,365
Patient Care		\$0		\$0	\$0	\$0
<b>Total</b>		<b>\$315,865</b>		<b>\$0</b>	<b>\$0</b>	<b>\$315,865</b>

6. The following adjustments are made:

- a. In this example, -\$17,000 is entered in the Adjustments column for Travel, which adjusted the following:
  - i. On the Travel row, the Active Allocation amount is \$17,000 less than the baseline figure.
  - ii. On the Facilities and Administration row, an adjustment of -\$8,330 is displayed.
  - iii. The Total Reconciled Amount was reduced by \$25,330 (\$315,865 - \$290,535), which is the total of the direct (-\$17,000) and indirect (-\$8,330) cost adjustments.

Award / Authorized Budget Reconciliation

<b>All Allocations</b>		<b>Current Allocation</b>	
Total Sponsor Awarded to Date: ?	\$427,000	Total Sponsor Awarded: ?	\$278,000
Total Reconciled to Date:	\$439,535	<b>Total Reconciled: ?</b>	<b>\$290,535</b>
Difference:	-\$12,535	Difference: ?	-\$12,535

Select the Budget Allocation to display: ?

Abbott Laboratories Award Period 1

Undo All Changes

Start Date: 10/14/2019

End Date: 10/13/2020

Budget Categories	Baseline ?	Import (\$)	Clear	Rollup Adjustments	Adjustments	Active Allocation Total
Personnel		\$115,000		\$0	↑ \$0	\$115,000
Other Personnel Services		\$0		\$0	↑ \$0	\$0
Fringe Benefits		\$34,500		\$0	↑ \$0	\$34,500
Consulting		\$4,000		\$0	↑ \$0	\$4,000
Equipment		\$35,000		\$0	\$0	\$35,000
Stipends		\$0		\$0	\$0	\$0
Subcontracts with F&A		\$0		\$0	↑ \$0	\$0
Subcontracts without F&A		\$0		\$0	\$0	\$0
Travel		\$25,000		\$0	↑ -\$17,000	\$8,000
Tuition		\$0		\$0	\$0	\$0
Other Direct Expenses with F&A		\$10,000		\$0	↑ \$0	\$10,000
Other Direct Expenses without F&A		\$0		\$0	\$0	\$0
Facilities and Administration		\$92,365		\$0	-\$8,330	\$84,035
Patient Care		\$0		\$0	\$0	\$0
<b>Total</b>		<b>\$315,865</b>		<b>\$0</b>	<b>-\$25,330</b>	<b>\$290,535</b>

- a. Next we will cut Other Expenses by \$5,000. Along with the associated F&A adjustment, this brings the Difference down to -\$5,085.

Travel	TRAVEL	\$25,000	\$0	↑ -\$17,000	\$8,000
Tuition		\$0	\$0	\$0	\$0
Other Direct Expenses with F&A		\$10,000	\$0	↑ -\$5,000	\$5,000
Other Direct Expenses without F&A		\$0	\$0	\$0	\$0
Facilities and Administration		\$92,365	\$0	-\$10,780	\$81,585
Patient Care		\$0	\$0	\$0	\$0
<b>Total</b>		<b>\$315,865</b>	<b>\$0</b>	<b>-\$32,780</b>	<b>\$283,085</b>

Current Allocation	
Total Sponsor Awarded: ?	\$278,000
Total Reconciled: ?	\$283,085
<b>Difference: ?</b>	<b>-\$5,085</b>

- a. Finally, we will cut the Equipment by -\$5,085.
- b. The **Total Sponsor Awarded** amount now matches the **Total Reconciled** amount, so the

Difference is now zero.

Award / Authorized Budget Reconciliation

All Allocations		Current Allocation	
Total Sponsor Awarded to Date: ?	\$427,000	Total Sponsor Awarded: ?	\$278,000
Total Reconciled to Date:	\$427,000	Total Reconciled: ?	\$278,000
Difference:	\$0	Difference: ?	\$0

Select the Budget Allocation to display: ?  
 Abbott Laboratories Award Period 1

Undo All Changes

Start Date: 10/14/2019 End Date: 10/15/2020

Budget Categories	Baseline ?	Import (?)	Clear	Rollup Adjustments	Adjustments	Active Allocation Total
Personnel				50	↑ 50	\$115,000
Other Personnel Services				50	↑ 50	50
Fringe Benefits				\$34,500	↑ 50	\$34,500
Consulting				\$4,000	↑ 50	\$4,000
Equipment				\$35,000	50 -55,065	\$29,915
Stipends				50	50	50
Subcontracts with F&A				50	↑ 50	50
Subcontracts without F&A				50	50	50
Travel				\$25,000	↑ -517,000	58,000
Tuition				50	50	50
Other Direct Expenses with F&A				\$10,000	↑ -55,000	55,000
Other Direct Expenses without F&A				50	50	50
Facilities and Administration				\$92,365	50 -510,700	\$81,585
Patient Care				50	50	50
<b>Total</b>				\$315,065	50 -537,065	\$278,000

7. When complete on this page, click Continue.

### 6.2. Budget Reconciliation Examples Using the Non-Import Approach

This section uses the non-import approach to demonstrate how to manually reconcile the budget by simply typing in the budget amounts in the **Adjustments** column. This approach is helpful if the amount released in the Notice of Award will require so many changes that it is just simpler to enter the new budget amounts directly.

With this approach, enter positive amounts in the Adjustments column that reduce the **Difference** value in the header to zero.

### Award / Authorized Budget Reconciliation

**All Allocations**

Total Sponsor Awarded to Date: \$427,000

Total Reconciled to Date: \$432,085

Difference: -\$5,085

**Current Allocation**

Total Sponsor Awarded: \$149,000

Total Reconciled: \$149,000

Difference: \$0

Select the Budget Allocation to display: Abbott Laboratories Award Period 2

Start Date: 10/14/2020      End Date: 10/13/2021

Budget Categories	Baseline	Import (\$)	Clear	Rollup Adjustments	Adjustments	Active Allocation Total
Personnel	\$0			\$0	↑ \$70,000	\$70,000
Other Personnel Services	\$0			\$0	↑ \$0	\$0
Fringe Benefits	\$0			\$0	↑ \$15,000	\$15,000
Consulting	\$0			\$0	↑ \$0	\$0
Equipment	\$0			\$0	\$14,155	\$14,155
Stipends	\$0			\$0	\$0	\$0
Subcontracts with F&A	\$0			\$0	↑ \$0	\$0
Subcontracts without F&A	\$0			\$0	\$0	\$0
Travel	\$0			\$0	↑ \$3,000	\$3,000
Tuition	\$0			\$0	\$0	\$0
Other Direct Expenses with F&A	\$0			\$0	↑ \$2,500	\$2,500
Other Direct Expenses without F&A	\$0			\$0	\$0	\$0
Facilities and Administration	\$0			\$0	\$44,345	\$44,345
Patient Care	\$0			\$0	\$0	\$0
<b>Total</b>	\$0			\$0	\$149,000	\$149,000

## Additional Tasks

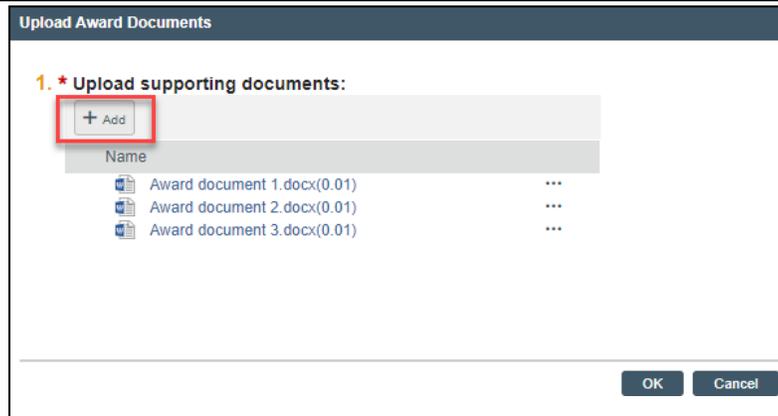
The following subsections describe how to complete additional tasks that may be necessary as the award progresses through the workflow.

### 7. How to Upload Award Documents

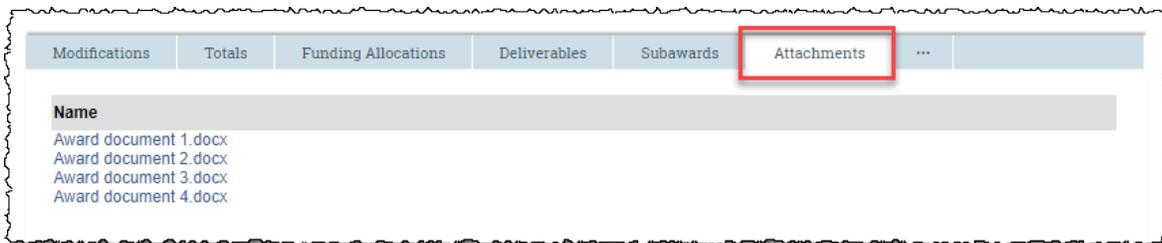
Award documents should be uploaded within the *Award SmartForm* or by using the **Upload Award Documents** activity. **This includes any official award documents including documents associated with an award modification.** When documents are uploaded in either of these locations, they display on the **Attachments** tab on the *Award Workspace*.

Follow the steps below to upload documents using the **Upload Award Documents** activity:

1. On the *Award Workspace*, click the **Upload Award Documents** activity.
2. In the *Upload Award Documents* window, click the **Add** button



3. In the *Submit Document* window, drag and drop or search for the file and click **OK**.
4. The new document displays in the list. Click **OK**.
5. When returned to the *Award Workspace*, click the **Attachments** tab to display the award documents.



## 7.1. How to Request An Award Modification

Over the course of a research project, changes to an award become necessary, such as budget adjustments, authorizing spending for the next budget period, or changing the award personnel. These changes are managed using award modifications.

The award modification request provides a way for users with access to the Award to request changes within the system. This creates a searchable history of all modification requests in one place.

The award modification request is a simple SmartForm that collects a request title, a date, a description of the change, and supporting documents. Once completed, the requestor submits the award modification request to the assigned specialist for review. The specialist can then decline the request, return it to the requestor for clarifications, or approve it.

### Notes:

- Award modification requests and award modifications are listed under the **Modifications** tab on the Award Workspace.
- Award modification requests and award modifications are two separate records with different states. Please reference the [“Award Modification Request and Award Modification Workflows”](#) section for additional information.

Award Modification Requests and Award Modifications are separate records with different states. The Award Modification Request is an action for the departments. The Award Modification is a function of the Central Office to process the Modification Request. View the [Award Modification Guide](#) for a description of the award modification types and required documentation.

Follow the steps below to request an [award modification](#):

1. On the *Award Workspace*, click the **Request Award Modification** button.
2. Complete the following questions on the *Award Modification SmartForm* page. When complete, click the **Finish** button.
  - a. 1. **Short title** – Enter a short title for the modification. Use the following naming convention [Award YR and/or Allocation Impacted] [Action:NCE] [Insert deadline]. For example: Year 4: NCE\_06/01/20.
  - b. 2. **Date requested** – This field automatically populates with today’s date.
  - c. 3. **Full description of requested changes** – Enter a description of the award changes being requested.
  - d. 4. **Supporting documents** – Upload supporting documents, when applicable.
  - e. 5. **Specialist** – Indicates the assigned specialist in the Office of Research Administration.
3. After clicking the **Finish** button, the system returns you to the *Award Modification Request Workspace*. If additional updates are necessary, use the **Edit Modification Request** button. Otherwise, click the **Submit to Specialist** activity.
4. In the *Submit to Specialist* window, add any applicable comments and click **OK**.
5. The system updates the Award Modification Request to the “Review” state and sends an email notification to the assigned Specialist.

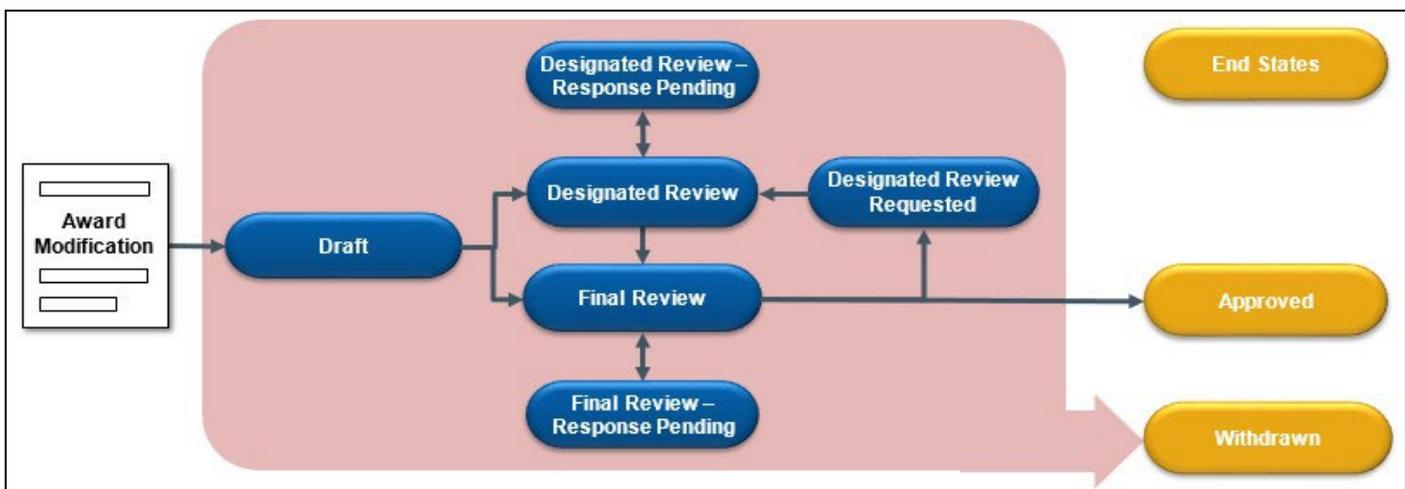
## 7.2. How to Complete Department Edits For an Award Modification

Depending on the award modification type, the Specialist in the Office of Research Administration (ORA) may need the department to complete information on the Award Modification SmartForm.

When the award modification is created, it is in the “Draft” state. There is no system workflow between the department and ORA, therefore if the Specialist in ORA needs the department to complete information on the Award Modification, they will notify the department using the “Send Email” activity.

When the department has completed their updates, use the “Send Email” activity to notify the Specialist.

For reference, below is the workflow of an Award Modification by State:



To view a screen shot of the “Award Modification Request” workflow, please refer to 12.3.1.

## 8. How to Manage Deliverables

Deliverables are entered in the system by the Office of Research Administration during award setup, however the research community is responsible for managing and completing the deliverables in the system. The research community may also setup their own deliverables for tracking purposes.

A reminder email notification is sent to the “Responsible Party” and all other staff selected to receive notifications when the deliverable due date is 60 days and 30 days out. Email notifications are **not** sent once the due date has passed.

A list of deliverables is displayed on the **Deliverables** tab of the *Award Workspace*.

**!** **Important:** You must be associated to the individual deliverable as either the “Responsible Party” or as “Additional staff receiving deliverable notifications” in order for the “Complete” button to display in the Manage Deliverables window, which allows you to complete the deliverable.

If you are an Award Editor that needs to complete a deliverable, but you do not see the “Complete” button (because you are not associated with the deliverable), use the **Manage Deliverables** activity to associate yourself to the deliverable. Once the update is made, the “Complete” button is displayed.

In the example below, Joe Bloggs is an editor on the award, but is not associated with the “Ad Hoc Progress Report” deliverable, therefore the “Complete” button is not available. In order for Joe to complete this deliverable, he needs to use the Manage Deliverables activity to associate himself with the deliverable by adding his name to Question 7. “Additional staff receiving deliverable notifications”. After clicking OK, the “Complete” button will display in the Manage Deliverables window.

The screenshot shows the 'Manage Deliverables' interface. On the left, a table lists deliverables: 'Ad Hoc Progress Report' (due 12/31/2019), 'Annual Progress Report' (due 7/1/2019), 'Annual Progress Report 2' (due 7/1/2019), and 'Annual Progress Report 3' (due 7/1/2019). The 'Ad Hoc Progress Report' row has a 'Complete' button. On the right, the 'Edit Deliverable' form is shown with the following fields:

- 1. \* Name: Ad Hoc Progress Report
- 2. Deliverable description: (empty text area)
- 3. Set number of occurrences: 1 of 1
- 4. Frequency: On Demand
- 5. \* Due date: 12/31/2019
- 6. \* Responsible party: Rebecca Simms (pl)
- 7. Additional staff receiving deliverable notifications: (empty table with columns: First Name, Last Name, Employer, Title)

### 8.1. How to Add a Deliverable

Follow the steps below to add a deliverable:

1. On the *Award Workspace*, click the **Manage Deliverables** activity.

- In the *Manage Deliverables* window, click the **Add** button.



- In the *Add Deliverable* window, complete the fields as noted below. When complete, click **OK**.
  - Name** – Enter a short, descriptive name for the deliverable
  - Deliverable description** – Describe the action or work requirement necessary to complete this deliverable.
  - Set number of occurrences** – Indicate the number of times the deliverable action or task should occur.
  - Frequency** – Indicate how often the deliverable should occur based on the setup number of occurrences indicated.
  - Due Date** – Date the deliverable is due.
  - Responsible party** – Select the primary person responsible for completing this deliverable.

**Note:** Award editors must be associated with a deliverable, either as the “Responsible Party” or as “Additional staff receiving deliverable notifications”, in order to complete the deliverable in the system.

- Add additional deliverables as needed. When complete, click **OK**.
- To review the deliverables, click on the “Deliverables” tab of the *Award Workspace*.

Modifications	Totals	Funding Allocations	Deliverables	Subawards	Child Awards	Related Projects	Reviewers	Co
The deliverables associated with this award are listed below. If you want to modify the deliverables, use the Manage Deliverables activity.								
Filter by <span>Owner First</span> <span>Enter text to search for</span> <span>+ Add Filter</span> <span>X Clear All</span>								
Deliverable	Owner First	Owner Last	Notification Due Date	Due Date	Status			
<span>Complete</span> Annual Financial Report 1	Rebecca	Simms (pi)		9/1/2020	Not Started			
<span>Complete</span> Annual Financial Report 2	Rebecca	Simms (pi)		9/1/2021	Not Started			
2 items			page 1 of 1					

## 8.1.2. How to Edit and Complete A Deliverable

Follow the steps below to edit and/or complete a deliverable:

- On the *Award Workspace*, click the **Manage Deliverables** activity.

2. In the *Manage Deliverables* window, click the **Name** of the deliverable to edit it.

**Manage Deliverables**

1. Add deliverables: ?

	Name	Due Date	Responsible Party	Status	Completion Date
<input type="button" value="+ Add"/>					
<input type="button" value="Complete"/>	Ad Hoc Progress Report	12/17/2019	Rebecca Simms (pi)	Not Started	<input type="button" value="⌵"/>
<input type="button" value="Complete"/>	Annual Financial Report 1	9/1/2020	Rebecca Simms (pi)	Not Started	<input type="button" value="⌵"/>
<input type="button" value="Complete"/>	Annual Progress Report 2	9/1/2021	Rebecca Simms (pi)	Not Started	<input type="button" value="⌵"/>

a. In the *Edit Deliverable* window, you can update the status to "In Progress".

**Edit Deliverable**

1. \* Name: ?

2. Deliverable description: ?

3. Set number of occurrences:  
 1 of 1

4. Frequency: ?  
 On Demand

5. \* Due date: ?

6. \* Responsible party: ?  
 Rebecca Simms (pi)

7. Additional staff receiving deliverable notifications:

First Name	Last Name	Employer	Title
Joe	Bloggs (pi4)	Huron Consulting, Inc.	<input type="button" value="⌵"/>

8. \* Status:

- To complete the deliverable, click the **Complete** button.

**! Important:** You must associate to the individual deliverable as either the “Responsible Party” or as “Additional staff receiving deliverable notifications” in order for the “Complete” button to display in the Manage Deliverables window, which allows you to complete the deliverable.

If you are an Award Editor that needs to complete a deliverable, but you do not see the “Complete” button (because you are not associated with the deliverable), use the **Manage Deliverables** activity to associate yourself to the deliverable. Once the update is made, the “Complete” button is displayed.

- In the *Complete Deliverable* window, update the fields and click **OK**.

Manage Deliverables

1. Add deliverables: ?

+ Add

	Name	Due Date	Responsible Party	Status	Completion Date
Complete	Ad Hoc Progress Report	12/17/2019	Rebecca Simms (pi)	In Progress	
Complete	Annual Financial Report 1	9/1/2020	Rebecca Simms (pi)	Not Started	

**Complete Deliverable**

1. **Name:**  
Ad Hoc Progress Report

2. **Due date:**  
12/17/2019

3. **\* Attach completed document(s):**

+ Add

Name

There are no items to display

4. **\* Completed date: ?**

5. **\* Completed by: ?**

- When returned to the Manage deliverables window, the Status is updated, and the Completion Date displayed. When complete, click **OK**.

## Manage Deliverables

## 1. Add deliverables: ?

	Name	Due Date	Responsible Party	Status	Completion Date
	Ad Hoc Progress Report	12/17/2019	Rebecca Simms (pi)	Completed	12/17/2019
Complete	Annual Financial Report 1	9/1/2020	Rebecca Simms (pi)	Not Started	
Complete	Annual Progress Report 2	9/1/2021	Rebecca Simms (pi)	Not Started	

6. Deliverable information can be reviewed on the **Deliverables** tab of the *Award Workspace*.

Modifications	Totals	Funding Allocations	Deliverables	Subawards	Child Awards	Related Projects	Reviewers	Correspondence	History	...
The deliverables associated with this award are listed below. If you want to modify the deliverables, use the Manage Deliverables activity.										
Filter by	Owner First	Enter text to search for		Q	+ Add Filter	X Clear All		Export		
Deliverable	Owner First	Owner Last	Notification Due Date	Due Date	Status	Completion Date	Completed By			
Ad Hoc Progress Report	Rebecca	Simms (pi)		12/17/2019	Completed	12/17/2019	Rebecca Simms (pi)			
Complete Annual Financial Report 1	Rebecca	Simms (pi)		9/1/2020	Not Started					
Complete Annual Progress Report 2	Rebecca	Simms (pi)		9/1/2021	Not Started					

## 9. How to Manage Pre-Proposal

A pre-proposal, or letter of intent, is submitted into the system in the same way as a proposal.

## 10. How to Manage Follow-On Proposal Types

The following types of follow on proposals can be created:

- **Continuation** – Used to record that UCF filled out a RPPR (Research Program Progress Report) on the eRA Commons website.
- **Renewal** – Create a renewal for a proposal in the “Awarded” state.
- **Revision** – Create a supplement for a proposal in the “Awarded” state.
- **Resubmission** – Create a resubmission from a proposal in the “Not Funded” or “Withdrawn” states. Note that these states occur only after the proposal has been in the “Pending Sponsor Review” state.

The subsections below describe how to create each of these follow on proposal types.

### 10.1. How to Create a Noncompeting Continuation Proposal from An Active Award

A noncompeting continuation proposal records that UM filled out a RPPR (Research Program Progress Report) on the eRA Commons website. It follows the same workflow as the proposal, but is linked to an active award.

For National Institutes of Health (NIH), a noncompeting continuation proposal is a request or award for a subsequent budget period within a previously approved project for which a recipient does not have to compete with other applications.

**Note:** Noncompeting Continuation proposal IDs are amended with “Con” and the number of the continuation.

FP00000024\_Con1 Continuation

On the *Award Workspace* of an award in the “Active” state, click the **Create Continuation** button.

1. The *Continuation Proposal SmartForm* displays. The **Title** of the award has been amended with “Continuation”, however the name can be modified.
2. Supply the progress report information requested on each page and click **Continue**. Attach the Final Draft of the RPPR. On the final page, click **Finish**.
3. On the *Proposal Workspace*, click the **Submit for Department Review** activity and click **OK**.

### 10.1.2. How to Create a Renewal Proposal

A renewal is the initial request for additional funding for a period subsequent to that provided by a current award. Renewal applications compete for funding with all other peer reviewed applications and must be developed as fully as though the applicant is applying for the first time. (Previously referred to as “competing continuation.”)

Follow the steps below to create a renewal proposal:

1. On the *Proposal Workspace* of a proposal in the “Awarded” state, click the **Create Renewal** button.
2. The Proposal SmartForm displays. Notice Question 1. “Type of application” indicates a type of “Renewal”.
3. Update the questions as necessary and use the **Continue** button to navigate through the *SmartForm*. On the last page click the **Finish** button.
4. When returned to the *Proposal Workspace*, note the state is “Draft” and the proposal type is indicated as “Renewal”.

FP00000092 Renewal

5. Complete the Budget and any other necessary activities and/or tasks.
6. When the submission is complete, click the **Submit for Department Review** activity.
7. The renewal proposal follows the same workflow as the primary proposal.

### 10.1.3. How To Create A Competing Revision To A Proposal

A Competing Revision is the initial request for (or the award of) additional funds during a current project period to support new or additional activities that are not identified in the current award. This request reflects an expansion of the scope of the grant-approved activities.

Follow the steps below to create a competing revision to a proposal:

1. On the *Proposal Workspace* of a proposal in the “Awarded” state, click the **Create Revision** activity.
2. In the *Create Revision* window, enter the **Competing Revision name** and click **OK**.
3. The *Proposal SmartForm* displays. Notice the **ID** has been amended with “Rev” and the number of the revision.

Editing: FP00000024\_Rev1

4. Update the questions as necessary and use the **Continue** button to navigate through the *SmartForm*. On the last page click the **Finish** button.

- When returned to the *Proposal Workspace*, note the state is “Draft” and the proposal type is indicated as “Revision”.



- Complete the Budget and any other necessary activities and/or tasks.
- When the submission is complete, click the **Submit for Department Review** activity.
- The renewal proposal follows the same workflow as the primary proposal.

#### 10.1.4. How Create A Resubmission Proposal

A resubmission is an unfunded application that has been modified following initial review and resubmitted for new consideration.

Follow the steps below to create a resubmission from a proposal in the “Not Funded” state. Note that these states occur only after the proposal has been in the “Pending Sponsor Review” state.

**Note:** *If the proposal is not in the Not Funded state, use the PI may use the activity Notify SPO of Grant Status and notify them of the state. The proposal team may use the Send Email activity and notify the specialist of the status. Once the Funding Proposal is in the Not Funded state, the Resubmission proposal can be created.*

### 11. How to Create an Agreement from a Proposal

Agreement records in IBISResearch can be created from Proposal records in the system. When this occurs, the records are automatically linked and reflected on the **Related Projects** tab.

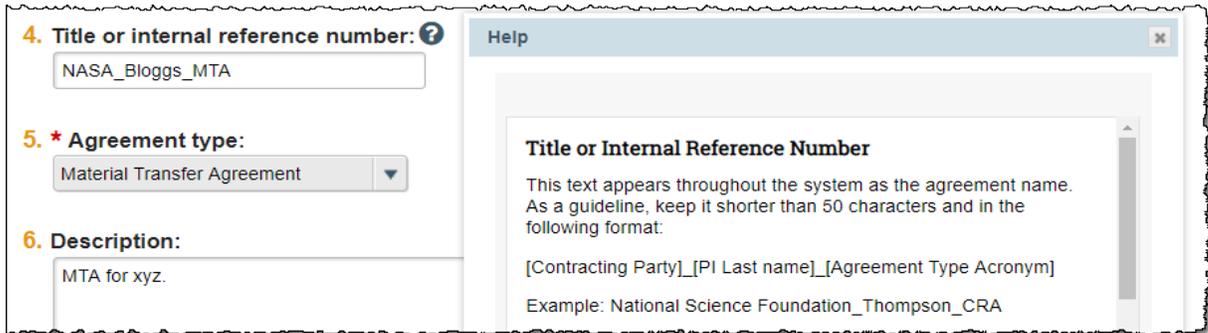
Follow the steps below to create an agreement from a Proposal or Award:

- On the *Proposal or Award Workspace*, click the **Create Agreement** activity.
- In the *Create Agreement* window, select the **Agreement Type** and click **OK**.

**Important:** *At this point, the agreement record has only been created. Continue through the additional steps below to complete the Agreements SmartForm and submit it to the Office of Research Administration within the IBISResearch system.*

- When returned to the *Workspace*, click on the **Related Projects** tab.
- Click the **ID** link to navigate to the *Agreement Workspace* within the IBISResearch Agreements module.
- Complete the Agreements SmartForm and note the following:
  - Agreement Upload* page – Complete the questions and note the following points. Click **Continue** when finished.
    - **1. Agreement Manager/Principal Investigator** – Enter or search for the PI’s name.
    - **2. Agreement Creator** – This field is automatically populated with the person who created the agreement.
    - **3. Upload agreement draft** – Upload a draft of the agreement document or use the **Institution to generate first draft?** checkbox if applicable.

- **4. Title or internal reference number** – Click the help link for guidance on how to name the agreement record.



- **5. Agreement type** – Select the agreement type.

b. *General Information* page – Complete the questions and note the following points. Click **Continue** when finished.

- **1. Select an organization** – Enter or select the external party associated with this agreement.
- **For Questions 2 – 4**, enter the contact information, if available.
- **5. Agreement collaborators** – Add any UM team members or leadership that may need read/edit access for the Agreement (e.g. Department Administrators).
- **6. Responsible Department** – Select the UM organizational unit responsible for this agreement, which may or may not be the same as the PI’s home department. Please ensure that the responsible department is correctly selected.

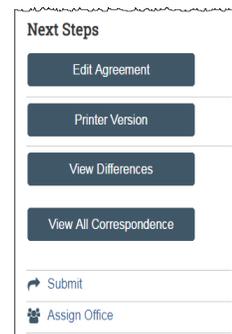
c. *Additional pages* – Additional pages may display based on the agreement type selected. Complete the questions as necessary and click **Continue**.

a. *Completion Instructions* page – Read the directions for the next steps. When ready, click **Finish** to complete the SmartForm. The *Agreements Workspace* now displays.

**!** Clicking **Finish** moves your agreement into the “Pre-Submission” state, but does **not** submit your agreement to the ORA. This allows for additional edits and/or actions to occur prior to the agreement submission (e.g. editing the agreement, adding Ancillary Reviews, etc.).

6. On the *Agreements Workspace*, click the **Submit** button to submit your agreement to the Office of Research Administration. Once your agreement has been submitted, the status updates to “Unassigned.”

**!** **Important:** Agreements remain editable to you while in the Pre-Submission and Unassigned states. After the agreement has been moved to the In Review state (which indicates an Owner has been assigned), you will have view only access to the agreement.

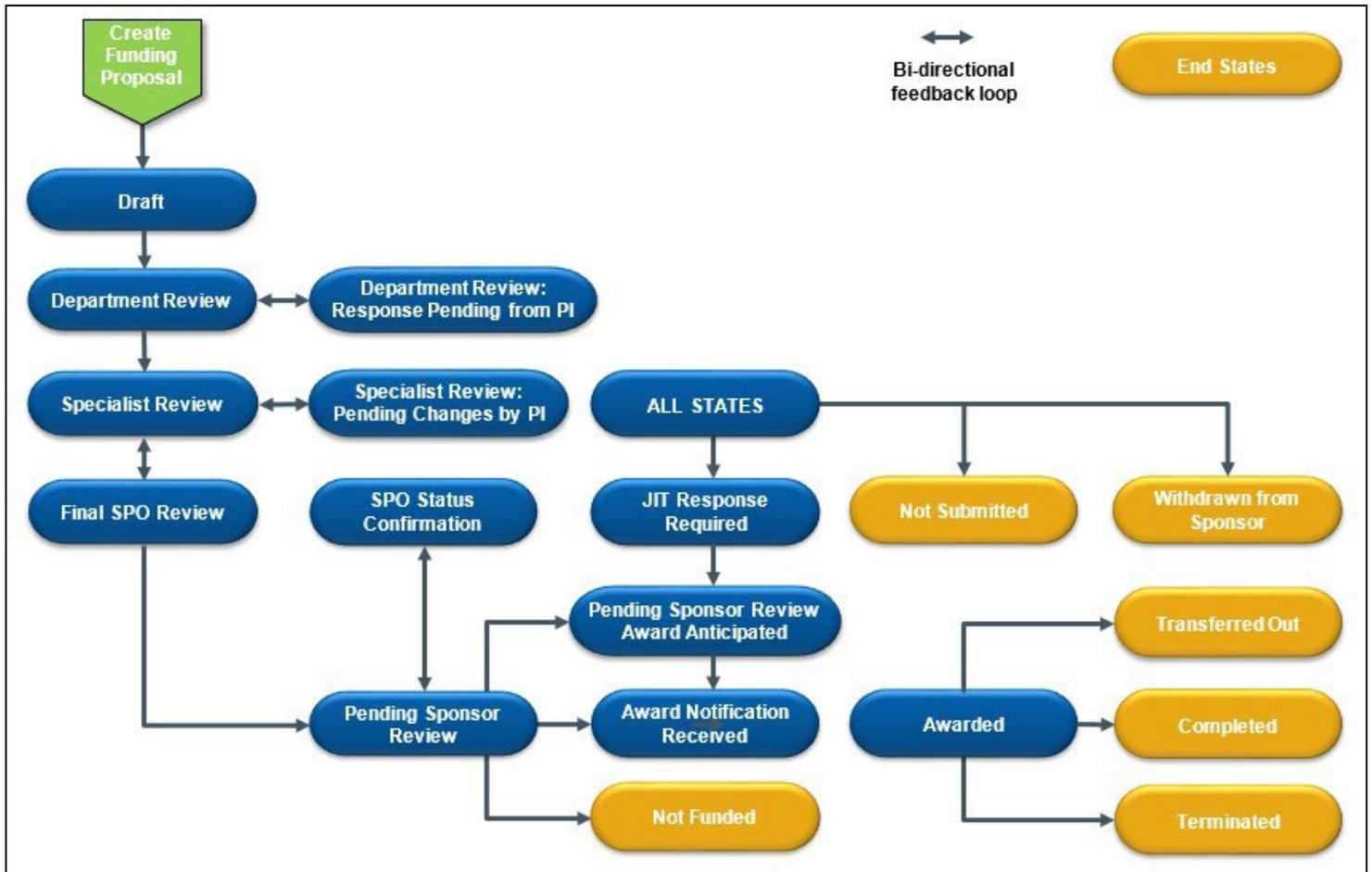


## 12. Appendix

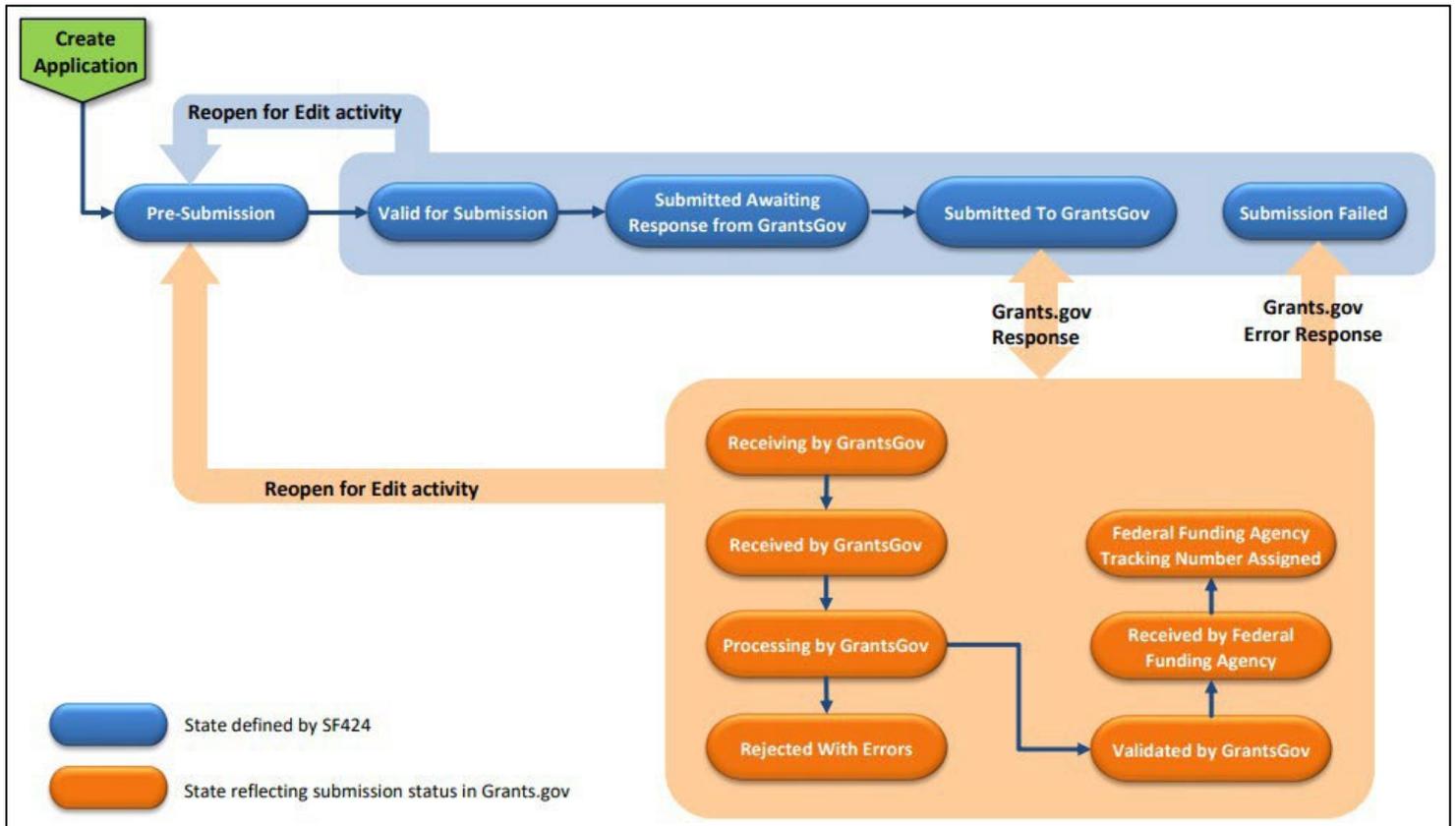
### 12.1 Understanding the Workflows

The diagrams below illustrate the workflows of Proposal, Award, Award Modification Requests, and Award Modification records.

Below is the workflow of a Proposal by State:

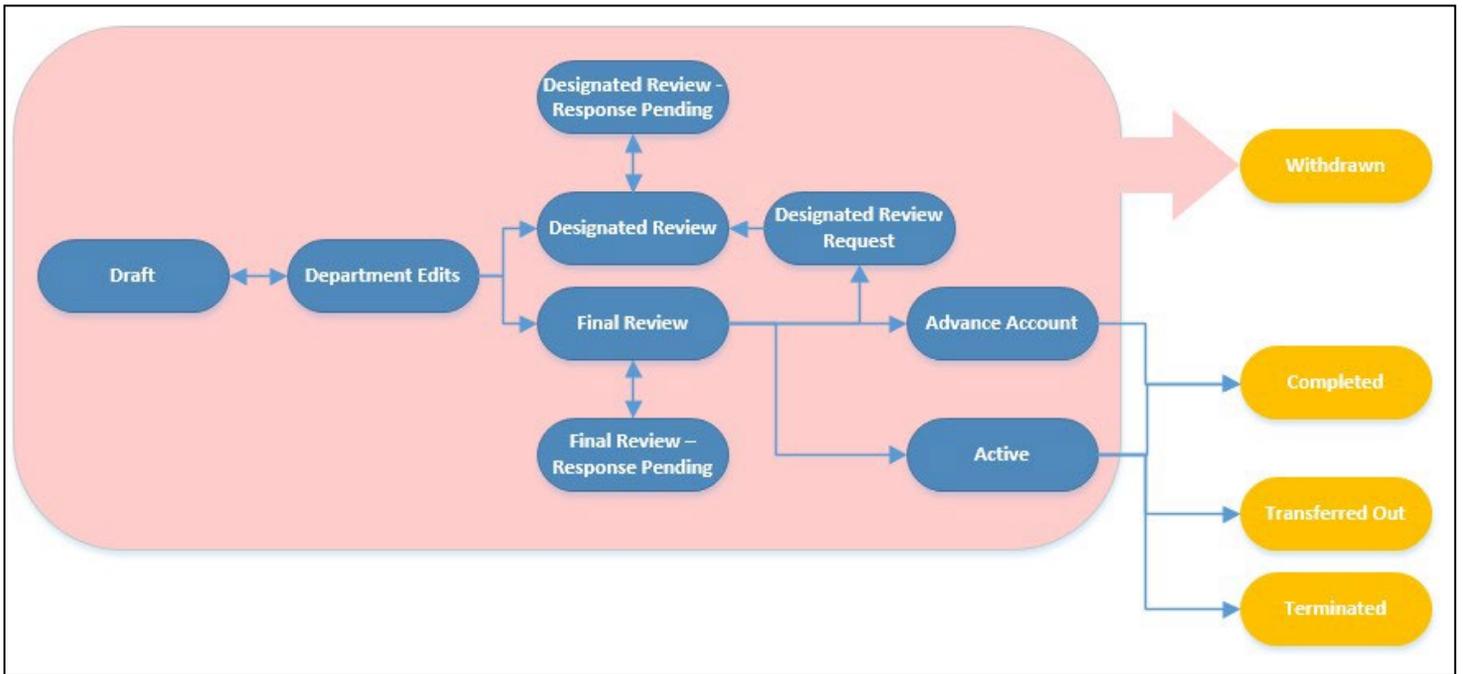


## 12.2. System-to-System Submissions through Grants.gov Workflow



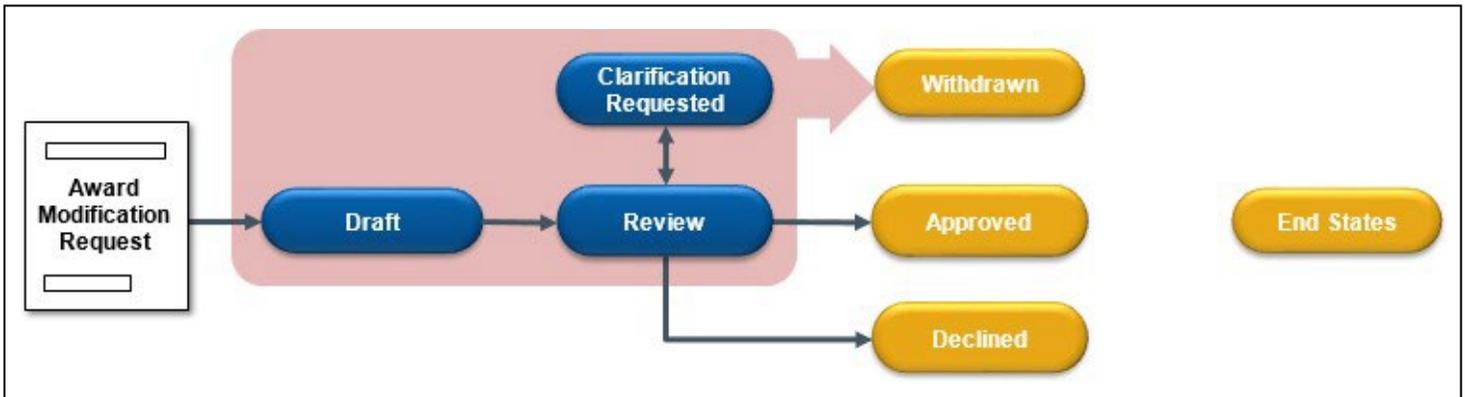
### 12.3. Award Workflow

Below is the workflow of an Award by State:

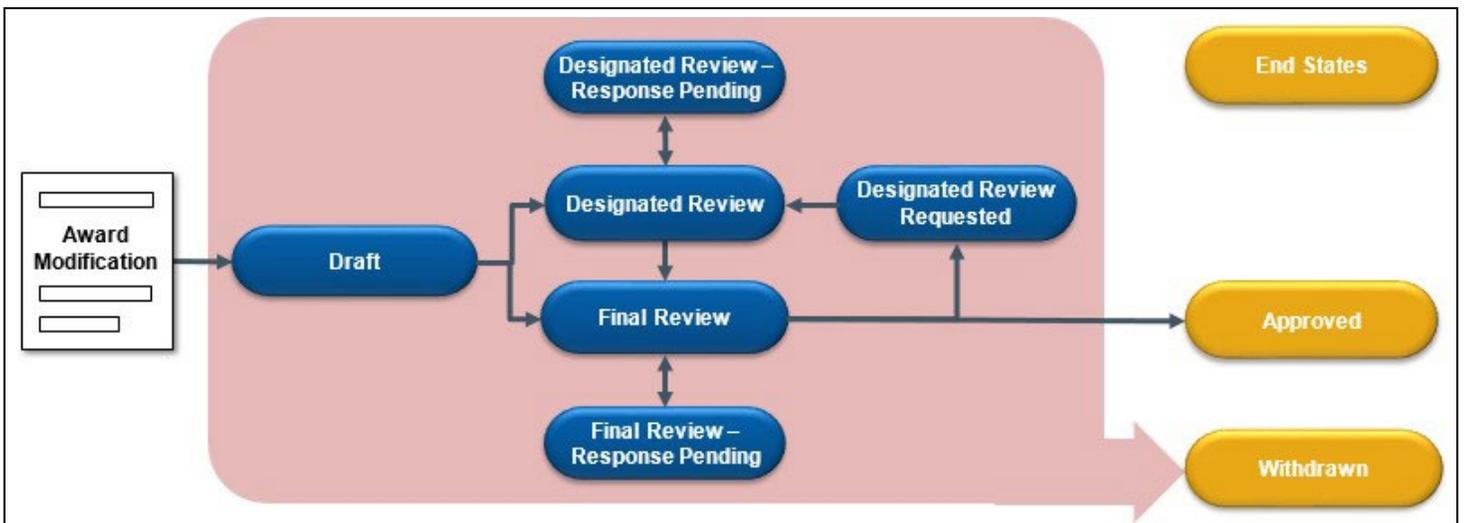


### 12.3.1. Award Modification Request and Award Modification Workflows

Below is the workflow of an Award Modification Request by State:



Below is the workflow of an Award Modification by State:



## 13. Understanding Email Notifications

Many activities and state transitions within the workflows trigger email notifications. The subsections below identify when email notifications for proposals, awards, award modification requests, award modifications, and subawards.

 **Important:** Email notifications will only be sent to UM email addresses only.

### 13.1. Proposal Email Notifications

Trigger	Sent To
Manage Ancillary Review activity	Assigned Ancillary reviewers
Send Email activity	Recipients selected in the activity
State transition from “Department Review” to “Department Review: Response Pending from PI”	PI, Administrative Contact
State transition from “Final SPO Review” to “Pending Sponsor Review” (with or without a SF424 submission)	PI, Administrative Contact
State transition to “JIT Response Required”	PI, Administrative Contact
State transition from “Draft” to “Department Review”	Department Reviewers
State transition to “Not Submitted”	PI, Administrative Contact
State transition from “Specialist Review” to “Specialist Review: Pending Changes by PI”	PI, Administrative Contact
State transition from “Department Review: Response Pending from PI” to “Department Review”	Department Reviewers
Award Letter Received activity	Assigned Specialist, proposal editors, proposal readers
Notify SPO of Grant Status activity	Assigned Specialist

## 13.2. Award Email Notifications

Trigger	Sent To
Manage Ancillary Reviews	Assigned Ancillary Reviewers
Send Email activity	Recipients selected in activity window
30 Day Reminder	Deliverables owner, responsible party, and any other staff selected to receive notifications
60 Day Reminder	Deliverables owner, responsible party, and any other staff selected to receive notifications
Activate activity (when Award is activated)	Assigned Specialist, PI, Administrative Contact
Activate activity (when Award has an Advance Account)	Assigned Specialist, PI, Administrative Contact
Assign Award Approver activity	Award Approver
State transition from "Draft" to "Department Edit"	Award Editors, Assigned Specialist

### 13.3. Award Modification Request Email Notifications

Trigger	Sent To
Approve activity	Submitter of the award modification request
Request Clarifications activity	Submitter of the award modification request
Submit Clarifications activity	Assigned Specialist
Decline activity	Submitter of the award modification request
Assign Specialist activity	Assigned Specialist
Submit to Specialist activity	Assigned Specialist
Assign Submitter activity	Submitter of the award modification request
Withdraw	Assigned Specialist

#### 13.3.1. Award Modification Email Notifications

Trigger	Sent To
Manage Ancillary Reviews activity	Assigned ancillary reviewers
Approve activity	PI, Assigned Specialist, Administrative Contact
Assign Award Approver activity	Assigned Award Approver
Request Changes activity (initiated by Designated Reviewer)	Assigned Specialist
Request Changes activity (initiated by Award Approver)	Assigned Specialist
Request Designated Review activity	Assigned Specialist
Submit Changes activity (for designated review)	Assigned Designated Reviewer

Trigger	Sent To
Submit Changes activity (for final review)	Assigned Award Approver
Assigned Designated Reviewer activity	Assigned Designated Reviewer
Send Email activity	Recipients selected in activity window
Assign Specialist activity	Assigned Specialist
Submit for Designated Review activity	Assigned Designated Reviewer
Submit for Final Review activity	Assigned Award Approver
Withdraw activity	PI, Assigned Award Approver, Assigned Specialist

### 13.4. Subaward Email Notifications

Trigger	Sent To
Send Fully Executed Notification	Recipients selected on the Personnel page of the Subaward SmartForm