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Getting Started

Video tutorials, this guide and additional training materials are available at; 
https://research.case.edu/Prop_Dev/Sparta/SpartaTraining.cfm.

Quick Start

Login

1. Type case.edu/SPARTA into your internet browser bar.
2. Save as a favorite or bookmark.
3. Type your CWRU ID and Password in the user name and password text boxes.

4. Click the check box labeled Remember me if you would like to be automatically logged in each time you visit case.edu/SPARTA.
5. Click Login.

Save, Print, Exit and Hide/Show Errors

1. The commands appear at both the top and bottom of SmartForms.
2. Click Save to save your work on a SmartForm.
3. Click Exit to return to a workspace screen from a SmartForm. If you click Exit with unsaved changes, SPARTA will prompt you to Save before exiting.
4. Click Print to a print SmartForm you are editing or viewing.

5. Print a document from the workspace using the provided task, Printer Version.
6. Do NOT use browser controls or keyboard shortcuts to print unless SPARTA prompts you to do so.
7. Click **Hide/Show Errors** to open or collapse the error message window.

**System Navigation**

1. Do NOT use browser controls (back, forward, refresh) to navigate within SPARTA.
2. When editing a SmartForm (e.g., Funding Proposal) navigation is controlled by both the system **Back** and **Continue** buttons and the **Jump To** drop-down list.

3. Primary system navigation is accomplished via hierachal menus arranged in tabs horizontally along the top of the screen.
4. Breadcrumbs provide a trail for the user to follow back to a starting or entry point within the system. Breadcrumbs are arranged like this: **Home page > Section page > Subsection page**
5. Breadcrumbs are also used in SmartForms. Icons indicate the kind of document (in this case, a budget.) Click the Breadcrumb labeled **Proposal Number Two** to access the Funding Proposal SmartForm related to the budget shown.

### Attach a File

1. After clicking the prompt to add a document (ex., **Budget Rate Justification**: Add), Click **Choose File**.

2. A file browser will open on your computer.
3. Navigate to the location of the document you want to attach.
4. Click the document name once to select it and then click **Open**.
NOTE: This operation may vary slightly based on your Operating System (i.e., Windows 7, Mac OS, Ubuntu 13.04, etc.)

5. Document name defaults to selected file name. Or type in a custom document name.

Note: for Grants.gov submissions the attachments will auto map to the SF-424 with the name of the uploaded file.

6. Click **OK** to add the document to SPARTA or **Cancel** to continue without changes.

Create a Template (copy a Funding Proposal)

1. Click **Grants**.
2. Select a source **Funding Proposal**.
3. Click **Make A Copy**.

*Figure 9 Make a copy task, Workspace*
4. Follow prompts, making certain to choose **Yes** for **Copy to My Templates**.

![Figure 10 Templates (make a copy) dialog box](image)

**NOTE:** Choose **Use Background Processing** to schedule activity for time period when server resources are available. Do not select this option if project is urgent.

**Notes on Data Mapping to the SF-424**

**SPARTA Profile:** Information included in the SPARTA Profile is used to pre-fill both the Smartform and SF-424 (i.e., Research & Related Senior/Key Person Profile) applications. Frequent sponsors/contact people are not mapped.

**General Proposal Information:** Information is used for the SF-424 Cover page, but also PHS 398 Cover Letter Supplement, PHS 398 Research Plan and PHS 398 Checklist.

**Grants.gov Funding Opportunity:** Information is used for the SF-424 Cover page. Also dictates budget periods and durations (needed for budget calculations related to any used Research & Related Budget, Modular Budget or PHS 398 Training Budget).

**Additional Grants.gov Questions:** Used generally for Research & Related Other Project Information.

**Budget Grids:** Used to calculate period and cumulative costs; direct, indirect and total. SPARTA calculates indirect costs based on F&A Rate and Type. General Supplies generate indirect costs based on user selections.

A detailed budget is required for all Sponsored Projects. Participant effort must be included.
For NIH Modular Budgets, cumulative totals are calculated in increments of direct costs of $25,000 up to $250,000

Element Names, definitions

**Tab:** Labeled group of options used for many similar kinds of settings.

**Check box:** Square box that is selected or cleared to turn on or off an option. More than one check box can be selected.

**Option button:** Round button used to select one of a group of mutually exclusive options.

**Text box:** Rectangular box in which the user can type text. If the box already contains text, the user can select that default text or delete it and type new text.

**Drop-down list:** Closed list box with an arrow next to it. Clicking the arrow opens the list.
My Home

When you log in to SPARTA, the first screen you will see is called My Home. My Home is SPARTA Grand Central Station – the point where all documents and communications related to your funding proposals intersect, are managed and accessed.

To return to My Home at any time, simply click the CWRU banner at the top of the page. Or click the link in the upper right corner of the screen labeled My Home.

Organization

My Home is a workspace organized into two main panels. Roles are listed on the left side of the page (My Roles). Funding proposals are listed in the center.

Know your Role

Inbox content is filtered based on selected role. The inbox presents work which requires user action. Several additional tabular categories organize work which does not require immediate attention.

Choose the relevant role by clicking on its name in the My Roles list before you access or create a Funding Proposal (FP). The chosen role will be highlighted in a yellow rectangle above the list.

Questions about Roles

If you still have questions about roles contact the Office of Research Administration. Click Home and then Contact Us for current contact information.

Information from your proposal role, SPARTA profile and project state create a context for action. Without each, the system may prompt you to complete a task which may not be your responsibility, or prompt you to take an action at the wrong time.

System notifications also rely on this information.

If you have not already done so please take a moment to verify that your SPARTA profile is complete and accurate.
**Tabular Categories**

Tabs keep your inbox focused on action and help to visualize how work is flowing through the system.

All SPARTA users will see the inbox as the first tab in center panel of their workspace. Other categories may vary based on the selected role.

The most common categories in order from left to right are “My Inbox”, “In Draft”, “In Route”, “Submitted”, “Awarded”, “All” and “Not Funded”.

**Wildcard Syntax %**

Contains: Prefix and suffix search term with %

Ends with: prefix search term with %

Begins with: add % as suffix to search term

Partial entries and wildcards are accepted in filter (search) boxes.

**Search Results**

Control how much information displays on the screen at a time by changing the number of rows per page.

To change, Click in the “NUMBER / page” box at the bottom of any list, and type the desired number of rows to display. The maximum rows per page is 100.

10 / page

**ID numbers, Filter, Sort and Search**

SPARTA provides many tools to quickly locate a specific proposal. All proposals are assigned a SPARTA ID.

Every SPARTA ID is composed of two pieces – a prefix (e.g., FP – new funding proposal) and a unique system-generated 8 digit number.

Items indexed with a SPARTA ID include budgets, cost share budgets, letters of intent and IPAS requests. Refer to chart below for identifying marks.

<table>
<thead>
<tr>
<th>Type</th>
<th>Prefix or Suffix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding Proposal</td>
<td>Prefix, FP</td>
</tr>
<tr>
<td>Budget (main)</td>
<td>Prefix, BU</td>
</tr>
<tr>
<td>Budget (cost share)</td>
<td>Prefix, BU; Suffix, CS</td>
</tr>
<tr>
<td>IPAS Request</td>
<td>Prefix, IPAS</td>
</tr>
<tr>
<td>Letter of Intent</td>
<td>Prefix, LOI</td>
</tr>
</tbody>
</table>

**Filter and Search**

Filters reduce the number of items in a list by removing results that do not match user-defined criteria.

You may filter the any tab view by one or more of these characteristics; ID, Name, Date Modified, Owner Last Name, Owner First Name, State, PI, Primary Sponsor or Submission Type.

To use the Basic filter, select one criteria to filter by from the drop-down list provided, type in a filter value, and click “Go”.

To clear the filter and start over, click the button labeled “Clear”.

*Figure 12 Basic Filter*

*Figure 13 Advanced Filter*

The Advanced filter allows the user to select two additional filter criteria. Click “Advanced”
to use this function or “Basic” to return to default settings.

Partial entries and wildcards are accepted in filter (search) text boxes.

Sort

Sorting changes the display order of a list. Sorts may be applied to previously filtered or unfiltered lists.

Click a column name to sort by column criteria. Click a second time to reverse the sort order.

A small arrow indicates the column sorted by, and sort order. An upward-facing arrow means ascending values (e.g., oldest first, A-Z), downward-facing, ascending (e.g., newest first, Z-A).

NOTES:

Figure 14 Column name at the head of the column, blue text with gray background

<table>
<thead>
<tr>
<th>ID</th>
<th>Name</th>
<th>Date Modified</th>
<th>State</th>
</tr>
</thead>
<tbody>
<tr>
<td>FP00121015</td>
<td>PCORI Group Model Building</td>
<td>4/4/2013 8:08 AM</td>
<td>Pending Sponsor Review</td>
</tr>
<tr>
<td>FP00121067</td>
<td>PAR Project</td>
<td>4/4/2013 8:08 AM</td>
<td>Pending Sponsor Review</td>
</tr>
<tr>
<td>FP00121083</td>
<td>Character Development</td>
<td>4/4/2013 8:08 AM</td>
<td>Pending Sponsor Review</td>
</tr>
<tr>
<td>FP00121084</td>
<td>NOSC Pilot-Rosca</td>
<td>4/4/2013 8:09</td>
<td>Pending Sponsor Review</td>
</tr>
</tbody>
</table>
Funding Proposal Workspace

To open the Funding Proposal Workspace, click the name of an existing funding proposal in My Home.

NOTE: IPAS, Letters of Intent (LOI), Budgets, Funding Proposals (FP) and Awards have unique workspaces.

Organization

The proposal workspace is divided into three main panels. Current State and Tasks (actions), Summary Views and Detailed Views.

Current State, Tasks and My Activities are listed on the left side of the workspace.

Summary Views are located in the top-central panel below the title. This is information related only to the currently selected proposal.

Detailed Views (history, change log, Just-in-time (JIT) attachments and related follow-on-submissions) are located in the center below Summary Views.

States

The initial state of any item in SPARTA is Draft, which means that the specific item has not yet been routed through the system for review or approval. Also, formal reviews and certifications have not yet been completed.

While in the FP workspace, current state will always appear at the top of the left panel, highlighted in yellow.

Return to the personal workspace from anywhere in the system by clicking the CWRU banner at the top of the page.

Breadcrumbs provide a trail for the user to follow back to a starting or entry point within the system. Breadcrumbs are arranged like this:

Home page > Section page > Subsection

The type of work and its ID are always displayed in the upper-right hand corner of the Project Workspace.
Tasks

Actions and Activities are context specific tasks that vary based on the current state of a proposal and user role.

Remember to choose the relevant role from the My Roles list in My Home before opening the Funding Proposal Workspace. This will ensure the full range of appropriate activities are displayed on screen.

Summary Views

Summary views in the FP Workspace shown in tabs and are consistent across all roles and states.

From left to right the tab views are Project Information, Budgets, Contacts, Attachments, Financials and Reviewer Notes.

Project Information

Provides basic, high-level information about a proposal – who, what, where, when and how much.

Additionally it provides award negotiation status, notification of funding proposal errors/warnings, and a link to SF-424 information when it applies.

Budgets
Identify, view and access proposal budgets. Track different budget versions or make changes in the budget grids.

Contacts
Quickly view roles and contact information for the PI, key personnel and administrators associated with the FP.

Attachments
Files which have been attached (uploaded) into SPARTA for the selected FP will appear here.
Financials
Financials summarizes FP budgets by major cost categories.

Reviewer Notes
When a user in a Reviewer role makes notes on the FP, his or her notes are captured in Reviewer Notes and History.

Detail Views
Detail views in the Proposal workspace are consistent across all roles and states.

From left to right the views are History, SF-424 Summary, Change Log, Follow-on Submissions, JIT Documents and Snapshots.

Always refer to Departmental, Division or School guidelines for naming conventions when creating a short description for a proposal.

Attachments should be saved in the PDF file format. Every attachment that will be included with the application must have a unique name.

Figure 17 Funding Proposal Workspace - Detail Views at bottom

History
A summary of all of the actions taken, on what date and by whom, beginning with proposal creation.
SF-424 Summary
Provides the SF-424 (application) tracking number, status, current state and receipt dates.

Change Log
Illustrates modifications made to the proposal in response to requests for change by a reviewer.

Follow-on Submissions
A follow-on may be created after a proposal is awarded or when a proposal is rejected. Examples of follow-on submissions include resubmissions, renewals, continuations, supplements, amendments and IPAS requests.

Just in Time (JIT) Documents
Common examples of JIT documents include IACUC and IRB approval certifications, NIH registry stem cell line designations and other support documents.

Snapshots
Snapshots record the Funding Proposal and SF-424 content at the time of sponsor submission and again when FP reaches the Current State Awarded.
This page left blank intentionally.
Budget Workspace

To open the Budget Workspace, first click the Budgets tab in the Funding Proposal Workspace. Then click the name of a budget to open its workspace.

The travel and subsequent budget grids can be completed various ways;

Denote expenses by row expenses based upon specific base costs (i.e. Base Cost at $100, then another line with Base Cost at $1,100).

Denote a base cost of $1 and use period fields to arrive a total cost (i.e. base = $1, Trip Cost in Period 1 = $5,000).

Insert additional rows for varying base or period costs.

Organization

The budget workspace is divided into two main panels. Tasks (actions, scheduled activities) and the current state are listed on the left.

Summary and detail views are located in the center below the budget title.

Remember to choose the relevant role from the My Roles list in My Home. This will ensure the full range of appropriate activities are displayed on screen.

Tasks

Budget tasks are context specific. Example tasks include: Edit Budget, Printer Version, View Differences, Make a Copy, and Export Budget.

![Tasks](image)

States

The initial state of a budget in SPARTA is “Draft” The Current State of a Funding Proposal Budget mirrors the Current State of the Funding Proposal.

The current state will always appear at the top of the left panel, highlighted in yellow.

Views

Summary views in the Budget Workspace are consistent across all roles and states.

From left to right the views are Project Information, Change Log, Financials,
Documents, Snapshots, Subaward/Subcontract and History.

Project Information
Provides basic, high-level information about a budget – Sponsor, PI, cost share amount, grand total and budget type.

Change Log
Shows changes made to a budget.

Financials
A snapshot of a budget summarized by period and control account. Provides bottom line cost, total directs, total indirects and total cost per control account.

Documents
Attachments and files uploaded by users that are related to the selected budget appear here.

Snapshots
Snapshots record budget content at the time of sponsor submission and again when the budget reaches the Current State Awarded.

Subaward/Subcontract
Subaward/subcontract funding proposal workspace and budget information.

History
A summary of all of the actions taken, on what date and by whom, beginning with budget creation.

Changing the Indirect Costs Rate usually requires additional paperwork. Refer to school specific guidelines to identify requirements. Or, if uncertain, contact the Office of Research Administration for guidance.

Attach rate change documentation in SPARTA.

Figure 19 - Financials View

<table>
<thead>
<tr>
<th>Current All-Period Totals</th>
<th>Period 1</th>
<th>Period 1 Cost Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Control</td>
<td>$0</td>
<td>$1,760</td>
</tr>
<tr>
<td>Academic Staff Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Research Personnel Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Student Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Admin &amp; Clerical Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Non-Academic</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Professional Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Technical &amp; Trade Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Fringe Benefits Control</td>
<td>$0</td>
<td>$554</td>
</tr>
<tr>
<td>Travel and Related Expenses</td>
<td>$7,008</td>
<td>$0</td>
</tr>
<tr>
<td>Fellowships/Trainees Control</td>
<td>$50,998</td>
<td>$0</td>
</tr>
<tr>
<td>Insurance Control</td>
<td>$1,503</td>
<td>$0</td>
</tr>
<tr>
<td>General Supplies Control</td>
<td>$2,505</td>
<td>$0</td>
</tr>
<tr>
<td>Equipment Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Internal Services Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Outside Services Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Maintenance &amp; Repairs Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Licenses Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Rentals Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Communications &amp; Shipping</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Control</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Modular Offset</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Bottom Line Budget</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Total Direct</td>
<td>$62,014</td>
<td>$2,314</td>
</tr>
<tr>
<td>Indirect Cost Recovery Control</td>
<td>$16,995</td>
<td>$1,354</td>
</tr>
<tr>
<td>Project Total</td>
<td>$79,009</td>
<td>$3,668</td>
</tr>
</tbody>
</table>
Subaward/Subcontract Budget Workspace

Follow these three steps to open the Subaward/Subcontract Budget Workspace. First select a budget from the Funding Proposal and open its workspace. Next, click the Subaward/Subcontract tab. And finally, click the Subaward/Subcontract budget name to open its workspace.

**Figure 21 Subaward Budget SmartForm**

| 1.0 | *Title (limited to 81 characters & spaces for NIH):* Subaward/Subcontract to Academic Medical Center |
| 2.0 | *Organization:*
    | Academic Medical Center |
| 3.0 | *Budget Type:*
    | ☑ Subaward
    | ☑ Sub-Contract |
| 4.0 | *Principal Investigator:*
    | Jeffrey Simpkins |
| 5.0 | *Dollar Target Limit:*
    | $0 |
| 6.0 | *Subaward/Subcontract Budget Detail Level:*
    | Detailed Budget |
| 7.0 | *Please Indicate the F&A (Indirect Cost) Rate:*
    | 0 % |
| 8.0 | F&A Type: |
    | MTDC |

**Organization**

The subaward/subcontract budget workspace is divided into two main panels. Tasks (actions, scheduled activities) and the current state are listed on the left.

Four summary views are located in the center below the budget title, organization name, budget totals and budget detail level.

**Tasks**

Budget tasks are context specific. Example tasks include: Edit Budget, Printer Version and View Differences.

**States**

The Current State of the subaward or subcontract budget should match the Funding Proposal budget and Funding Proposal.

**Views**

Summary views in the subaward/subcontract workspace are consistent across all roles and states.

From left to right the views are History, Change Log, Personnel and Snapshots.

**History**

A summary of all of the actions taken, on what date and by whom, beginning with budget creation.

**Change Log**

Shows changes made to a budget.

**Personnel**

Quickly identify administrators, the Principal Investigator and additional key personnel. Add or edit staff.

**Snapshots**

Snapshots record the following at the time that SPARTA recognizes the funding submission is submitted to the sponsor and awarded: Date, Budget Description, and Direct, MTDC, Indirect and Budget totals.
IPAS Editor

To open the IPAS Editor, click the name of an existing IPAS project in My Home or follow the instructions to create a new IPAS project.

Organization

The IPAS Editor is a workspace divided into two main panels. Tasks (actions, scheduled activities) and the current state are listed on the left.

Three summary views are located in the center below the project title and summary.

Tasks

IPAS Editor tasks are context specific. Example tasks include: Edit IPAS, IPAS Approved, IPAS Denied, Make a Copy and Request Changes from Department Admin.

Remember to choose the relevant role from the My Roles list in My Home. This will ensure the full range of appropriate activities are displayed on screen.

States

The initial state of work in SPARTA is “Draft”, which means that formal reviews and certifications have not yet been completed.

Current state will always appear at the top of the left panel, highlighted in yellow.

Views

Summary views in the IPAS Editor are consistent across all roles and states.

From left to right the views are History, Budgets, Change Log and IPAS Documents.

History

A summary of all of the actions taken, on what date and by whom.

Change Log

Shows changes made to an IPAS.

IPAS Documents

Workflow generated documents and attachments related to the IPAS appear here.
Letter of Intent Workspace

To open the Letter of Intent (LOI) Workspace, click the name of an existing LOI project in My Home or follow the instructions to create a new Letter of Intent.

Letter of Intent to Establish Consortium

Additional information and instructions may be obtained through the Office of Research Administration website, research.case.edu.

Organization

The LOI workspace is divided into two main panels. Tasks (actions, scheduled activities) and the current state are listed on the left.

Three summary views are located in the center below the project title and summary.

Tasks

LOI tasks are context specific. Example tasks include: Edit LOI, Make a Copy, and Submit for PI Review.

Remember to choose the relevant role from the My Roles list in My Home. This will ensure the full range of appropriate activities are displayed on screen.

States

The initial state of work in SPARTA is “Draft”, which means that formal reviews and certifications have not yet been completed.

Current state will always appear at the top of the left panel, highlighted in yellow.

Views

Summary views in the LOI Workspace are consistent across all roles and states.

From left to right the views are History and Change Log.

History

A summary of all of the actions taken, on what date and by whom, beginning with budget creation.

Change Log

Shows changes made to the LOI.
Detailed Procedures

How to Update your SPARTA Profile

SPARTA uses data directory services to pre-populate your profile. However, because the system uses this information to complete the funding proposal and SF-424, it is imperative to review data for accuracy when you first start using SPARTA and when your contact information, location or title change.

Locate Profile

Identify your SPARTA Profile and select it from a list.

1. Find the tab labeled SPARTA Profiles in the blue navigation ribbon below the CWRU logo. Click here.
2. Locate the drop-down menu labeled Filter by. Click the upside down triangle and select Name from the list.

Figure 25 SPARTA Profiles tab

3. Type your first and last names in the text box next to Name. Click Go.
4. Find your name in the resulting list. Click to select your profile.

Figure 26 SPARTA Profiles selection screen
Verify Profile Details
Determine that your SPARTA Profile is both active and correct.

5. Locate the yellow **Current State** label in the upper left of the screen. If the word **Active** appears, proceed to step seven.
6. If the words **Expired** or **Pending Review** appear contact the Office of Research Administration for assistance by clicking **Home** and then **Contact Us** for current contact information.

Edit Profile Details
Update your SPARTA Profile.

7. Click the task labeled **Edit Researcher Profile**.
8. Verify and update Contact Details (name, address, phone, fax and email).
9. Add comments in text box 20, if needed.
10. Click the **Continue** button.
11. Verify eRACommons User ID, listed degree(s), position(s) and primary department.
12. Add additional or update existing eRACommons User ID, degree(s), position(s) and department as necessary.
13. Click the **Continue** button.

Set Favorites
Choose frequently used or preferred sponsors/key collaborators.

14. Begin typing name of Frequent Sponsor/Collaborator in text box provided. As you type, SPARTA will provide a list of possible matches. Click the matching name to add.

Or, click **Add** to choose names from the master list. Click **Ok** to add.

*Figure 27 Frequent sponsors selection screen*

15. Click the **Continue** button.
Confirm Financial Conflict of Interest Disclosure (FCOI) Status
The status of Financial Conflict of Interest information including a current expiration date updated via Spiderweb nightly.

16. Verify that Financial Conflict of Interest disclosure (FCOI) is up to date, and that it expires at a future date.
17. If FCOI is not up to date or expired, update it in Spiderweb at https://research.case.edu/spiderweb.
18. Click Finish.

End of Procedure
How to Complete a New Funding Proposal

The Funding Proposal Smartform (FP) replaces the EURF. Information entered in the Funding Proposal is leveraged by SPARTA to help streamline compliance reviews, submit proposals directly to Grants.gov (S2S), gather the proper application forms, and generate dynamic high-level project information accessible to faculty, department administrators, division chairs and leadership.

Create and Name

1. Click the **Grants** tab in the horizontal navigation bar near the top of the page.

   *Figure 28 Grants tab*

2. Click the task labeled **New Funding Submission** to start a new FP Smartform.

   *Figure 29 New Funding Submission button with coin icon*

3. Assign the new proposal both a short and long title.

   **NOTE:** For Grants.gov submissions long title is also SF-424 application title.

4. Choose at least one keyword for your project. As you type, SPARTA will provide a list of possible matches. Or, click **Add** to choose keywords from the master list. Click **Ok** to add.
Assign Principal Investigator

19. Click Select to update the PI name when the pre-filled PI name is incorrect or blank.
20. Begin typing PI name in the text box provided. As you type, SPARTA will provide a list of possible matches. Click Select to choose a name and then Ok to add.

**NOTE:** If PI name is not shown in the master list email the Office of Research Administration for assistance at mailto:Sparta@case.edu.

5. If any of the following are anticipated respond Yes to question 4.2 (“Will the Principal Investigator … Human Subjects?”):
   (1) the use of human research subjects,
   (2) human specimens or
   (3) private, identifiable information about living humans.
6. Click Add and then Choose File to attach a Biographical sketch (Biosketch). Click Ok to save or Cancel to continue without changes.

**NOTE:** For Grants.gov submissions Biosketch maps to the SF-424 application.

7. Click Add and then Choose File to attach Other Support documents when required. Click Ok to save or Cancel to continue without changes.

Define Submission, Award, Project and Research Types

8. Verify that Submission Type has correctly defaulted to New.
9. Choose Award Type (Award Mechanism).
10. If appropriate, choose either Small Business Technology Transfer (STTR) or Small Business Innovation Research (SBIR). Leave blank if neither applies.

**NOTE:** Award Type must be grant for STTR or SBIR to apply.

11. Choose Project Type. Project Subtype is required for Other Sponsored Activity.
12. If Project Type is Research, Research Type is required.
13. If Research Type is Applied specify whether the project may be defined as clinical research or human clinical trial.
14. Will the project use Clinical and Translational Science Collaborative (CTSC) resources? Choose Yes or No.
15. Choose a Project Location where a majority (>50%) of the work will be completed. If most work will be completed at an international site choose Off-Campus. If the Project Location is Veterans Affairs (VA) choose VAMC.
Define Due Dates, Start Date, Submission Method and Special Arrangements

16. Type in the funding agency due date and project start date.
17. Note that the internal submission deadline pre-fills a date five business days before the sponsor due date.
18. Choose a submission method (electronic, paper or other).
19. Define any Special Arrangements needed for additional space (excludes regular office and lab space), construction or subaccounts (speedtypes with other schools/affiliates and external universities or entities) in questions 13.1 through 13.3.
20. Click the **Continue** button.

Add Opportunity Details

**Required for non-Grants.gov applications only.**

1. Click **Add** and then **Choose File** to attach Completion Instructions (provided by sponsor). Click **Ok** to save or **Cancel** to continue without changes.

   **NOTE:** Include application/proposal instructions and agency information.

2. Type in the website (URL) for the sponsor or funding opportunity if available.
3. Type in any additional comments regarding sponsor requirements if needed.

**Complete for Grants.gov submissions only.**

4. Type in either an Opportunity ID (Program Announcement or Request for Application) number, or Catalog of Federal Domestic Assistance (CFDA) number.
5. Click **Find**.

   *Figure 30 Grants.gov, search for an Opportunity ID*

   ![Grants.gov, search for an Opportunity ID](image)

   Enter opportunity ID or CFDA number below. Information regarding the **Grant Application Package** will be downloaded from Grants.gov

   * Opportunity ID (PA or RFA Number): **PA-B2-G08**
   
   CFDA Number:
   
   CompetitionID:

6. Verify the correct opportunity appears in search results.
7. To save a copy of the applications instructions click the Adobe® icon in the column labeled **Instructions.**
8. Click option button to the left of **Opportunity ID** in search results.
9. Click the **Continue** button.
10. Verify that the following phrase appears, “These forms are full supported and the application will be submitted to Grants.gov”.

**NOTE:** Review the Funding Opportunity details for the correct ID. The provided URL links to application instructions that contain information specific to the selected FOA.

*Figure 31 Grants.gov, forms fully supported*

11. Click the **Continue** button.

**Complete Required SF-424 Questions**

1. Is proprietary or privileged information included in the application? Choose Yes or No.
2. Does will the project have actual or potential environmental consequences? Choose Yes or No, and explain.
3. If yes for the previous question, has an environmental assessment or environmental impact assessment been completed? If neither, has an exemption been authorized? Choose Yes or No, and explain.
4. Is the performance site a historic place (or eligible)? Choose Yes or No, and explain.
5. Does the project involve activities outside of the United States? Or, are any partnerships formed with internal collaborators? Choose Yes or No.
6. Complete the certification statement.
7. The Principal Investigator must provide a response for the Disclosure Permission Statement. Choose Yes or No.
Add Administrative Details

1. Verify that the correct administrative department is pre-filled. If the provided information is incorrect or blank click **Select** to choose the administrative department through which the proposal will be routed.

   **NOTE:** Awards will be set-up using the selected department.

2. Click **Select** to choose a submitting division when the administrative department is also part of a division (e.g., Medicine UH or Medicine MHMC).

3. When required click **Add** to define subaccounts or multiple management centers. Leave blank if working within your own management center or any time when subaccounts are not needed.

4. Verify that the correct Proposal Department Contact is pre-filled. If the provided information is incorrect or blank click **Select** and choose the Proposal Department Contact who will be granted access to edit the proposal (typically a Grant or Department Administrator).

5. Click **Select** and choose an Immediate Sponsor. If sponsor name is not shown, choose **TBD** and type name in text box provided.

   **NOTE:** Immediate Sponsors award or contract directly to CWRU. For Grants.gov proposals the Immediate Sponsor is pre-filled.

6. When applicable click **Select** to choose a Prime sponsor. If sponsor name is not shown, choose **TBD** and enter name in text box.

   **NOTE:** Prime sponsor only applies when the submission is classified as “flow-through”. A prime sponsor provides funds/awards to an immediate sponsor who redirects a portion of the award to CWRU.
7. Will more than one person named on the proposal will be considered key personnel? Choose Yes or No.
8. Click the Continue button.

Add Internal and External Key Personnel
All named external and internal personnel who are to be included in a budget or Grants.gov application must first be added per the procedure in this section.

Complete for INTERNAL personnel only.

1. Click Add.
2. Begin typing staff name in the text box provided. As you type, SPARTA will provide a list of possible matches. Or, click Select to choose a name from the master list. Click Ok to add.

   NOTE: Information for staff selection is provided in the SPARTA Profile. Individuals presenting incomplete or inaccurate data must update their SPARTA Profile. If an individual has yet to be named, select TBD. This must be updated by the award stage.

   If staff name is not shown email the Office of Research Administration for assistance at mailto:Sparta@case.edu.

3. If the pre-filled information is incorrect or blank click Select to choose an administrative department.
4. Click Select to choose a submitting division when the administrative department is also part of a division (e.g., Medicine UH or Medicine MHMC).
5. See steps below for ALL personnel (questions 1.0 through 5.0).

Complete for EXTERNAL personnel only.

6. Click Add and type in Contact Details (name, address, phone, fax and email).
7. Type in Organization Information (position, organization name, and department or division names).
8. Type in agency login credentials when applicable.
9. Type in degree(s) type and year.
10. For Senior/Key personnel attach a Statement of Intent to establish a consortium which incorporates FCOI information.
11. See steps below for ALL personnel (questions 1.0 through 5.0).
Complete for ALL personnel.

**NOTE:** This information maps to the Grants.gov SF-424 application.

12. Choose staff role from the drop-down list. If role is **Other (Specify)** then describe in the blank box provided.

13. Click **Add** and then **Choose File** to attach a Biographical sketch (Biosketch). Click **Ok** to save or **Cancel** to continue without changes.

14. Click **Add** and then **Choose File** to attach Current and Pending Support documents. Click **Ok** to save or **Cancel** to continue without changes.

15. Is the named staff person **Senior/Key, Other Significant Contributor** or **Other Personnel**? Choose one.

16. Will the named staff person participate in activities involving (choose Yes or No);

   1. the use of human research subjects,
   2. human specimens or
   3. private, identifiable information about living humans?

17. Click **Ok** to add name or **OK and Add Another** to add name and select additional staff. Click **Cancel** to continue without changes.

18. Confirm that all internal and external personnel have been added.

19. Click the **Continue** button.

20. Review the Key Personnel Summary for accuracy and completeness. Return to previous section and revise if necessary.

![Figure 33 Personnel Summary should include PI, all internal and external personnel](image)

**NOTE:** If any key personnel have an expired FCOI disclosure, SPARTA will not route the proposal past the management center. Each key personnel must update his or her FCOI disclosure or the proposal will not be submitted to the sponsor.

### Add Budget Period(s)

1. Verify the pre-filled project start and end dates match those manually entered in the FP Smartform before.

2. Click **Add** to create a budget period.

**NOTE:** For Grants.gov, periods are preset and should not be modified.
3. Assign duration of as little as 1 but not more than 36 months. A typical period is 12 calendar months in duration.
4. Users may choose to re-name the period or keep the default name.
5. Repeat the steps above for each additional period.
6. Click **Remove** to delete a period added in error.
7. Click the **Continue** button.

*Figure 34 Funding Proposal, budget periods*
Define Research Performance Sites

1. Click Select to choose the primary school locations. Click OK to add it to the FP.
2. Click Select to choose the building that will be used for research. Click OK to add it to the FP.
3. Will any work be completed outside primary work site? Choose Yes or No. If no, skip the next step.
4. When more than one CWRU school is involved in the proposal, click Add to choose and then OK to add a secondary school.
5. Add a building for the secondary school and then click OK.

NOTE: Question 4.0, Project Performance Locations, is automatically filled based on responses entered in the Budget Smartform. This information is related to subaward/subcontract locations, and is not editable in the Funding Proposal.

6. Click the Continue button.

Review Compliance Matters
Human, Animal, rDNA and Stem Cell Research

Respond Yes or No to each of the questions below:

1. Will the project use one or more of the following;
   (1) human research subjects,
   (2) human specimens or
   (3) private, identifiable information about living humans?
2. Will the project use live, vertebrate animals?
3. Carefully review the list of hazardous materials below. Will this project use any of these items?
   a. rDNA/RNA
   b. RNAi (shRNA/RiRNA)
   c. Toxic Genes
   d. Oncogenes
   e. Transgenic (Tg) or Knockout (KO) Animals
   f. Animal or Human Gene Transfer
   g. Viral Vectors (including Baculovirus)
   h. Compacted Genetic Materials/ nanoparticles
   i. Synthetic oligonucleotides
   j. Morpholios

4. Will the project use human stem cells or derivatives?
5. Will the project use hazardous materials which require special handling, oversight or approval?
Export Controls
Respond Yes or No to the each of the questions below.
6. Will equipment, materials, data or software be shipped to a foreign country?
7. Are any collaborators located in a foreign country?
8. Will the project provide training to persons who are not U.S. citizens?
9. Will any project members be working with a country subject to US boycott?

Intellectual Property and Outside Interests
Respond Yes or No to each of the questions below or provide citations as requested.
10. Have any project members submitted (or intend to submit) an invention disclosure to CWRU that will be used in or developed by the project?
11. Provide the name or date of disclosure to the Office of Technology Transfer.
12. Will the project use or develop intellectual property that a team member created at a prior institution or employer?
13. Name the institution or employer, and tracking number(s).
14. Will the project use intellectual property which belongs to an outside third-party?
15. Name the asset and its owner.
16. Click the Continue button.

Optional Section, Add Institutional Review Board Details
SPARTA will not prompt for IRB details if Compliance Review (Section 6) responses indicate that additional details are not required. Please skip this section if not prompted to complete.

1. Is the project invoking 45 CFR 46.118? Choose Yes or No.
   If Yes click Save and then Continue. Otherwise, proceed to step 2.
2. Click Add to submit Internal Review Board (IRB) protocol details.
3. Choose governing review board from drop-down list.
4. Choose IRB review status from list.
5. If project is Exempt and funded by the National Institutes of Health choose exemption number. See the NIH SF-424 (R&R) Application guide for details.
6. Add IRB approval and expiration dates when applicable.
7. Type in the date of protocol submission, if approval is pending.
8. Will protocol be used in grants.gov application? Choose Yes or No.

   NOTE: If multiple protocols are added only one will map to the Grants.gov application. SPARTA will prompt users to select which protocol should be included on the application.

9. Click OK to add protocol, or OK and Add Another. Click Cancel to continue without changes.
10. Click the **Continue** button.

**Optional Section, Add Institutional Animal Use and Care Protocol Details**

SPARTA will not prompt for IACUC details if Compliance Review responses indicate that additional details are not required. Please skip this section if not prompted to complete.

1. Click **Add** to submit Institutional Animal Use and Care (IACUC) protocol details.
2. Choose IACUC review status from list.
3. Type in IACUC approval and expiration dates when applicable.
4. Type in the date of protocol submission, if approval is pending.
5. Type in the IACUC number.
6. Choose Yes or No. Will protocol be in grants.gov application?

   **NOTE:** If multiple protocols are added only one will map to the Grants.gov application.

7. Click **Ok** to add protocol, or **OK and Add Another**. Click **Cancel** to continue without changes.
8. Click the **Continue** button.

**Optional Section, Add Recombinant DNA Research Details**

SPARTA will not prompt for IBC details if Compliance Review responses indicate that additional details are not required. Please skip this section if not prompted to complete.

1. Choose Institutional Biosafety Committee (IBC) review status from list.
2. Type in IBC expiration date when applicable.
3. Type in IBC protocol number.
4. Click the **Continue** button.

**Optional Section, Add Stem Cell Research Details**

SPARTA will not prompt for SCRO details if Compliance Review responses indicate that additional details are not required. Please skip this section if not prompted to complete.

1. Choose Stem Cell Research Oversight committee (SCRO) review status from list.
2. Type in SCRO approval expiration date when applicable.
3. Type in SCRO protocol number.
4. Click the **Continue** button.
Optional Section, Add Hazardous Materials Detail

SPARTA will not prompt for Hazardous Materials detail if Compliance Review responses indicate that additional details are not required. Please skip this section if not prompted to complete.

1. Choose one or more hazardous materials category from the list.
2. If Other is selected describe the material and potential harm in the text box.
3. Click the Continue button.

Optional Section, Section 7.1 CWRU Research Plan for Grants.gov

Complete this section for standard National Institutes of Health (NIH) grants using the Grants.gov SF-424 application. Any attachments added to this section, will be included with the application.

1. Click Add and then Choose File to attach each document listed below that is required. Click Ok to save or Cancel to continue without changes.
   a. Project Summary – Abstract
   b. Project Narrative
   c. Bibliography and References Cited
   d. Facilities and Other Resources
   e. Equipment
   f. Introduction of Application
   g. Specific Aims
   h. Research Strategy
   i. Inclusion Enrollment Report
   j. Progress Report Publication List
   k. Protection of Human Subjects
   l. Inclusion of Women and Minorities
   m. Inclusion of Children
   n. Vertebrate Animals
   o. Select Agent Research
   p. Multi PD/PI Leadership Plan
   q. Consortium/Contractual Arrangements
   r. Letters of Support
   s. Resource Sharing Plans
   t. Appendix
   u. Cover Letter

2. Click the Continue button.

Add Comments and Miscellaneous Documents

1. Type in clarifying or explanatory comments for the reviewer if needed. Include relevant contract, grant and set-up information.
2. Click **Add** and then **Choose File** to attach general documents that have not been requested elsewhere.

3. Click **Save**.

Check Funding Proposal for Errors

1. Click **Hide/Show Errors** to display a list of error messages. Refer to Quick Start section for navigation reference.
2. Click the **Jump to** link to navigate an error location and correct the error.
3. Click **Save** and then **Refresh**. Repeat until errors are all resolved.

**NOTE:** Ignore errors that are budget-related (field name will begin with **Budget**).

4. Click **Save** and then **Finish** to return to the Funding Proposal workspace.

End of Procedure. Continue to How to Complete a Funding Proposal Budget.
How to Complete a Funding Proposal Budget

SPARTA provides tools to simplify budgeting for proposals and follow-on submissions. In this section, we will discuss in detail the process for creating a new proposal budget, step-by-step.

Verify Proposal Status and Budget Dates

1. Verify that the **Current State** of the funding proposal is **Draft**.
2. Click **Grid: Edit Budget Periods/Dates**.
3. Verify that the budget dates and periods are accurate.
4. Update number of periods, start date and durations as needed and click **Apply**.
5. Click **Ok** and return to the Funding Proposal workspace.

Open the Budget Workspace and Access Budget Grids

1. Click the **Budgets** tab.
2. Click the name of the budget you would like to edit to open the workspace.
   - Note, every proposal has a regular budget and a cost share budget.

3. Confirm that the **Current State** of the budget is **Draft**.
4. Click **Edit Budget**.

5. Verify the pre-filled general budget information (questions 1 through 4 from the Funding Proposal) is correct and update as needed.
6. Choose the **Budget Type** and **Funding Source**.
7. Add a **Project Sponsor**.

**NOTE:** For budget type, select 'Project' unless this is a core service of a program project. For question 4 Funding Source, select Federal when CWRU will receive Government funding secondarily via another research...
institution.

8. Optionally, rename the budget to help reviewers identify the Funding Proposal it supports.
9. Indicate if the budget will be a Modular Budget. Choose Yes or No.
10. Enter the F&A (Indirect Cost) Rate if the current negotiated federal rate is not being used. In these cases, a Budget Rate Justification is also required and should be attached.
11. If the sponsor does not use MTDC for F&A rate calculation, choose the F&A Type from drop-down list.
12. Click the Continue button.

Verify and Update General Budget Characteristics

1. Choose Yes or No for both of the questions below.
   a. Is this a training grant (are trainee costs included in the budget)?
   b. Will the budget and proposal include Subaward or Subcontract sites where part of the research will be performed?

   **NOTE:** If yes for b., SPARTA will generate separate sub-budgets for designated subaward-subcontract organizations.

2. Choose to create the budget in detailed or summary mode.

   **NOTE:** Summary Budget is used only when the budget does not include effort, salary or individual fringe benefits, and the proposal is not a Grants.gov submission.

3. Click the Continue button.

Complete the Personnel Budget Grid

1. Salary cap and Inflation rate are pre-filled and based on the current Federal Executive Level Salary Cap and the CWRU merit increase rate.

   Update this information only when completing a proposal which includes a different Salary cap or allowable Inflation rate, update fields as appropriate.

2. Choose a number of rows to add equal to the number individuals who should be included in the budget and click Add. No more than 5 rows can be added at a time.

3. Choose a name from the drop-down list labeled Person.

   **NOTE:** The person list is populated based on selections made on the FP. If names are missing, update the FP. Save and then return to complete the Personnel Budget Grid.
4. Choose, type in or review the following information for selected staff.

**NOTE:** This information maps to the Grants.gov SF-424 application.

a. Appointment period  
b. Role  
c. Key personnel (click the check box labeled **Key** for Yes)  
d. Salary inflation rate (applicable, Yes or No)  
e. Base Salary (if inflation rate applies)  
f. Control Account  
g. Display Order (1 is first, 2 is second, and so on)  
h. Effort (percentage of effort committed to the project)  
i. Requested Time (percentage of Effort requested as part of the proposal)  
j. Fringe Benefits (FB) Rate (update if submitting to non-federal sponsor and remove for non-fringe bearing positions.)

**NOTE:** If Effort and Requested effort are different, this is cost sharing and SPARTA will show the difference in the Cost Share Budget.

If the Salary Cap is exceeded, SPARTA will show the excess salary and fringe amounts in the Cost Share budget.

To add an individual to the Cost Share budget only, first add to the regular Budget Personnel Grid. Mark **Effort** at the committed percent and input 0 for **Requested**.

5. Click the blue, right-facing arrow to copy budget items to all periods.  
6. Update budget items for each period different from Period 1.
7. Review budget totals by category, period and overall.
8. Add clarifying or explanatory notes when needed.
9. Click the **Continue** button.

**Complete the Travel Budget Grid**

1. Review and update the inflation rate if needed.
2. Click the check box labeled **Apply Per 1 Inf** to apply inflation immediately. Or to apply inflation but exclude year one, leave the check box blank.
3. Choose a number of rows to add equal to the number of destinations that you or a staff member will travel to and click **Add**.

*Figure 39 Travel costs budget grid, complete one row for each destination in the budget*

4. Type in a description for each trip.
5. Click the check box labeled **Foreign** for trips outside of the United States.

**NOTE:** The travel and subsequent budget grids can be completed various ways;

Denote expenses by row expenses based upon specific base costs (i.e. Base Cost at $100, then another line with Base Cost at $1,100).

Denote a base cost of $1 and use period fields to arrive a total cost (i.e. base = $1, Trip Cost in Period 1 = $5,000). Insert additional rows for varying base or period costs.
6. Choose a **Facilities and Administrative Costs (F&A) Type** from the list.
7. Type in a base cost.
8. Type in the number of trips per period and people per trip.
9. Click the blue, right-facing arrow to copy budget items to all periods.
10. Update budget items for each period different from Period 1.
11. Review budget totals by category, period and overall.
12. Add clarifying or explanatory notes when needed.
13. Click the **Continue** button.

Optional Section, Complete the Trainee Budget Grid

SPARTA will not prompt for Trainee details if they have been identified as not needed on the Budget Smartform. Please skip this section if not prompted to complete.

1. Review and update the inflation rate.
2. Click the check box labeled **Apply Per 1 Inf** to apply inflation immediately. Or to apply inflation but exclude year one, leave the check box blank.
3. Choose a number of rows to add equal to the number of roles to be trained (NOT the number of trainees) and click **Add**.

*Figure 40 Trainee costs budget grid, complete one row for each trainee role*

4. Choose, type in or review the following for each budget row.
   a. **Role**
b. Tuition and Stipends
   c. Subsistence, Travel and Other
   d. Health Insurance

5. Choose a **Facilities and Administrative Costs (F&A) Type** from the list when applicable.
6. Click the blue, right-facing arrow to copy budget items to all periods.
7. Update budget items for each period different from Period 1.
8. Review budget totals by category, period and overall.
9. Add clarifying or explanatory notes when needed.
10. Click the **Continue** button.

**Complete the General Costs Budget Grid**

SPARTA will not prompt for Trainee details if they have been identified as not needed on the Budget SmartForm. Please skip this section if not prompted to complete.

1. Review and update the inflation rate.
2. Click the check box labeled **Apply Per 1 Inf** to apply inflation immediately. Or to apply inflation but exclude year one, leave the check box blank.
3. Choose a number of rows to add equal to the number of general cost categories and click **Add**.

**Figure 41 General costs budget grid, complete one row for each separately budgeted cost**

4. Choose, type in or review the following for each budget row.
   a. Cost Type (ex., Consultant Services)
   b. Cost Description (ex., Technical Writer, training manual)
c. Unit Cost
d. Number of Units
e. Inflation rate apply (Yes or No)
f. Indirect costs apply (Yes or No)

5. Choose a **Facilities and Administrative Costs (F&A) Type** from the list.
6. Click the blue, right-facing arrow to copy budget items to all periods.
7. Update budget items for each period different from Period 1.
8. Review budget totals by category, period and overall.
9. Add clarifying or explanatory notes when needed.
10. Click the **Continue** button.

**Optional Section, Add Subcontractor names to the Budget**

SPARTA will not prompt for Trainee details if they have been identified as not needed on the Budget SmartForm. Please skip this section if not prompted to complete.

1. Click **Add** and then **Select** to choose a subcontracting organization.

![Figure 42 Subcontractor name selection](image)

**NOTE:** If the organization is not shown in the master list select **TBD-Subcontractor** and notify the Office of Research Administration by email ([Sparta@case.edu](mailto:Sparta@case.edu)) so that the subcontractor can be added.

2. Click **Ok** to save or **Cancel** to continue without changes.
3. Type in a unique identifier when the same organization (or TBD) is used more than once (e.g., UM Ann Arbor Site 1, UM Ann Arbor Site 2).
4. Click **Ok** to continue or **Ok and Add Another** to choose another subcontractor. Click **Cancel** to continue without changes.
5. Download subaward budget forms and send to subcontractor(s) for completion.
6. Add clarifying or explanatory notes when needed.
7. Click **Save**.

**Add Attachments for Internal Purposes**

1. Click **Add** and then **Choose File** to attach general documents that have not been requested elsewhere.
2. Click **Save**.
Optional Section, Complete Cost Share Budget

1. Locate the Cost Share Budget (CS suffix) in the Funding Proposal workspace under the Budgets tab.
2. Repeat Create New Budget procedure to complete a Cost Share budget.

*Figure 43* An entry for the cost share budget is automatically generated by SPARTA. Cost-sharing represents the portion of project's cost which will not be funded by a sponsor. The funding source for Cost Share is therefore always Institution (Internal), and the Project Sponsor, Case Western Reserve University.

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Optional Section, Complete a Subaward Budget

Open the Subaward/Subcontract Budget

1. In the FP workspace click the **Budgets** tab.
2. Click the name of the budget you would like to add a Subaward budget for.
3. Click **Subaward/Subcontract**.
4. Click the name of the Subaward/Subcontract budget you would like to edit.

*Figure 44* Subcontract budget name selection

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</tr>
<tr>
<td></td>
<td>BU00121792</td>
<td>ID00000159</td>
</tr>
</tbody>
</table>

5. Click **Edit Budget**.
6. Verify the pre-filled general budget information and update as needed.
7. Type in the subaward/subcontract site **Facilities and Administrative Costs (F&A) Rate**.
8. Choose **F&A Type** from the list.
9. Click the **Continue** button.

**NOTE:** Choose to Import Subaward when application is Grants.gov and SF-424 R&R Budget forms are to be uploaded. When importing forms, skip steps 10-13.

10. Click **Add** to complete entries for All Listed Personnel
11. Type in, select or attach the following for each Non-CWRU Proposal Staff person as directed:
   - name, contact information and address,
   - organization information
   - project role
   - credentials, degree(s) year and type
   - biographical sketch, current/pending support documentation

**NOTE:** Pending support documentation is generally not required. See Funding Announcement for instructions.

- completed Financial and Intellectual Disclosure Form (if individual is Senior/Key personnel)
12. Click Ok to continue or Ok and Add Another to choose another subcontractor. Click Cancel to continue without changes.

13. Following the instructions to create a new budget, complete the Personnel Costs, Travel Costs and General Costs grids.

*Figure 46 Screen for addition of external listed personnel. NOTE: All key personnel will be required to submit a biosketch before grants can be approved.*
SF-424 Subaward Import

1. Click **Download R&R Subaward Budget forms**.

   *Figure 47 Subaward budget forms download link*

2. Send blank forms to subaward/subcontract site for completion.
3. When completed forms are returned from the subawardee or subcontractor click **Choose File** to upload completed forms to SPARTA (question #2).

   **NOTE:** This information maps to the Grants.gov SF-424 application.

4. Repeat for each additional subaward/subcontract site.

Add Miscellaneous Documents

1. Click **Add** and then **Choose File** to attach general documents that have not been requested elsewhere.
2. Click **Save**.

Check Budgets for Errors

Error checking may be run at any time.

1. Click **Hide/Show Errors** to display a list of error messages.
2. Click the **Jump to** link to navigate an error location and correct the error.
3. Click Save and then **Refresh**. Repeat until errors are all resolved.
4. Click **Save** and then **Finish** to return to the Budget workspace.

End of Procedure.
How to Complete an Application Packet (SF-424)

The SF-424 is the Application Packet which will be submitted to the Sponsor. Fields are mapped from Funding Proposal, Budget grids and SPARTA Profile to pre-fill many of the fields on the SF-424.

Create SF-424

1. Locate your Funding Proposal in My Home and access its workspace.
2. Click the Create-Update SF-424.
3. Click Ok to continue.

Navigate to the SF-424 Workspace

4. Click the tab labeled SF-424 Summary.
5. Click name of the submission to sponsor to open the workspace and begin editing.

Edit SF-424 Details

1. Click Edit Grant Application.
2. Type in an Application Filing Name.
3. Select any optional forms that should be included with the application.
4. Click the Continue button.

NOTE: At this point, the majority of fields in the application should be pre-filled based on prior responses gathered from the Funding Proposal, Budget, Researcher Profile(s) and SPARTA itself.
5. Click **Exit** to return to the SF-424 workspace.

*Figure 50 The SF-424 summary tab is located near the bottom of the Funding Proposal workspace.*

---

### SF424 INFORMATION

<table>
<thead>
<tr>
<th>SF424 Tracking#</th>
<th>SF424 Received Date/Time</th>
<th>SF424 Status Updated</th>
<th>SF424 Current State</th>
<th>PDF Version</th>
</tr>
</thead>
</table>

---

#### Assign Editors, Readers and Submitters

1. Click the **Assign Editors and Readers** button in the **My Activities** box on the left.
2. Click **Add** to choose Reader name(s).
3. Click **Ok** to add name or **Cancel** to continue without changes.
4. Click **Add** to choose Editor name(s).
5. Click **Ok** to add name or **Cancel** to continue without changes.
6. Click **Ok** again to save all changes and return to the SF-424 workspace.
7. Click the **Assign Submitters** button in the **My Activities** box on the left.
8. Click **Add** to choose Submitter name.
9. Click **Ok** to add name or **Cancel** to continue without changes.
10. Click **Ok** again to save all changes and return to the SF-424 workspace.

*Figure 51 Assign Submitters, Editors and Readers*

---

#### Check for Errors and Validate

**Identify Errors and Warnings**

1. Click the **Validate Submission** button in the **My Activities** box on the left.
2. A series of errors (highlighted in red) and warnings will appear.
3. Each of these errors must be remediated **before continuing.**
Figure 52 To view an error in the context of the application, click the Jump To link in the far right column.

<table>
<thead>
<tr>
<th>Error/Warning Messages</th>
<th>Field Name</th>
<th>Jump To</th>
</tr>
</thead>
<tbody>
<tr>
<td>This is a required field; therefore, you must provide the required information.</td>
<td>Funding Proposal - Proprietary Information</td>
<td>1.4.1 Additional Grant.Gov Questions</td>
</tr>
</tbody>
</table>

**NOTE:** DO NOT correct errors in the SF-424 SmartForm. Correct errors by modifying the Funding Proposal, Budget(s) or Researcher Profile(s) ONLY.

**Generate Portable Document Format (PDF) copies**

1. Click the **Create Pre-Submission PDF** button in the **My Activities** box on the left.

2. Click the check box to include attached files in the PDF copy.
3. Click **Ok**.

**NOTE:** A link to the most recently generated PDF version is displayed in the Funding Proposal workspace.

4. Click **View** to display the PDF version on screen or to save a copy.
Validate Application

1. Click the **Validate Submission** button in the **My Activities** box on the left.
2. Click the check box labeled **Convert editable PDF attachments into read-only PDFs**.
3. Click **Ok** to continue and submit the validated application to the next workflow step.
4. If there are errors, resolve per previous instructions, or, under the direction of the Office of Research Administration, click **close** and then **Bypass Validations**.
5. Type in a validation bypass reason in the text box provided.
6. Click the **Acknowledgement** and **PDF convert** check boxes to select them.
7. Click **Ok** to continue and submit the application to the next workflow step with validations bypassed.

Optional, Import Subaward

1. Click the **Import Subaward** button in the **My Activities** box on the left to upload the R&R Subaward budget forms (downloaded from budget module).

   **NOTE:** The proposal must indicate that subawards apply or this activity will fail.

End of Procedure.
How to Complete a Follow-on Submission

A follow-on submission is a document that modifies or seeks funding renewal for a preceding proposal. There are many common uses for follow-on submissions that are primarily internal, and substantially impact CWRU resources only; these issues are addressed by a special follow-on type called Internal Prior Approval Sheet (IPAS).

Create Follow-on

1. Locate your Funding Proposal in My Home and access its workspace.
2. Click Create Follow-on Submission button in the My Activities box on the left.
3. Choose follow-on type from list.
4. Proceed to specific instructions for follow-on type.

Figure 54 Follow-on Submissions may be created after the original proposal is funded, or for resubmission, after it is determined that the original proposal will not be funded

Follow-on type: Supplement/Revision

1. Review the supplement/revision and add additional information/document attachments as necessary.

NOTE: The supplement/revision type is a direct copy, excluding the pre-population of Section 6.0 Compliance Review/Export Controls/IP/Outside Interest, of its FP “parent” (if in year 2) and the preceding awarded year (for all subsequent years).

NOTE 2: The Supplement/Revision does not copy over the Budget Form, please following the original proposal instructions when completing this section.
Follow-on type: Continuation

1. Review the continuation or renewal and update as necessary, i.e. add additional information/document attachments for the continuation period(s).

   **NOTE:** The continuation and renewal types are a direct copy, excluding the pre-population of Section 6.0 Compliance Review/Export Controls/IP/Outside Interest, of the previous year's funding proposal.

2. Click **Save** and then **Finish**.
3. Click the **Budgets** tab.
4. Choose continuation budget and review it for accuracy.

   **NOTE:** If changes are not needed proceed to Step 10, otherwise continue to Step 5.

5. Click **Edit Budget** to make changes to existing budget data or **Reset Budget** and then **Edit Budget** to start from blank budget grids.
6. Follow New Funding Proposal Budget procedures.
7. Click **Save** and then **Finish**.
8. Return to FP Workspace.
9. Click **Submit for PI Review**.
10. Add clarifying or explanatory notes when needed and click **Ok**.

Follow-on type: Resubmission

**NOTE:** This follow-on type is only available if the Funding Proposal State is **Project Not Funded**.

**NOTE 2:** To change a proposal to **Not Funded**, access the Funding Proposal with state **Pending Sponsor Review**. Select **Project Not Funded** under the **My Activities** section. Add a comment/attach an item attesting to the project not being funded, i.e. notification from sponsor, print screen of sponsor website, etc. Select **OK**. The state should now be **Not Funded**.

1. Access the Funding Proposal with the state **Not Funded**.
2. Select **Create Follow-on Submission** under the **My Activities** section.
3. Select **Resubmission** then **OK**.

   **NOTE:** The resubmission type is a direct copy, excluding the pre-population of Section 6.0 Compliance Review/Export Controls/IP/Outside Interest.

4. Review the resubmission and update as necessary, i.e. add additional information/document attachments for the continuation period
5. Click **Save** and then **Finish**.
6. Click the **Budgets** tab.

   **NOTE:** If changes are not needed proceed to Step 14, otherwise continue to Step 11.

7. Click **Edit Budget** to make changes to existing budget data or **Reset Budget** and then **Edit Budget** to start from blank budget grids.

8. Follow New Funding Proposal Budget procedures.

9. Click **Save** and then **Finish**.

10. Return to FP Workspace.

11. Click **Submit for PI Review**.

12. Add clarifying or explanatory notes when needed and click **Ok**.

1. Figure 55 Choose a follow-type from the list by clicking in the circle next to the appropriate choice. Only one selection may be made.

   [HL2]

### Follow-on type: IPAS

<table>
<thead>
<tr>
<th>Created Follow-on Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Select a follow-on type:</td>
</tr>
<tr>
<td>Name</td>
</tr>
<tr>
<td>View</td>
</tr>
</tbody>
</table>

Required for ALL IPAS Requests

1. Choose an IPAS issue from the list and click the **Continue** button.
2. Verify date request date displayed is today.
3. Type in **speedtype**.
4. Type in **Sponsor Award number**.
5. Refer to specific instructions for selected **IPAS issue**.
6. Type in change justification in the space provided.
7. Upload and attach requested documents.
8. Click **Save** and then **Finish**.
9. Click **Submit for PI Review**.
10. Add clarifying or explanatory notes when needed and click **Ok**.
11. Click **Finish**.
Required for IPAS: Re-budget/Reallocate

1. Enter Speedtype and Sponsor award number.
2. Are your re-budgeting within the same speedtype, between budget categories/PeopleSoft control Account? Choose Yes or No.
3. If no, then type in the speedtype where the re-budgeted funds will be transferred, in the text box provided.
4. Is Sponsor prior approval required for re-budget? Choose Yes or No.
5. Click Add to choose PeopleSoft control Account to re-budget FROM and specify AMOUNT.
6. Click OK, OK and Add Another or Cancel.
7. Click Add to choose PeopleSoft control Account to re-budget TO and specify AMOUNT.
8. Enter Justification for the re-budget in the text box provided
9. Add supporting documentation and/or Project Income & Expense Statement via the Add button.
10. Add any additional documents relevant to the re-budget request, i.e. signed letter to the Sponsor for counter-signature, via the Add button.
11. Click OK, OK and Add Another or Cancel.

Required for IPAS: Effort reduction, key personnel

1. Under Change in Key Personnel, click Add to record an effort change request.
2. For Key Personnel: click Select to choose a CWRU individual’s name from the Sparta directory.
3. Type in new effort (in months, not percents).
4. Select the appropriate appointment for the CWRU individual from the drop down box.
5. Click OK, OK and Add Another or Cancel.

Required for IPAS: PI Change
1. The **Project Title**, will default to the “Parent” Funding proposal name, update as necessary to be specific to the IPAS request.
2. Click “Select” to choose new Principal Investigator (PI).
3. Select effective date for change in the PI.
4. Include a Justification for the change.
5. Upload any relevant documents, including the formal request signed by the PI and to be counter-signed by the AOR.

**Required for IPAS: No cost extension (NCE)**

1. Enter beginning and end dates of extension.
2. Provide the justification for the extension request.
3. Upload the current Project Income & Expense Statement.
4. For 2nd or 3rd NCE upload the request letter signed by the PI and to be counter-signed by the AOR.
5. If during the NCE period a key person’s effort will change, please select “Yes” as it may require prior approval from the Sponsor. Then upload the request letter.
6. Add any additional documents relevant to the IPAS request.

**Required for IPAS: Petition to remain open in PeopleSoft**

1. Enter beginning and end dates of petition period (not to exceed 90 days).
   
   **Note:** A petition will not extend the speedtype or CON, rather it keeps the speedtype open in PeopleSoft.
2. Indicate reason(s) for scheduled project termination.
3. Include a Justification for the petition.
4. Upload the current Project Income & Expense Statement.
5. Upload any supporting documentation relevant to the Petition request.

**Required for IPAS: 90 day pre-award**

1. Enter beginning and end dates of pre-award period.
2. Enter beginning and end dates of anticipated Sponsor-funded award period.
3. Enter pre-award cost amount.

**Required for IPAS: Return funds to Sponsor**

1. Enter amount to be returned to Sponsor.
2. Enter a justification for the return of the funds to the sponsor.

**How to request a Preliminary Account**

A preliminary account will create a Speedtype in PeopleSoft prior to the issuance of an award. The option to request a Preliminary Account will be available once the FP state is **Pending Sponsor Review**.
1. Locate your Funding Proposal or Follow-on in **My Home** with a state of **Pending Sponsor Review** and access its workspace.

2. Under **My Activities** Click **Create Follow-on Submission**

3. Select **IPAS** then **OK**

4. From the drop down box select **Request preliminary project**

5. Complete the required information.

*Figure 57 Example IPAS SmartForm screen; Request preliminary project*
How to Complete a Letter of Intent (LOI)

Create the LOI

1. Return to **My Home**.
2. Click **Create Letter of Intent**.

3. Click **Select** and choose an Immediate Sponsor. Immediate Sponsors award or contract directly to CWRU. If sponsor name is not shown, choose **TBD** and type name in text box provided.

4. Type in your proposal short title for a project title. This field accepts no more than 80 characters. Entries longer than 80 characters will be truncated.
5. Click **Select** and choose a PI OR confirm that pre-filled data is correct.
6. Click **Select** to choose an administrative department.
7. Click **Select** to choose a submitting division when the administrative department is Medicine UH or Medicine MHMC.
8. Click **Select** and choose a staff person who will be granted access to edit the proposal (typically a Department Administrator).
9. Type in due date for the letter of intent.
10. Type in due date for the full proposal.
11. Will this project require cost sharing? Choose Yes or No.
12. Upload and attach any application instructions or the request for proposal (RFP).
13. Upload and attach any additional relevant documents.
14. Enter justification for the letter of intent in the text box provided, if needed.
15. Click Save.

Check for errors
1. Click Save and then Hide/Show errors.
2. Click Refresh.
3. If no error messages appear click Save and then Exit.
4. Click the Jump to link to navigate an error location and correct the error.
5. Click Save and then Refresh. Repeat until errors are all resolved.
6. Click Finish.

Submit for PI review
1. Click Submit for PI Review.
2. Add clarifying or explanatory notes when needed and click OK.
Pocket Guide for Reviewers and Approvers

When a Funding Proposal, Budget, Letter of Intent or Follow-on Submission is ready for review, it will be routed to your SPARTA inbox (My Inbox) which is immediately accessible upon login. You should also receive an automated email notification at your case.edu address specifying the name and type of item which requires your review.

Follow these simple steps to login to SPARTA, review the work, add comments, and either approve or request changes.

**Login**

1. Type [case.edu/SPARTA](http://case.edu/SPARTA) into your internet browser bar.
2. Save as a favorite or bookmark.
3. Type your CWRU ID and Password in the user name and password text boxes.
4. Click the check box labeled Remember me if you would like to be automatically logged in each time you visit case.edu/SPARTA.
5. Click Login.

**Find a Proposal, Budget, Letter of Intent or Follow-on Submission**

1. Select your reviewer role from the My Roles list on the left side of the page (e.g., Principal Investigator, Authorized Organization Representative).
2. Click the tab labeled My Inbox.
3. Scan the resulting list for the name or number of the item in question.

**NOTE:** Different kinds of work may be distinguished with an ID prefix or suffix. For instance, funding proposals are preceded with FP, Follow-on submissions with IPAS and budgets BU.
4. Click the **Name** of the item to open its workspace.
5. The tabs near the top of the screen under the project name present important information about the project quickly.

### Review Tasks Overview

1. Click **Financials** to view consolidated budget information (including sub-awards when they apply).
2. Click **Reviewer Notes** to view documentation from a previous review (when applicable).
3. Click **Project Information** to review high-level proposal information and budget totals.

**NOTE:** If the SF-424 is to be reviewed in detail also, link to that document from Project Information.

4. To review SmartForm responses (the Funding Proposal SmartForm replaces the eURF) click **Edit Funding Proposal** (also, Edit Budget, Edit IPAS or Edit LOI, depending on the item type).

### Add a Reviewer Note

1. To add a **Reviewer Note**, click **Add** in the yellow bar at the top of the page.

2. Choose the type of note from the drop-down list.
3. Enter the body of the note into the text box provided.
4. Click **OK** to add or **Cancel** to return to the previous screen without changes.
5. The type of note, its body, author, date created and date modified will appear at the top of the screen.

Respond to a Reviewer Note

1. Click the link labeled **Click here to respond** to reply to a Reviewer Note.
2. Choose the type of response (i.e., Change Complete, Change Not Complete or Information Only) from the drop-down list.
3. Enter the body of the response in the text box provided.
4. Click **OK** to add or **Cancel** to return to the previous screen without changes.
5. The type of response, its body and author will appear at the top of the screen, highlighted in green.
Request Changes and Return to Previous Step

1. Select the appropriate task form the My Activities list to the left of the screen (i.e. Request Changes From Department Admin, Request Changes from Management Center).

NOTE: The tasks shown in My Activities are context specific and may vary based on role and workflow state.

Approve and Route to Next Step

1. Select the appropriate task form the My Activities list to the left of the screen (i.e. Submit to Sponsor NIH, Sponsor Submission not Required, Submit for Management Center Review).
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Appendix A: Common Acronyms

SBIR - Small Business Innovation Research
STTR - Small Business Technology Transfer
PI - Principal Investigator
CTSC - Clinical and Translational Science Collaborative
PHS - Public Health Service
RFA - Request for Applications
CFDA - Catalog of Federal Domestic Assistance
FCOI - Financial Conflict of Interest
MTA - Material Transfer
ORA - Office of Research Administration
EURF - Electronic University Review Form

NOGA - Notice of Grant Award
OG&C - Office of Grants and Contracts
SOM - School of Medicine
NOA - Notice of Award
IPAS - Internal Prior Approval Sheet
SO - Signing Official
SRO - Scientific Review Officer
DUNS number - Data Universal Numbering System
CAGE - Commercial and Government Entity
CEC - Contract Establishment Code
FICE - Federal Interagency Committee on Education
IPF - Institutional Profile Number

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NOGA - Notice of Grant Award
OG&C - Office of Grants and Contracts
SOM - School of Medicine
NOA - Notice of Award
IPAS - Internal Prior Approval Sheet
SO - Signing Official
SRO - Scientific Review Officer
DUNS number - Data Universal Numbering System
CAGE - Commercial and Government Entity
CEC - Contract Establishment Code
FICE - Federal Interagency Committee on Education
IPF - Institutional Profile Number
NAICS - North American Industry Classification System
NSF - National Science Foundation
DHHS - Dept of Health & Human Services
OSPA - Office of Sponsored Projects Administration
IRB - Institutional Review Board
ORC - Office of Research Compliance
IACUC - Institutional Animal Care & Use Committee
OSPARS - Office of Sponsored Projects Admin. Reporting System
DOES - Department of Occupational & Environmental Safety
FDP - Federal Demonstration Partnership
F&A - Facilities and Administrative Costs
SBIR - Small Business Innovation Research
STTR - Small Business Technology Transfer
PI - Principal Investigator
CTSC - Clinical and Translational Science Collaborative
PHS - Public Health Service
RFA - Request for Applications
CFDA - Catalog of Federal Domestic Assistance
FCOI - Financial Conflict of Interest
MTA - Material Transfer Agreement
Appendix B: Process maps
**NOTE:** Funding Proposals submitted by the School of Medicine will route from the PI Review state to the Division Admin then to the Division Chair for review and approval. The Division Chair will then route the proposal to the Department Admin for review.

**NOTE:** Funding Proposals submitted by the School of Medicine will route from the Department Chair Review state directly to the School of Medicine’s Office of Grants & Contracts (SOM OG&C) for review.
Management Center: PI Review
Management Center Changes Needed
Department Admin Changes Needed

Management Center Review
Management Center Review
Management Center Review

ORA Review

Pending Sponsor Receipt
Pending Sponsor Receipt
Pending Sponsor Receipt

Department Admin Review
Department Admin Review
Department Admin Review

AOR Request Changes From Department Admin
AOR Request Changes From Management Center
AOR Submit to Sponsor
AOR Sponsor Submission Not Required

AOR Request Changes From Department Admin
AOR Request Changes From Management Center
AOR Sponsor Acknowledgement Received
AOR Withdraw Proposal

NOTE: For Funding Proposals submitted by the School of Medicine, the Office of Grants & Contracts (SOM OG&C) will perform review and submission activities identified as performed by the ORA and/or the AOR.
Change Requests: Management Center & ORA

Management Center: PI Review

PI Submit Changes

Management Center Review

Department Admin Changes Needed

Dept Admin Submit to ORA

ORA Review

Management Center Changes Needed

MC Submit to ORA

ORA Review
Sponsor Review, Award Notice Review, Activate the Budget

- Pending Sponsor Review
  - ORA: Project Not Funded
  - ORA: Award Notice Received From Sponsor

- Award Notice Review - AOR
  - ORA: Activate the Budget
  - ORA: Finalize Contract Terms and Grant Acceptance

- Approved Notice of Award - Dept
  - Dept Admin: Submit Budget and Compliance

- Not Funded
  - Awarded
## Appendix C: SPARTA state and role definitions

<table>
<thead>
<tr>
<th>State</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft</td>
<td>Initial state for new proposals</td>
</tr>
<tr>
<td>PI Review</td>
<td>Period during which Principal Investigator/designee may review or edit a proposal</td>
</tr>
<tr>
<td>Division Admin Review*</td>
<td>Period during which Division Administrator/designee may review or edit a proposal</td>
</tr>
<tr>
<td>Division Chair Review*</td>
<td>Period during which Division Chair/designee may review or edit a proposal</td>
</tr>
<tr>
<td>Department Admin Review</td>
<td>Period during which Department Administrator/designee may review or edit a proposal</td>
</tr>
<tr>
<td>Department Chair Review</td>
<td>Period during which Department Chair/designee may review or edit a proposal</td>
</tr>
<tr>
<td>Management Center Review</td>
<td>Period during which a representative of the affected Management Center may review or edit a proposal</td>
</tr>
<tr>
<td>Management Center: PI Review</td>
<td>Period during which Principal Investigator completes changes requested by a representative of the affected Management Center as a result of review</td>
</tr>
<tr>
<td>MetroHealth Grant Managers Review**</td>
<td>Period during which MetroHealth Grant Manager may review or edit a proposal</td>
</tr>
<tr>
<td>MetroHealth Signing Official Review**</td>
<td>Period during which MetroHealth Signing Official may review or edit a proposal</td>
</tr>
<tr>
<td>ORA Review</td>
<td>Period during which a representative of the Office of Research Administration may review or edit a proposal</td>
</tr>
<tr>
<td>SOM/OG&amp;C Review*</td>
<td>Period during which a representative of the School of Medicine, Office of Grants and Contracts may review or edit a proposal</td>
</tr>
<tr>
<td>PI Changes Needed</td>
<td>Period during which Principal Investigator completes changes requested by MetroHealth Grant Manager or MetroHealth Signing Official as a result of review</td>
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<tr>
<td>Department Admin Changes Needed</td>
<td>Period during which Department Administrator completes changes requested as a result of a preceding review</td>
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<td>Division Admin Changes Needed</td>
<td>Period during which Division Administrator completes changes requested as a result of a preceding review</td>
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*School of Medicine only (after Division and Department reviews, School Of Medicine proposals route directly to the Office of Grants and Contracts). The Office of Grants and Contracts (SOM OG&C) will perform review and submission activities identified as performed by the Office of Research Administration and/or the AOR.

**MetroHealth program only
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<th>Management Center Changes Needed</th>
<th>Period during which a representative of the affected Management Center completes changes requested by the Office of Research Administration as a result of review</th>
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<td>Period after sponsor acknowledgement received, but prior to sponsor review</td>
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<td>Period after the Office of Research Administration has received Award Notice from Sponsor, but prior to both an Active Budget and finalized contract terms, or formal grant acceptance</td>
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<td>Period after the Office of Research Administration has Finalized Contract Terms and Grant Acceptance, but prior to an Active Budget, during which Department Administrator must submit additional Budget and Compliance documents to the Office of Research Administration</td>
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<td>Period after the Office of Research Administration OR the School of Medicine, Office of Grants and Contracts has Activated the Budget</td>
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<td>End state where proposal is withdrawn prior to an Institutional Review</td>
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<tr>
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<td>End state where proposal is withdrawn by Office of Research Administration, or when after Sponsor Review, sponsor chooses not to fund proposal</td>
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**MetroHealth program only**
<table>
<thead>
<tr>
<th>Role</th>
<th>Function(s)</th>
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| Proposal Team      | • Performs work on Funding Proposals in Draft  
• May submit for PI Review, or withdraw proposal                                                                                          |
| PI                 | • Principal Investigator; leads Proposal Team and provides initial review of Funding Proposal  
• May submit for Department Admin review, or withdraw proposal                                                                                  |
| Dept Admin         | • Department Administrator; often granted edit access to Funding Proposal  
• May submit for Department Chair review, or request changes of the PI  |
| Dept Chair         | • Department Chair; provides oversight and review of Department Research  
• May submit for Management Center review, or request changes of the Dept Admin                                                                 |
| Div Admin*         | • Division Administrator; often granted edit access to Funding Proposal  
• May submit for Division Chair review, or request changes of the PI                                                                                |
| Div Chair*         | • Division Chair; provides oversight and review of Department Research  
• May submit for Management Center review, or request changes of the Div Admin                                                                     |
| MC                 | • Management Center; final reviewing group before submitting to Institutional reviewers  
• May submit for Institutional review, or request changes of the PI or Dept Admin                                                                       |
| AOR                | • Authorized Organization Representative; performs Institutional review for the Office of Research Administration  
• May submit to Sponsor, determine that Sponsor submission is not required or withdraw proposal  
• May request changes of Dept Admin or MC  
• Manages Award Notice process  
• Finalizes contract terms  
• Activates budget in PeopleSoft                                                                                                                     |

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**MetroHealth program only
Appendix D: Data Mapping Guide & Branching Diagram
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### R&R Budget - Sections A-K

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### Research and Related Other Project Information V1.3

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<td>Bibliography &amp; References Cited</td>
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<td>Facilities and Other Resources</td>
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The view is broken down by Map to: Form Section and Map to: Form Sub-section /Group vs. SPARTA: Source, SPARTA: View, SPARTA: Question Number and SPARTA: Question Description. Details are shown for Measure Names.
Request Preliminary Project

Change Request Funding Proposal State = "Award Notice Review - AOR"

One Page Form

Request for Rebudget/Reallocation
Request for Reduction of Effort for Key Personnel
Request Change in Principal Investigator
Request No Cost Extension
Request Petition to Allow Project to Remain Open
Request 90-Day Pre-Award Costs
Request Returning Money to Sponsor

Change Request Funding Proposal State = "Awarded"

One Page Form
One-Page Form