MN-GEMS

MN Grants Electronic Management System

MN-GEMS Reference Guide:

Funding Proposal Reference Guide for the Research Administration Community

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1 Introduction

This guide describes how members of the University of Minnesota (UMN) Research Administration Community create and submit single-project Funding Proposals for review in the UMN Grants Electronic Management System (MN-GEMS) Grants module.

Tip: You can access and open MN-GEMS records you have permissions for based on your user role. Reference the Overview Reference Guide on the MN-GEMS website for general information on navigation, user roles, searching, and workflow. The Overview guide also contains a glossary of MN-GEMS terminology. Workflows of UMN specific business processes can also be accessed on the MN-GEMS webpage.

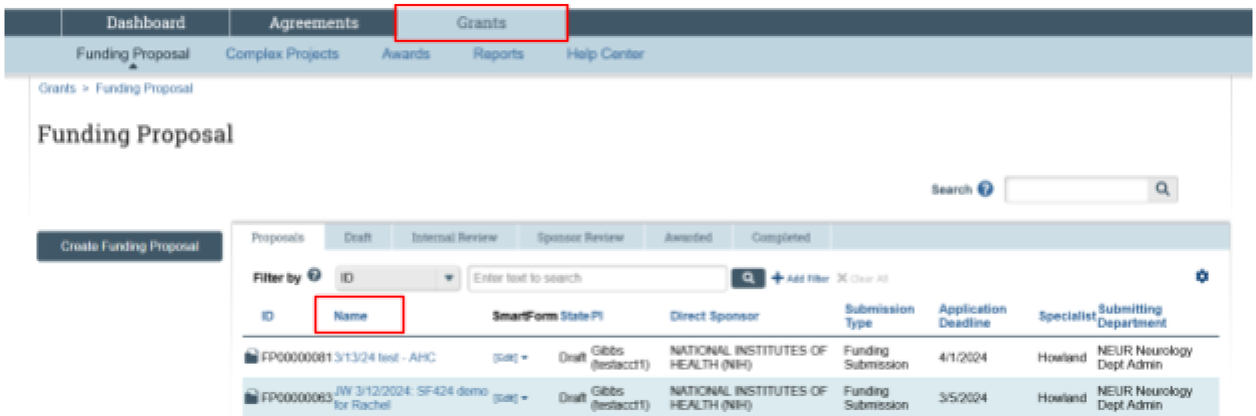
2 Navigation

2.1 How to Access a Record

Locate or search for records on the Dashboard or Grants Module pages as shown below.

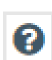
- **Dashboard, My Inbox page** – This page acts as your to-do list and contains records from the Grants and Agreements modules that require an action from you. To access a record, select the record **Name**.

- **Grants Module page** – Funding proposal and award records can be accessed on this page. To access a record, select the record **Name.**



2.2 How to Search for a Record

The Dashboard, Grants Module, and Agreements Module pages are all Workspaces (projects also have Workspaces). Workspaces contain a listing of records that can be searched, filtered, and sorted to help a user find a record or subset of records.

This section outlines how to search, filter, and sort the records listed on a Workspace and covers the most commonly used search criteria. Select the **Help text icon**  associated with the prompt for more information about other search options.

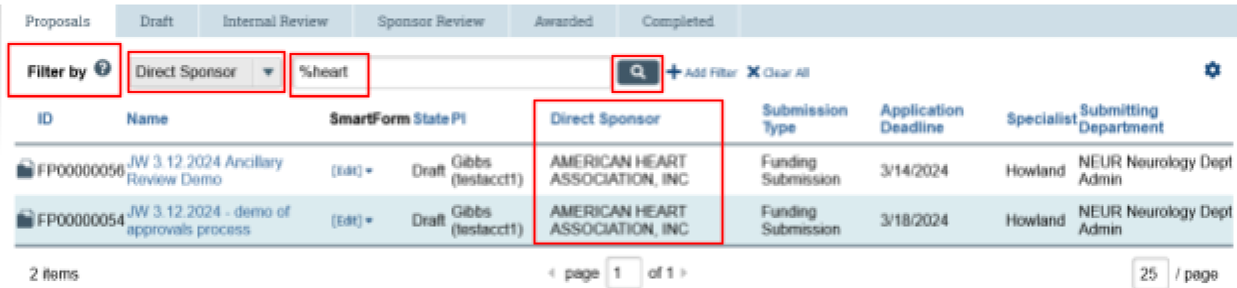
2.2.1 Search Using One Field

Use the **Filter by** drop-down menu to choose the column heading (e.g., ID, Name, State, etc.).

To search records by keyword(s):

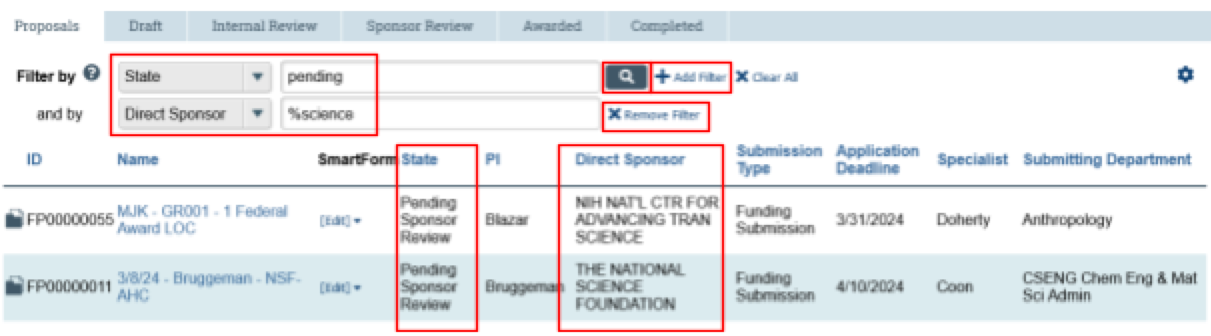
> Use the wild card feature by entering a percentage sign “%” before the keyword in the text field. In the example below, the user searched for the word “heart” in the direct sponsor column heading by selecting “Direct Sponsor” in the **Filter by** drop-down menu and entering “%heart” in the search field.

1. Select the **Search icon** to complete the search.
2. Select **Clear All** to clear the search and return to the full record listing.



2.2.2 Search Using Multiple Fields

1. To search records using multiple **Filter by** options select **Add Filter**
2. Add the search criterion for each field
3. Select the search icon to complete the search
4. Select **Remove Filter** to remove a filter from a search.

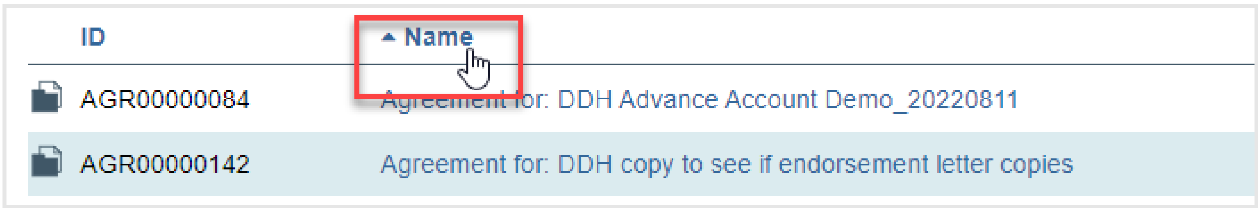


2.2.3 Sorting Records

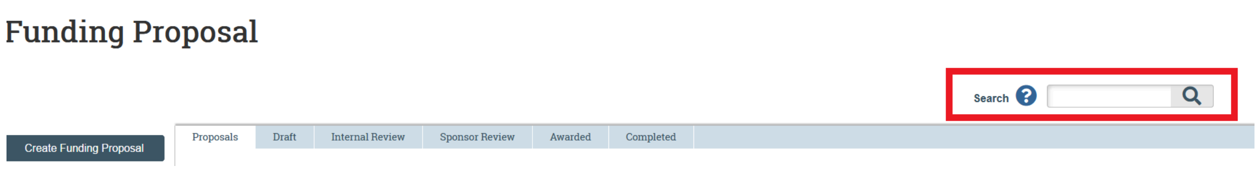
Records can be sorted by most column headings (blue column headings are sortable).

To sort records:

1. Hover over the sortable column header until the hand icon appears.
2. Select the **column header name** to sort the column.
3. To reverse the sort order, select the **column header name** again.



Tip: You can also perform a broad search of data contained in all pages using the Search field in the upper right corner above the tabs. The search results appear in a secondary window and display only those items you have permission to view. Results are ranked to show items where the search term is most prevalent at the top.

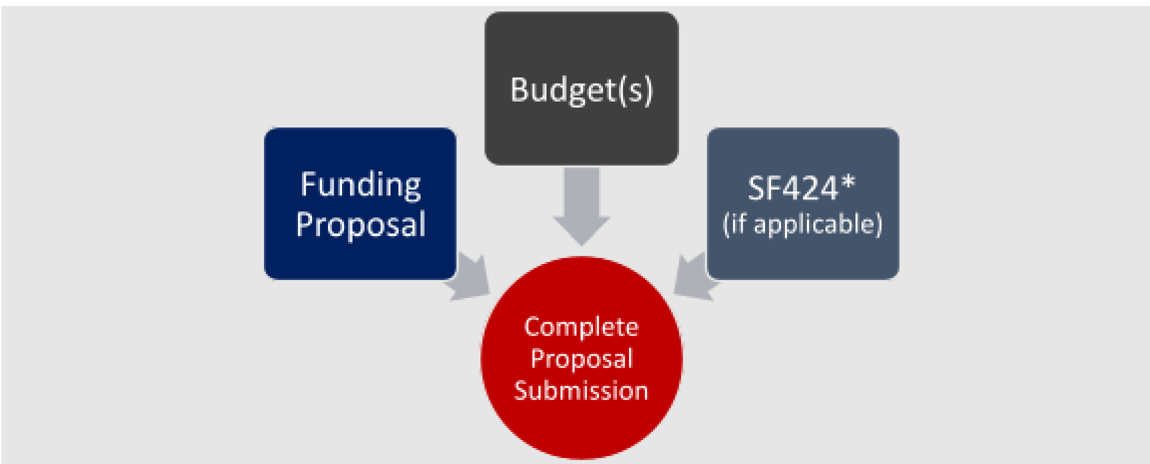


3 Creating a Proposal

A MN-GEMS proposal submission is considered complete when the following components are included and in a completed or approved state:

1. A funding proposal record. A funding proposal record is considered completed when:
   a. The Funding Proposal SmartForm is complete and fully approved.
   b. All sponsor required proposal components are complete and attached to the funding proposal record if they are e-mail submissions or uploaded directly into the sponsor's electronic proposal system if they are not system-to-system "S2S" submissions, as applicable.
2. At least one budget record. Additional budgets may be completed as necessary to reflect separation of funds between investigators, departments, cost share, subawards, etc.

3. An SF424 record, if applicable. Federal proposal submissions submitted directly to Grants.gov using MN-GEMS (also called system-to-system or “S2S”) will contain an SF424 record (marked with an asterisk * in the image below as SF424 records are only required for system-to-system submissions).



Step-by-step instructions on how to complete a funding proposal record, a proposal budget(s) record, and an SF424 record are contained below. This guide also covers how UMN will use MN-GEMS to manage internal competitions and pre-proposal submissions.

Note: Limited submissions will continue to be coordinated through RIO https://apps.research.umn.edu/A/Extramural/external_coordinated_funding.aspx

MN-GEMS will be used for projects officially approved by RIO to move forward for a limited submission and certain pre-proposals that require SPA review and signature. Reference the appendix of this guide for instructions for these types of submissions.

3.1 How to Create a Proposal Record

Completing the Funding Proposal SmartForm will create a proposal record. The Funding Proposal SmartForm replaces the EGMS PRF and consists of a series of pages containing questions about the proposal. For federal submissions that will be submitted directly to Grants.gov in MN-GEMS (referred to as system-to-system "S2S" submissions), many of the answers to the Proposal SmartForm questions will automatically populate on the SF424 form. For proposal submissions requiring the use of a sponsor's electronic submission system or when utilizing ASSIST or Grants.gov Workspace (not S2S), all sponsor required proposal components must be completed and uploaded to the sponsor's electronic system.

Follow the steps below to complete the Funding Proposal SmartForm and create a new proposal record:

1. On the Dashboard or Grants Module page, select the **Create Funding Proposal** button on the left-hand side of the page. If you are accessing it from the Dashboard, select the **Create** button and then select **Grants** to access the **Create Funding Proposal** button.
2. Complete the Proposal SmartForm pages. The subsections below provide directions for how to complete each of the pages. Select **Continue** Continue at the bottom of each page to navigate through the SmartForm pages (the final page has a Finish Finish button instead of a Continue button). Selecting Continue will save the record and move you to the next page. Selecting **Save** Save will save the record and remain on the same SmartForm page.

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

3.1.1 General Proposal Information Page

1. Type of application – Defaults to “new” for new proposals.

Indicate (Yes or No) if the award is being transferred from another institution.

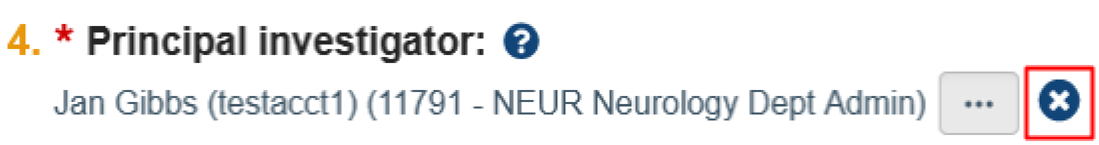
2. Short title of proposal – Enter a short descriptive name for the project (50-character maximum).

Tip: The short title identifies the proposal throughout the system, such as in the MN-GEMS Dashboard, Grants Module page, and in reports.
Example: Davidson DOE Lunar Study

3. Long title of proposal – Enter the full title of this project. If this is an SF424 application, this title will display on the SF424 forms (long titles are limited to 255 characters).

Tip: If your project title is longer than 255 characters, add the full title to the history section of your funding proposal after completing the initial funding proposal smartform by utilizing the **Add Comment** activity in the main funding proposal workspace. The comment with the full title will then appear in the **History** tab.

4. Principal investigator –Search for the desired PI by either typing the PI’s name directly into the text field or selecting the **ellipses** (or three dots “**...**”) next to the text field to open a more detailed search window.

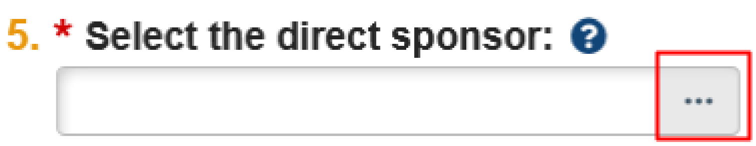


Tip: Type the PI last name only, first and last, last, first name or internetID to find your PI. If there are multiple people at the University with the same name, their internet ID and home department will appear in the dropdown to help you choose the right person.

Notes:

- For proposals with Multiple PIs, list the Contact PI here. Additional (multiple) PIs can be listed on the Personnel page within the funding proposal smartform. The Contact PI must certify the proposal using the **Certify** activity. For proposals with Multiple PIs, the additional PIs will certify the proposal via an **Ancillary Review**. Reference the Ancillary Review guide for more instructions on using the ancillary review function in MN-GEMS.
- If the proposal is specifically for mentored research, enter the Mentor's name in Question 4. The Fellow/Trainee name will be entered on the Personnel Page of the Proposal SmartForm.
- The PI information pulls directly from the HR system. PIs with an active appointment will display as available options.

5. Select the direct sponsor – Search for the desired sponsor by either typing the sponsor's name directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window.



If the sponsor's name is not listed, Select "TBD" and enter the sponsor's name in Question 5a. After you save your work on the page, complete the Sponsor Request Form on the SPA website to initiate the new sponsor addition process. Email the completed form to proposal@umn.edu and attach it to the MN-GEMS funding proposal record and note it was submitted to proposal@umn.edu.

If UMN is a subrecipient on a funding proposal for the organization listed in Question 5, enter the prime sponsor in Question 5b. *Example: Department of Energy (Q5b), when the direct sponsor is Northwestern University (Q5)*

Tip: Section 2.2 of this guide provides guidance on how to search in MN-GEMS. The sponsor selection is fed from the sponsor repository in EFS. Sponsor names in MN-GEMS will be reflected in the same manner as they are/were in EFS.

6. Instrument type – Select the appropriate instrument for the proposal, if known.

7. Primary purpose of this project – Select the primary purpose of the project. Selecting Research as the primary purpose will generate a default “Basic” type of research in 7a (ignore this default question 7a that appears) and an additional question #10.

> **Notes**: The following questions may change depending on the primary purpose selected in question 7. A new question 10 is required when either Research or Clinical Trial is selected as the primary purpose. The remaining question numbers will automatically update.

8. Expected start date – Enter the expected start date of the project.

9. Expected end date – Enter the expected end date of the project .

10. Research - This question only appears if question 7 is answered with Research. Select the % of the type of research. (whole numbers only, all values must total 100%)

10. Clinical Trial - This question only appears if question 7 is answered with Clinical Trial. Select either Sponsor Initiated or PI Initiated.

11. Project Location: Select if the project is located on or off campus from the dropdown menu.

12. Major goals: Enter the major goals that will be populated on the Other Support Report.

Tip: If the major goals are not known at time of funding proposal creation, add a note to the box to clear validations and come back to edit the goals at a later time by choosing the **Edit Funding Proposal** button from the main proposal workspace.

13. Proposal abstract/executive summary - Enter a summary of the project to help reviewers understand the project's objectives.

Tip: Select **Continue** Continue at the bottom of each page to navigate through the SmartForm pages (the final page has a Finish Finish button instead of a Continue button). Selecting Continue will save the record and move you to the next page. Selecting **Save** Save will save the record and remain on the same SmartForm page.

Tip: You can exit the funding proposal smartform at any time by choosing Exit at the bottom of each page and choose Save Changes & Exit to save your work. You can return to the funding proposal smartform at any time prior to routing for approvals to complete and finalize the remaining questions by clicking on the Edit Funding Proposal button on the top left of your funding proposal workspace.

3.1.2 Personnel Page

1. **Program director / Principal investigator** – This field contains the name selected on the prior page. For system-to-system submissions, information entered in Question 1 will map to the SF424 record.
   a. Name the mentor in Question 1a if this submission is a fellowship.
   b. Upload a biosketch under Question 1b, if necessary for the current funding opportunity. If you have already uploaded the biosketch

directly into the sponsor's electronic submission system, it is not required here.

Note: If this is a fellowship, upload the fellow's Biosketch here, otherwise upload the biosketch for the Program director / Principal investigator.

c. Upload an Other Support document under Question 1c, if required by the funding opportunity announcement. If you have already uploaded the Other Support document directly into the sponsor's electronic submission system, it is not required here.

2. **Administering department** – Enter the department that will manage the proposal and award. This will default to the PI's home academic department and may need to be updated. The department/division/institute entered here will perform the department review step of the proposal review workflow and has the primary financial responsibility for managing the award.

Note: MN-GEMS uses the term "department review" to indicate the school/college/dean's level approval that occurs before SPA review and approval. The review that is labeled as "department review" in MN-GEMS is considered "divisional/dean's office review" at UMN.

3. Project personnel – Enter UMN key (including multiple PIs), non-key, or other significant contributor personnel in Question 3a. Enter non-UMN key personnel in Question 3b for example, consultants or subrecipient PIs. If you have already uploaded the biosketch and Other Support documents directly into the sponsor's electronic submission system, they are not required here.

Important:For successful integration to PeopleSoft, there can only be one PD/PI assigned to a Funding Proposal. The other project PI(s) listed in 3a should be have the role of "CO-PD/PI" or "Co-Investigator"

Note: The system maps all UMN personnel marked as key personnel to section A of the Research & Related Budget in the SF424 forms (if applicable), and all personnel marked as non-key map to section B of the Research & Related Budget. All key personnel, including non-UMN key personnel will map to the Senior Key Person Profile section of the SF424.

4. Administrative personnel – The Administrative Contact in Question 4a defaults to the logged in user who created the funding proposal record. The Administrative Contact entered in Question 4a will be able to edit the proposal, respond to reviewer notes, and will receive many notifications about the Funding Proposal record. To select a different Administrative Contact, first clear (or remove) the listed contact by selecting the "**X**" next to the contact's name. Next, search for the desired contact by either typing their name directly into the text field or selecting the **ellipses** (or three dots "**…**") next to in the text field to open a more detailed search window.

Enter any additional contacts who may need edit or read-only access to the funding proposal record under Questions 4b and/or 4c. Contact your Dean's Office (School/College/Division) Research Administration Office if you have questions about appropriate team members to list for this question.

Important: For system-to-system applications (using the SF424 functionality) add your Dean or Division Office reviewers to Question 4b so they automatically get edit access to the SF424 upon its creation.

3.1.3 Submission Information Page

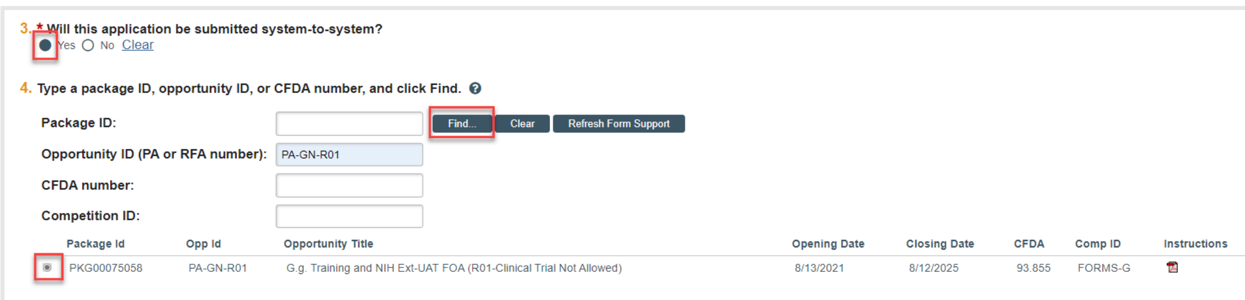
3.1.3.1 For a Federal Proposal:

1. Sponsor type – No data entry required. The type of sponsor is auto-populated based on the sponsor selected on the General Proposal Information page.

2. Direct sponsor – No data entry required. The sponsor selected on the General Proposal Information page is shown.

3. Will this application be submitted system-to-system (S2S)? – Select Yes or No as appropriate.

- System-to-system applications are submitted directly to Grants.gov from MN-GEMS. System-to-system is supported for many Grants.gov submission opportunities.
- If **yes**, then enter or search for the Package ID, Opportunity ID (including dashes), CFDA number (assistance listing), or Competition ID under Question 4 and select **Find** to search for an opportunity. After the opportunity displays, select the radio button next to the Package Id to select it.
- **Note**: Reference the next section for how to process a Grants.gov application that will not be submitted using the SF424 forms in MN-GEMS. *Example, an NSF application submitted through Research.gov*

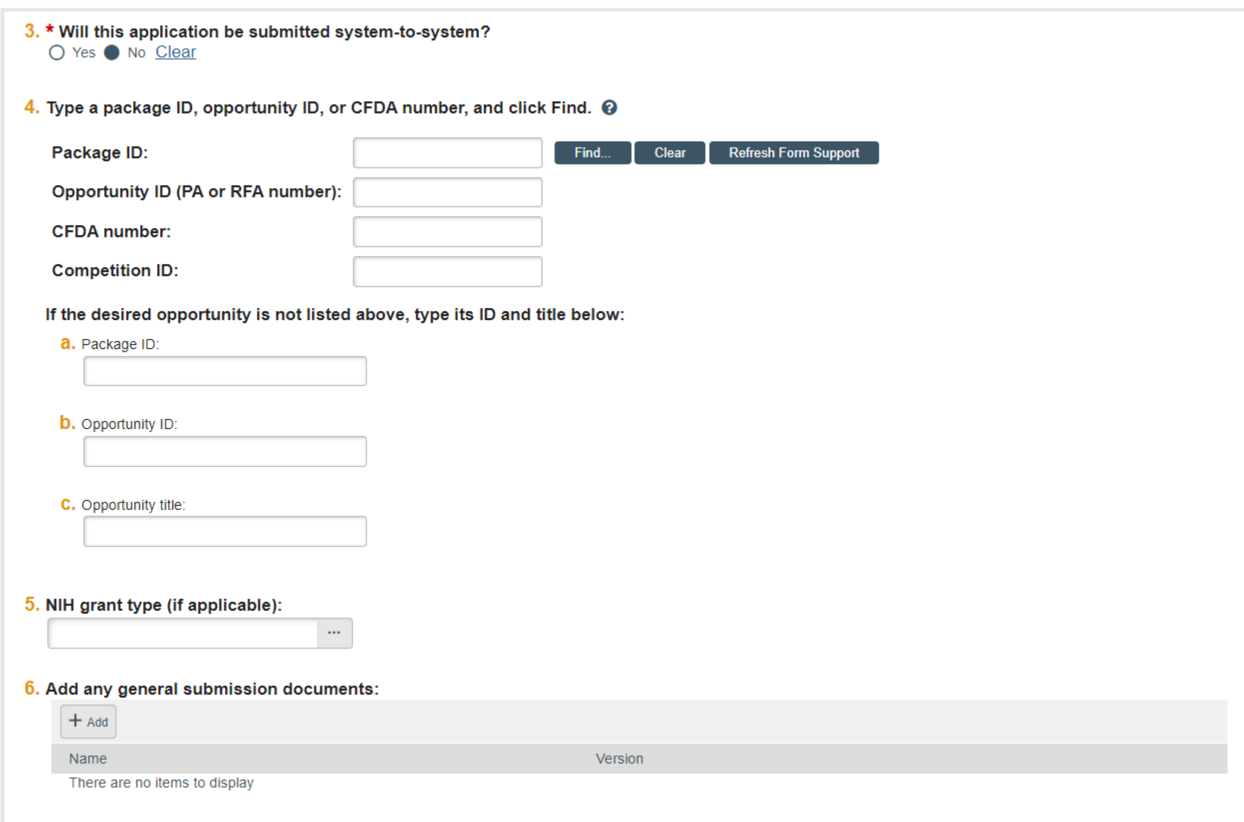


- If **no**, complete the remaining questions:
    a. Question 4a, 4b, 4c. - Search for the funding opportunity using the directions above and enter the funding announcement opportunity identifiers (Package ID, Opportunity ID, and/or Opportunity title)
    b. Question 5- leave blank.
    c. Question 6. - Any submission documents can be attached here. This may include the RFP, e-mail instructions, or any other documents that provide guidance on the proposal content and

submission. If you have documents that need to be submitted to the sponsor, attach them here.

d. Question 7. - Enter the complete electronic submission instructions for submissions that are not Grants.gov submissions. This includes entering the proposal recipient's email address, the sponsor's electronic submission site's URL, or the name of the sponsor's electronic system (e.g. ASSIST or Research.gov) in Question 7.a. Question 7.b. must contain the proposal identifier that is generated by the sponsor's electronic system and any additional submission instructions (e.g. ASSIST ID 123456 or "send the proposal to John Franklin at the e-mail address provided").

For specific guidance on what may be required, please see the SPA [proposal preparation page.]



3.1.3.2 For a Non-Federal Proposal:

1. Sponsor type – No data entry required . The information shown here is auto-populated based on the sponsor selected on the General Proposal Information page.

2. Direct sponsor – No data entry required. The sponsor selected on the General Proposal Information page is shown.

3. Add any general submission documents – Attach submission documents here. This may include the RFP, e-mail instructions, or any other documents that provide guidance on the proposal content and submission. If you have documents that need to be submitted to the sponsor, attach them here.

For specific guidance on what may be required, please see the SPA proposal preparation page.

4. Are you submitting electronically, other than to Grants.gov? If yes, enter submission information in 4a and 4b.

3.1.4 Funding Opportunity Announcement Page

This page is only displayed for system-to-system submissions and 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.

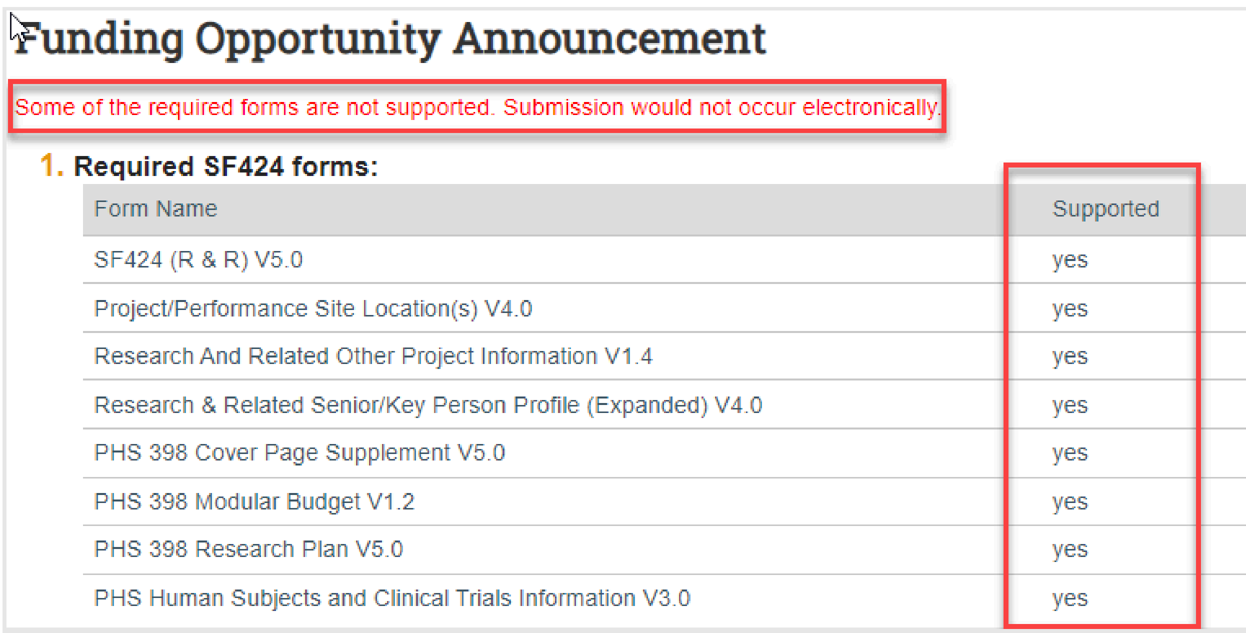
There is no data entry on this page.

Notes:

- A SF424 must be created manually for S2S submissions in the main funding proposal workspace.
- If any of the forms are not supported, the opportunity cannot be submitted system-to-system. In this rare circumstance, return to the prior page and update Question 3. "Will this be submitted system-to-system?" to indicate No. If you expected your submission to

be submitted system-to-system and think the unsupported form(s) is incorrect, contact the SPA Specialist (formerly, SPA GCO).

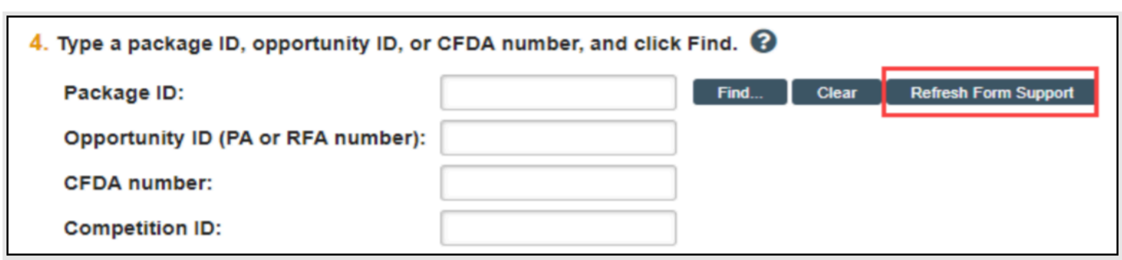
Important: If the screen indicates all forms are supported under Questions 1 and 2, but you still receive a red error message indicating “Some of the required forms are not supported. Submission would not occur electronically,” navigate back to the Submission Information page and select **Refresh Form Support** as shown below:


Funding Opportunity Announcement

Some of the required forms are not supported. Submission would not occur electronically.

1. Required SF424 forms:

Form Name	Supported
SF424 (R & R) V5.0	yes
Project/Performance Site Location(s) V4.0	yes
Research And Related Other Project Information V1.4	yes
Research & Related Senior/Key Person Profile (Expanded) V4.0	yes
PHS 398 Cover Page Supplement V5.0	yes
PHS 398 Modular Budget V1.2	yes
PHS 398 Research Plan V5.0	yes
PHS Human Subjects and Clinical Trials Information V3.0	yes


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

Package ID: Find... Clear Refresh Form Support

Opportunity ID (PA or RFA number):

CFDA number:

Competition ID:

3.1.5 Budget Periods and Key Dates Page

1. Application submission deadline – Enter the date the proposal is due to the sponsor.

Notes:

- For incoming subaward/consortium proposals, enter the date the application submission is due to the direct sponsor (Pass-Through Entity).
- All UMN proposals must be submitted during standard business hours. If the deadline has unusual times of submission (e.g., after 5:00pm Central Time), enter the submission details in Question 8 “Time due to Sponsor”.

2. Date project starts – No data entry required. The start date entered on the General Proposal Information page, question 8 is shown.

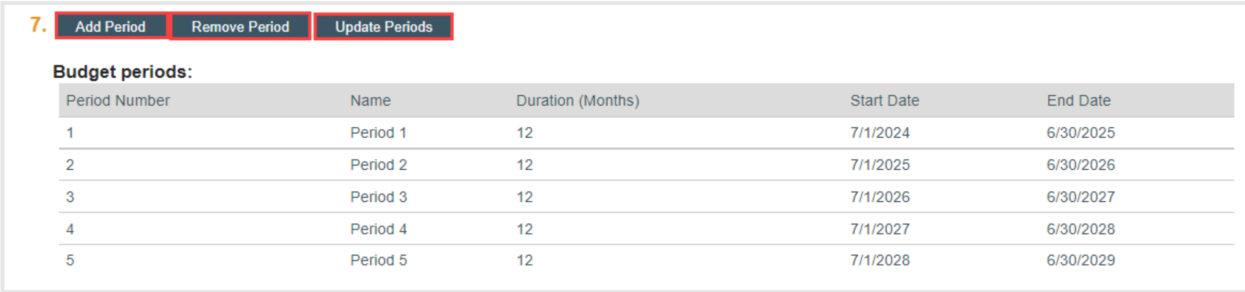
3. Date project ends – No data entry required. The end date displayed is the end date entered on the General Proposal Information page, Question 9.

4. Project length (years) – No data entry required. The number of years displayed is based on the dates entered on the General Proposal Information page. (question 8 and 9) Edit the dates there to adjust this duration.

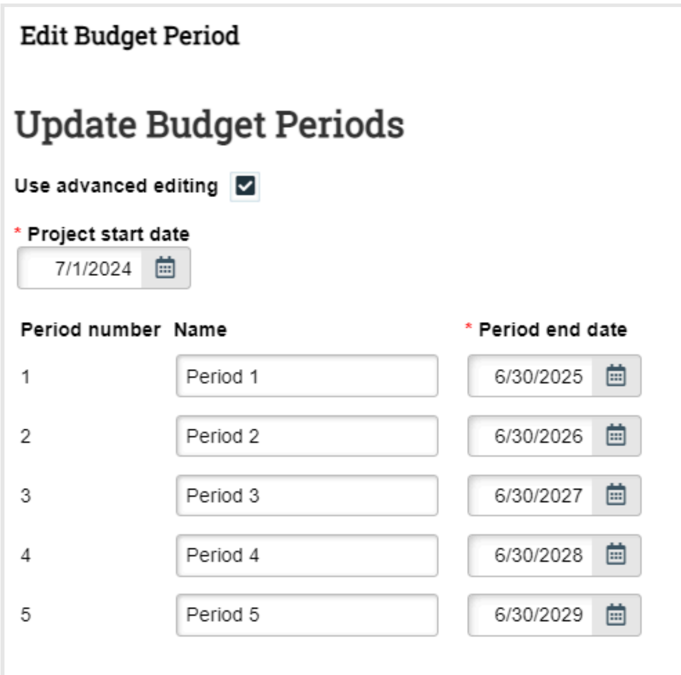
5. Effort metric: Select Months or Percentage to indicate how you will indicate effort on the budget.

6. Modular budget – Select Yes or No as appropriate based on sponsor guidelines.

7. Budget Periods – The system automatically creates the number of periods that are 12 months each, based on the project dates entered on the General Proposal Information page. Select the **Add Period, Remove Period**, and/or **Update Periods** buttons to modify the periods as necessary. To enter specific period end dates (instead of end dates based on number of months), select the **Use advanced editing** checkbox in the Update Periods window.



Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12	7/1/2024	6/30/2025
2	Period 2	12	7/1/2025	6/30/2026
3	Period 3	12	7/1/2026	6/30/2027
4	Period 4	12	7/1/2027	6/30/2028
5	Period 5	12	7/1/2028	6/30/2029



Period number	Name	* Period end date
1	Period 1	6/30/2025
2	Period 2	6/30/2026
3	Period 3	6/30/2027
4	Period 4	6/30/2028
5	Period 5	6/30/2029

Tip: The budgeting functionality will still assume 12 months for each budget period even when you've adjusted the dates so adjust effort and budget amounts for shortened or extended budget periods accordingly in the budget(s) modules.

8. Time due to sponsor (if not 5pm CST) – Enter the time the proposal is due to the sponsor if not 5pm CST.

9. Sponsor due date is - Enter if the deadline date is a hard deadline with a specific receipt date or a target deadline date.

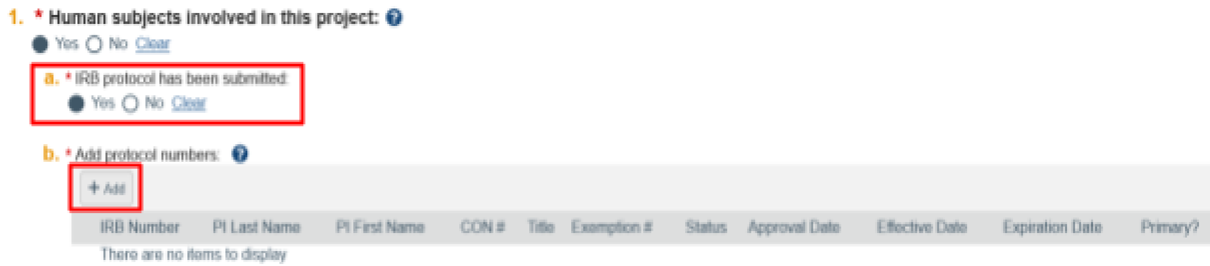
10. Proposal due to SPA by - No data entry required. The date populates automatically to reflect the 3 day internal SPA deadline.

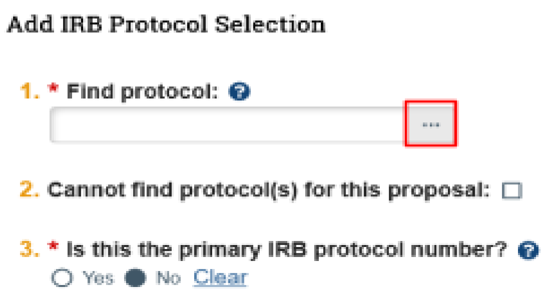
Note: The due date does not take into consideration University holidays.

3.1.6 Compliance Review Page

This page contains compliance questions that UMN will use as part of the funding proposal review process. All but the final question 13 on this page are mandatory. Select **Yes** or **No** or check the appropriate boxes for Questions 1-10. Check the appropriate boxes for Questions 11-12 (Unknown is an option).Question 13 is optional and more than one box may be selected. In some cases, answering Yes or checking a box will prompt additional questions to be displayed.

1. Human Subjects - Select Yes or No. Selecting Yes on 1.a allows for selection of an approved protocol. Select the +Add button and search for a protocol by either typing the protocol ID directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window. If the protocol is not found in the search, you may check the box next to **Cannot find protocol(s) for this project.**



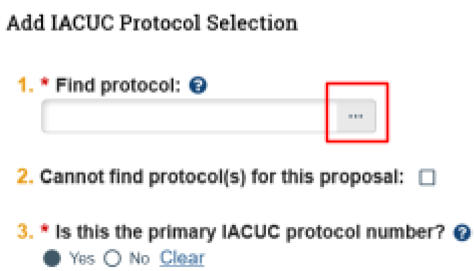


Notes: Marking the box on question 2 allows entry of a protocol ID in a text box.

For SF424 submissions box 3 must be checked for only 1 protocol.

To associate a funding proposal with a specific protocol, you'll need to access ETHOS and update the protocol's funding selection. Guidance on how to complete these steps in ETHOS can be found here.

2. Animal Subjects - Select Yes or No. Selecting Yes on 1.a allows for selection of an approved protocol. Select the +Add button and search for a protocol by either typing the protocol ID directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window. If the protocol is not found in the search, you may check the box next to **Cannot find protocol(s) for this project.**

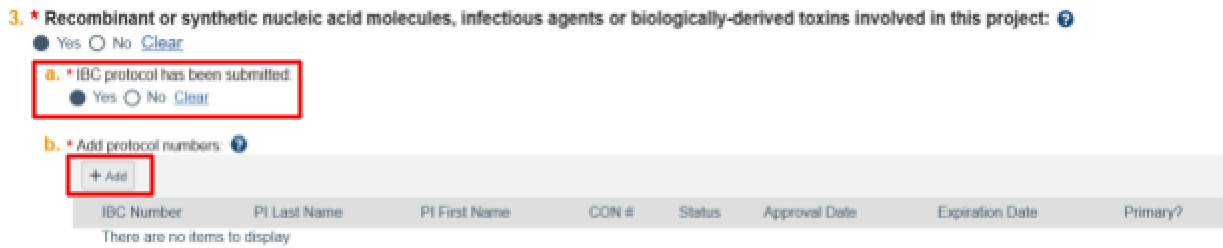


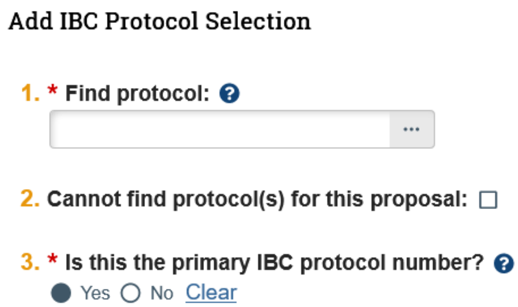
Notes: Marking the box on question 2 allows entry of a protocol ID in a text box.

For SF424 submissions box 3 must be checked for only 1 protocol.

To associate a funding proposal with a specific protocol, you'll need to access eProtocol and update the protocol's funding selection. Guidance on how to complete these steps in eProtocol can be found here. For more information, visit the IACUC webpage.

3. Recombinant or synthetic nucleic acid molecules. Select Yes or No. Selecting Yes on 1.a allows for selection of an approved protocol. Select the +Add button and search for a protocol by either typing the protocol ID directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window.   If the protocol is not found in the search, you may check the box next to **Cannot find protocol(s) for this project.**





Notes: Marking the box on question 2 allows entry of a protocol ID in a text box.

For SF424 submissions box 3 must be checked for only 1 protocol.

To associate a funding proposal with a specific protocol, you'll need to access eProtocol and update the protocol's funding selection. Guidance on how to complete these steps in eProtocol can be found on the IACUC webpage.

Complete the remaining required questions on the page.

3.1.7 Additional Proposal Information Page

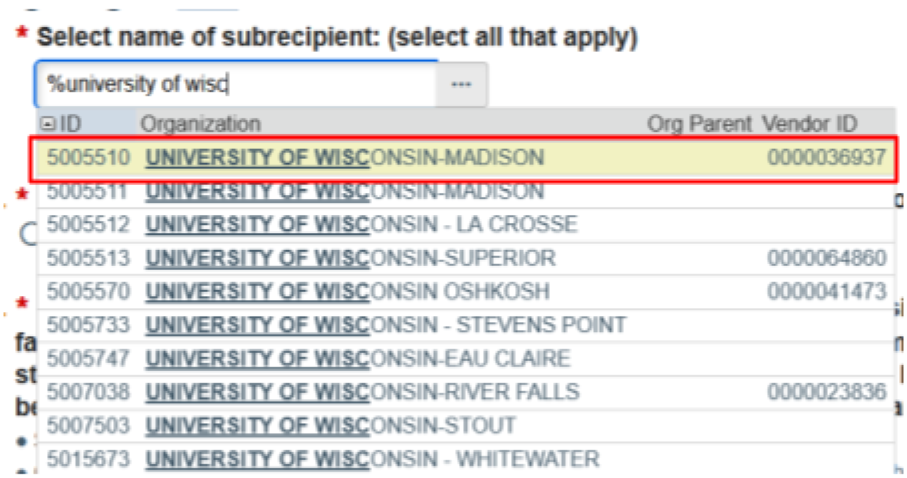
This page contains UMN specific questions that are required in order to submit a proposal. Note, these questions were updated from the original EGMS Proposal Routing Form (PRF).

1. **Campus -** Select the campus where the project will take place

2. **Outgoing subawards** - Selecting Yes allows for selection of the subrecipient. The list of organizations is populated from EFS. To add the subrecipient, search for an organization by either typing the name directly

into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window. If you cannot find the organization, select UMNSPA1 - UMN Temporary Sponsor.

Tip: Section 2.2.1 of this guide provides guidance on how to search in MN-GEMS. The subrecipient selection is fed from the sponsor repository in EFS. Make sure to select an Organization that has a vendor ID or select UMNSPA1 - UMN Temporary Sponsor



3. Outside entities - If yes is answered to 3, additional questions must be completed regarding the type of entity/entities that will be involved from the list provided. It is required that the primary role of the involved entity/entities must be described in the data box provided. Questions regarding this question can be directed to the Office for Public Engagement at avp-ope@umn.edu or (612) 624-1706.

4. Conflict of interest - Questions 4-5 are related to conflict of interest.

Regent's policy requires that academic employees disclose financial interests relating to research or consulting activities at the time of their application submission for research support. The policy can be located at: https://policy.umn.edu/operations/conflictinterest.

Definitions are found in the Board of Regent Policy on Individual Conflicts of Interest. Questions can be directed to the Conflict of Interest Program: (612) 626-4727.

6. Patents - Questions 6 and 7 are related to patents and inventions. The University of Minnesota defines an invention as: "A patentable invention is any new and useful process, machine, article of manufacture, or composition of matter, or new and useful improvement thereof."

The University Policy: Reporting Inventions or Software Arising from Research

It is the responsibility of the PI to disclose inventions to Technology Commercialization at the time they are created.

8. Confidential information - Select Yes or No

Private Commercial information means records provided by a submitter that contain "trade secret information" as defined in Minnesota Statute 13.37, Subd. 1(b):

... a formula, pattern, compilation, program, device, method, technique or process... that is the subject of efforts... that are reasonable under the circumstances to maintain its secrecy, and (3) that derives independent economic value, actual or potential, from not being generally known to... other persons...

We are required by law to make available copies of proposals for **awarded** grants or contracts to the public on request. Investigators who wish to withhold trade secret information from public review should, where it appears in the application, mark it as private.

9 and 10. Space - Select Yes or No. Questions 9 and 10 allow for the space and staff commitments to be addressed at proposal time by both the initiator who creates the Funding Proposal and by all approvers who by signature agree to the usage of the stated resources. The question further identifies the project space that will be utilized by room number and building name if the proposal is awarded. The space identified should include both the office and lab space involved.

Space allocated to a project at proposal time may come into play by allocating ICR funds, see: Scenarios for Allocating Indirect Cost Recovery (ICR) Funds for policy in these cases.

11. Involvement of additional department/college - Select Yes or No. When resources are to be utilized from more than one department or college, the Funding Proposal must be approved by all department heads and deans involved. This question assists with the transmission of information and assures all parties involved have approved the resources committed to the project.

The listing of a department/college name does not automatically add an individual to the Funding Proposal; the initiator will need to identify the appropriate department and/or college for each unit and add them as ancillary reviews to the Funding Proposal.

12. ICR sharing - Select the appropriate option. The ICR sharing policy encourages the interdisciplinary nature of research and applies to new and competitive renewals only (existing arrangements are exempt). ICR sharing is mandatory only if the proposal is over $100,000 total cost per year with indirect costs of $1,000 or above with the involvement of more than one intercollegiate center or college. Involved colleges or their representatives must agree on how the returned indirect costs will be shared if the project is funded or they may waive their right to receive a portion of the ICR.

The UMN Policy for IDC Recovery/Sharing: Sharing Indirect Cost Recovery Among Collaborating Colleges/Intercollegiate Centers/University-wide Centers

ICR can be shared by two methods: contribution or separate budgets. Users will consider the following principles to determine the proportion each unit contributes to the project when:

- Contributions should be estimated using a reasonable approach to determine value.
- Estimations of contributions to the sponsored project should be categorized into the three areas: personnel, facilities, and administrative costs.

Departments also have the option to decide not to share ICR revenue. This decision is not mandated by the University; departments make the decision.

13. Cost sharing - Select Yes or No. If yes is selected, the type of contribution must be selected in 13.a. A description of the contribution must be detailed in 13.b to include the specific dollar amount committed and a description of the purpose of the funding commitment. This description must match the amount listed in the proposal budget. The cost share chartstring should be added, if known. Question 13.c must identify the Dept ID responsible for the cost share commitment. Question 13.d is optional.

The terms "**cost sharing**," "**matching**," and "**in-kind**" refer to that portion of the total project costs not borne by the sponsor. These terms are often used interchangeably but attention should be given to sponsor definitions of those terms. The University uses the terms as follows:

- Cost sharing generally refers to labor items.
- Matching generally refers to non-labor items.

Cash funds are usually required by sponsors for equipment acquisition programs, specialized research centers, or other multidisciplinary programs. Typically, these funds are requested from a college. In-Kind is interchangeable with "matching" but may refer to costs borne by an external organization, for example when individuals at another organization volunteer their time. The administration policy on matching/cost share: Offering Cost Sharing (including Matching and In-Kind Contributions) on Sponsored Projects

When matching or cost share is identified on a Funding Proposal, information regarding the contribution needs to be added either in the data box or identified as chart string or uploaded additional documentation can be added.

14. Program Income -Select **Yes** or **No** to indicate whether the funding proposal will have program income. If yes, select the type of program income anticipated. Multiple options are allowable. Additional information may be entered in the text field.

Program Income is defined in OMB Federal Regulations, 2 CFR Part 200.80, as gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income is generally related to income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds.

Information on program income policies at the University of Minnesota can be found at: Managing Program Income Earned on Sponsored Projects

15 and 16. International Travel - Questions 15 and 16 address international involvement on a project. Many sponsors require that foreign travel be identified and justified as part of the proposal.   Noting this on the Funding Proposal assists departments and colleges as well as SPA when the proposal is reviewed to check sponsor and University requirements.

Do you contemplate international travel to another country as part of this project? - Select **Yes** or **No** for Question 15. When Yes is selected, search for the applicable countries by either typing the name of the country directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window. Multiple countries may be selected.

Do you have a collaborating partner or institution that is located in another country? - Select **Yes** or **No** for Question 16. When Yes is selected, search for the applicable countries by either typing the name of the country directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window. Multiple countries may be selected.

If there is a foreign subcontract in the proposal, information on payment terms, exchange rates, and other sponsor requirements must be considered. For more information on International Subawards, check the SPA webpage at http://www.ospa.umn.edu/subaward/forms.htm. To assist users, review checklists for International Subawards #1 and #2 which cover a variety of issues at proposal development time. Check the Policy Library for the most current policy on International Travel.

17. Does this proposal make use of Fairview Health Services resources? - Select **Yes** or **No.** All clinical research projects requesting services from Fairview are required to conform to the Clinical Research Budgeting and Billing policy. PIs or delegated staff must use OnCore (Enterprise OnCore) to delineate the services, drugs, devices, tests, and procedures rendered for clinical research.

If you select Yes, enter the OnCore Protocol number in the field labeled "OnCore #". The field allows for the entry of up to 20 characters.

Additional information on the new Clinical Trial Management System (CTMS or OnCore) is located at: https://www.ctsi.umn.edu/researcher-resources/clinical-trial-management-system

18. Do you want to have this proposal SPECTRUM Certified?- Select Yes or No. When Yes is selected, search for the certifier by either typing the name directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window.

Notes: You must manually add an ancillary review for a SPECTRUM certifier for the certification of the Funding Proposal to be completed.

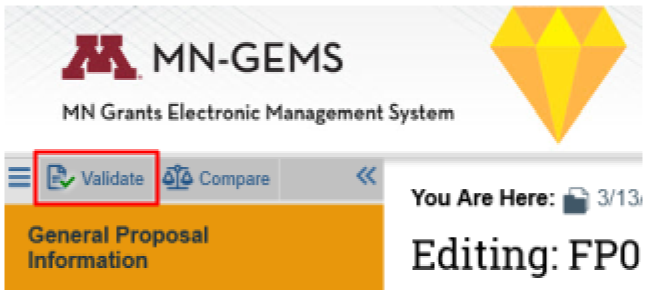
19. Will research security costs be charged to this project? Select the appropriate option. If you select Other, add additional comments in the text box. - Research security costs include such items as specialized facilities (rooms with special locks or access privilege controls) or specialized equipment to safeguard data, export control license costs, specialized cybersecurity costs, specialized training for project personnel related to data security, etc.

3.1.8 Completion Instructions Page

No data entry required. This page provides guidance on the next steps now that you've completed the SmartForm entries.Follow the steps to complete the validation process. If there are validation errors and/or warnings, they must be addressed prior to selecting Finish. . Review the instructions and select **Finish** when complete to return to the Proposal Workspace.

Important: Selecting **Finish** does **not** submit your proposal to your Dean's Office or SPA. This allows for additional edits and/or actions to occur prior to the proposal submission (e.g., completing the budget, creating/updating the SF424, etc.). When all proposal components have been completed, the funding proposal can be submitted for review by selecting the **Submit for Department Review** activity on the Proposal Workspace.

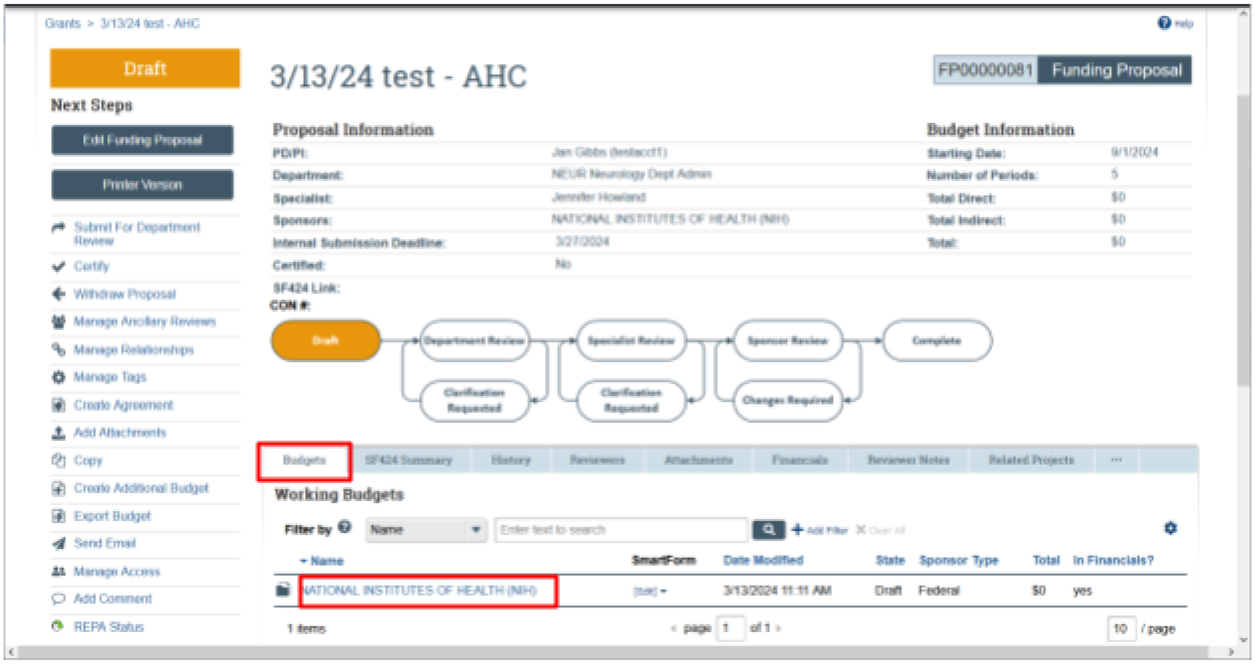
Tip: to validate the submission, select the **Validate tab** in the left navigator.



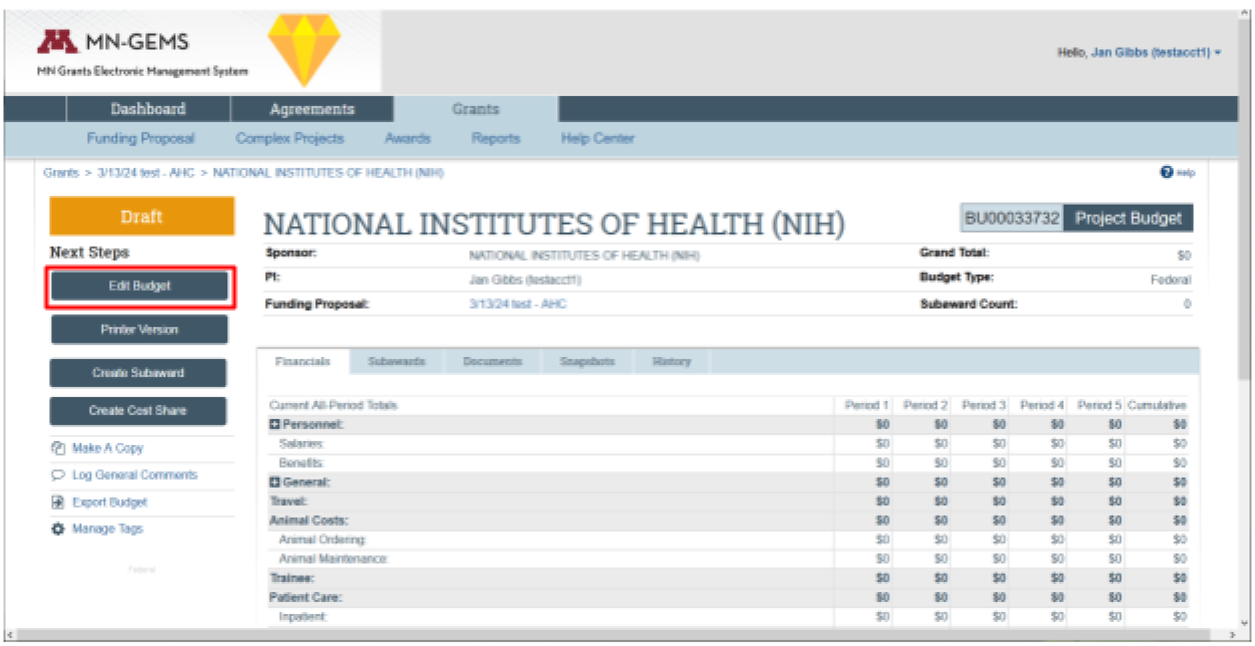
3.2 How to Create a Budget

The next step in the proposal submission process is to access the Budget Workspace and complete the Budget SmartForm to build the proposal budget. After the proposal has been created, the system automatically creates a budget record with the name of the direct sponsor. Additional budgets may be created if necessary. Follow the steps below to complete a budget:

1. Navigate to the Proposal Workspace. You will automatically be brought to the Workspace when you select **Finish** on the Proposal SmartForm.
2. On the Proposal Workspace, under the Budgets tab, select the **budget name** to display the Budget Workspace.



3. On the Budget Workspace, select the **Edit Budget** button to open the Budget SmartForm.



4. Complete the Budget SmartForm pages to build the budget in MN-GEMS. The subsections below walk you through each of the pages. Select **Continue** at the bottom of each page to navigate through the SmartForm pages (the final page has a Finish button instead of a Continue button).

Note: In MN-GEMS, you are not required to complete all SmartForm budget pages at the proposal stage if a detailed budget is provided elsewhere, such as in a sponsor's electronic system (e.g., ASSIST, Research.gov) or as a spreadsheet attached to the FP. SPA still requires basic budget details in MN-GEMS that includes the PI effort, direct and indirect amounts, and exempt-from-F&A amounts per category (e.g., equipment, grad student tuition/subs over $25k).

Reasons for Budget Information in MN-GEMS:

SPA Approval: SPA needs to ensure the budget aligns with RFP requirements and is correctly calculated.

Department Review: Department Heads and Deans need to review effort commitments and anticipated F&A recovery.

Additionally, using MN-GEMS for budgeting automates verification and reduces errors compared to manual spreadsheet calculations. The budget also flows into an award record by account code which reduces the need to manually calculate and enter the amounts during award setup.

3.2.1 General Budget Information Page

1. Budget title – Edit the display name of the budget to better identify the sponsor or the budget's content if necessary. (Example: an internal subproject title should be edited to reflect the receiving division/department name.)

2. Principal Investigator for this budget – This drop-down list contains only the names of those identified in the key personnel section of the proposal. Update as necessary. If the person is not listed, they will need to be added in the Personnel section of the proposal SmartForms to be selectable here.

3. Does this budget use the standard F&A cost base and rates? – Select **Yes** if this budget will use the On-Campus Research F&A cost base and rates. Select **No** if the budget will use a different rate.

If **Yes**, the Standard On Campus Research F&A cost base and rates display in the table.

3. * **Does this budget use the standard research indirect cost base and rates?**

● Yes ○ No Clear

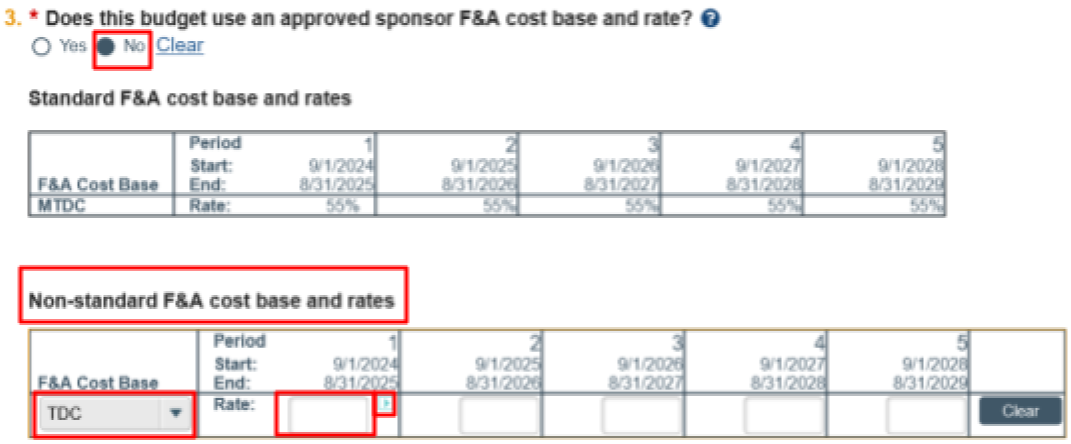
Standard F&A cost base and rates

F&A Cost Base	Period	1	2	3	4	5
	Start:	7/1/2024	7/1/2025	7/1/2026	7/1/2027	7/1/2028
	End:	6/30/2025	6/30/2026	6/30/2027	6/30/2028	6/30/2029
MTDC	Rate:	55.5%	55.5%	55.5%	55.5%	55.5%

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

- TDC – Use when all budget categories are calculated in the F&A base, including NIFA proposals.
- MTDC – Use when the sponsor uses a modified total direct cost F&A base.
- TRAIN – Use for NIH NRSA and similar training grants.

Do not select any of the other bases. These will be used by SPA.



Important: MN-GEMS does not allow a user to enter an indirect cost budget dollar value. If the proposal limits the indirect costs to a specific dollar value, calculate the necessary percentage to recover all costs and enter the relevant percentage.

4. Include in consolidated budgets? – Select **Yes** or **No** as appropriate.

- If **Yes**, the budget will be included in the total proposal budget displayed in the Financials tab of the Proposal Workspace.
- If **No**, the budget will be excluded from the total proposal budget displayed in the Financials tab of the Proposal Workspace. Select No if this is a draft budget that will not be used on the final proposal or if this is a cost share budget.

Notes: Selecting Yes adds this budget's totals to the figures on the proposal's Financials tab. The totals of all budgets (except cost share or excluded budgets) get rolled up into one total per cost type on the SF424 budget.

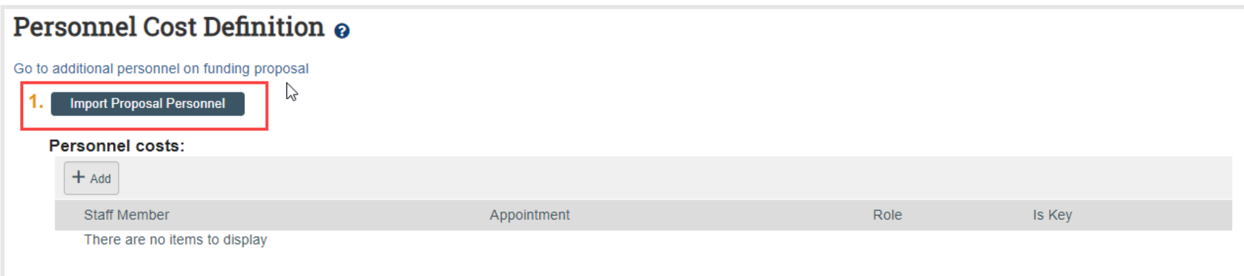
5. Salary Cap – This field may be automatically populated with the NIH salary cap. You can override the default salary cap by entering a new amount. Follow sponsor guidelines for salary caps.

6. Enter inflation rates – Update as necessary with the inflation rate for each budget category. Select the **Inflate Period 1** box to apply the inflation rate to Period 1; otherwise, inflation will start with Period 2.

3.2.2 Personnel Cost Definition Page

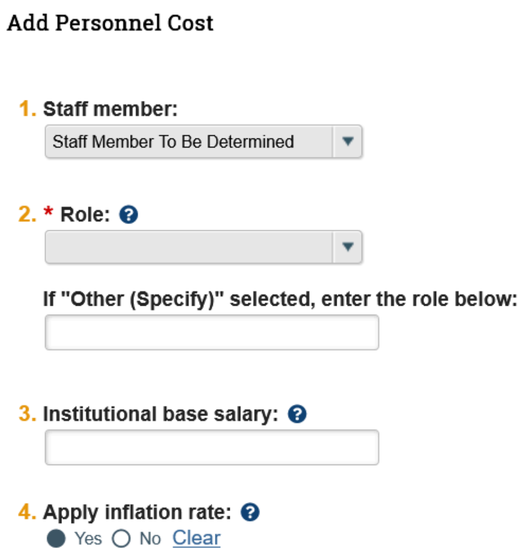
The personnel cost budget is calculated using information entered on two separate SmartForm pages. This first page, Personnel Cost Definition, is for entering costs. The second page, Personnel Costs, is for entering amounts. The personnel budget also displays on the Personnel Costs page.

Follow the steps below to build the list of personnel:

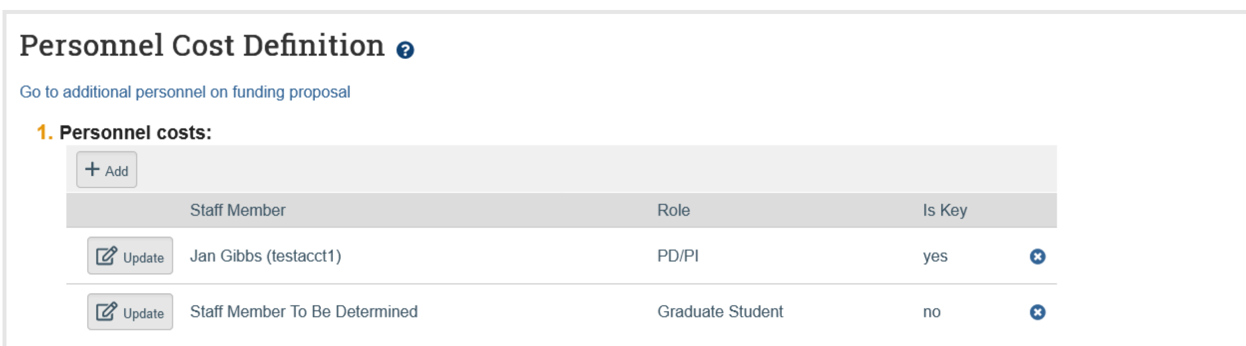


1. Select the **Import Proposal Personnel** button to import the PI and all other institutional personnel listed on the proposal at one time. **This action can only be completed once.**
    a. If needed, select the **Go to additional personnel on funding proposal** link to return to the Personnel page of the Proposal SmartForm to add additional personnel to the proposal prior to using the Import Personnel button. When complete, navigate back to the Personnel Costs page of the Budget SmartForm and select the Import Proposal Personnel button.
2. If you need to add a person after you have completed the import, you will manually add them using the "Add" button and then select their name from the dropdown. Select the **Add** button to add personnel individually.
3. Select **Update** by each staff member name to view appointment and base salary information. Update if necessary.

4. Use the “Staff Member to Be Determined” value if the position is being budgeted, but the individual has not yet been identified.



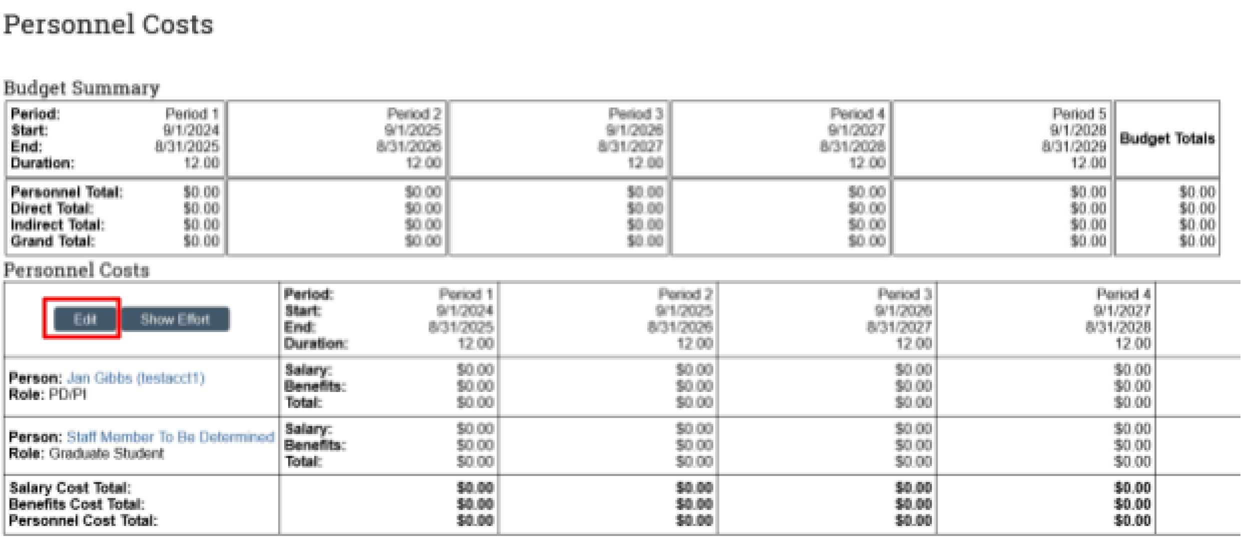
When complete, each row of the table reflects the Appointment duration, Role, and whether the individual is Senior/Key Personnel.



3.2.3 Personnel Costs Page

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

i. Select the **Edit** button to show fields used to indicate the percentage of effort everyone will contribute to the project and the percent of the base salary required.



Personnel Costs

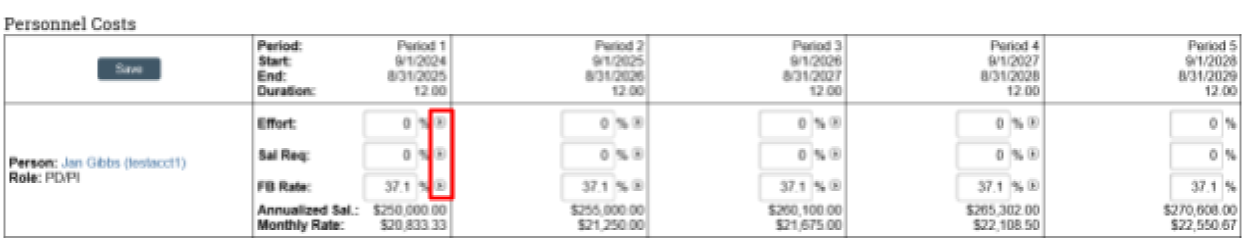
Budget Summary

Period:	Period 1	Period 2	Period 3	Period 4	Period 5	Budget Totals
Start:	9/1/2024	9/1/2025	9/1/2026	9/1/2027	9/1/2028	
End:	8/31/2025	8/31/2026	8/31/2027	8/31/2028	8/31/2029	
Duration:	12.00	12.00	12.00	12.00	12.00	
Personnel Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Direct Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Indirect Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Grand Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00

Personnel Costs

Edit Show Effort	Period:	Period 1	Period 2	Period 3	Period 4
	Start:	9/1/2024	9/1/2025	9/1/2026	9/1/2027
	End:	8/31/2025	8/31/2026	8/31/2027	8/31/2028
	Duration:	12.00	12.00	12.00	12.00
Person: Jan Gibbs (testacct1) Role: PD/PI	Salary:	$0.00	$0.00	$0.00	$0.00
	Benefits:	$0.00	$0.00	$0.00	$0.00
	Total:	$0.00	$0.00	$0.00	$0.00
Person: Staff Member To Be Determined Role: Graduate Student	Salary:	$0.00	$0.00	$0.00	$0.00
	Benefits:	$0.00	$0.00	$0.00	$0.00
	Total:	$0.00	$0.00	$0.00	$0.00
Salary Cost Total:		**$0.00**	**$0.00**	**$0.00**	**$0.00**
Benefits Cost Total:		**$0.00**	**$0.00**	**$0.00**	**$0.00**
Personnel Cost Total:		**$0.00**	**$0.00**	**$0.00**	**$0.00**

ii. Enter the applicable **Effort** and **Salary Requested (Sal Req) Months** and modify the **Fringe Benefits Rate** if necessary. If you expect these values to remain consistent across all periods, select the **small arrows** to copy the values to the subsequent periods.



Personnel Costs

Save	Period:	Period 1	Period 2	Period 3	Period 4	Period 5
	Start:	9/1/2024	9/1/2025	9/1/2026	9/1/2027	9/1/2028
	End:	8/31/2025	8/31/2026	8/31/2027	8/31/2028	8/31/2029
	Duration:	12.00	12.00	12.00	12.00	12.00
Person: Jan Gibbs (testacct1) Role: PD/PI	Effort:	0 %	0 %	0 %	0 %	0 %
	Sal Req:	0 %	0 %	0 %	0 %	0 %
	FB Rate:	37.1 %	37.1 %	37.1 %	37.1 %	37.1 %
	Annualized Sal.:	$250,000.00	$255,000.00	$260,100.00	$265,302.00	$270,608.00
	Monthly Rate:	$20,833.33	$21,250.00	$21,675.00	$22,108.50	$22,550.67

iii. Repeat this process for all personnel. When complete, select the **Save** to update the totals fields in both the Budget Summary and Personnel Costs tables.

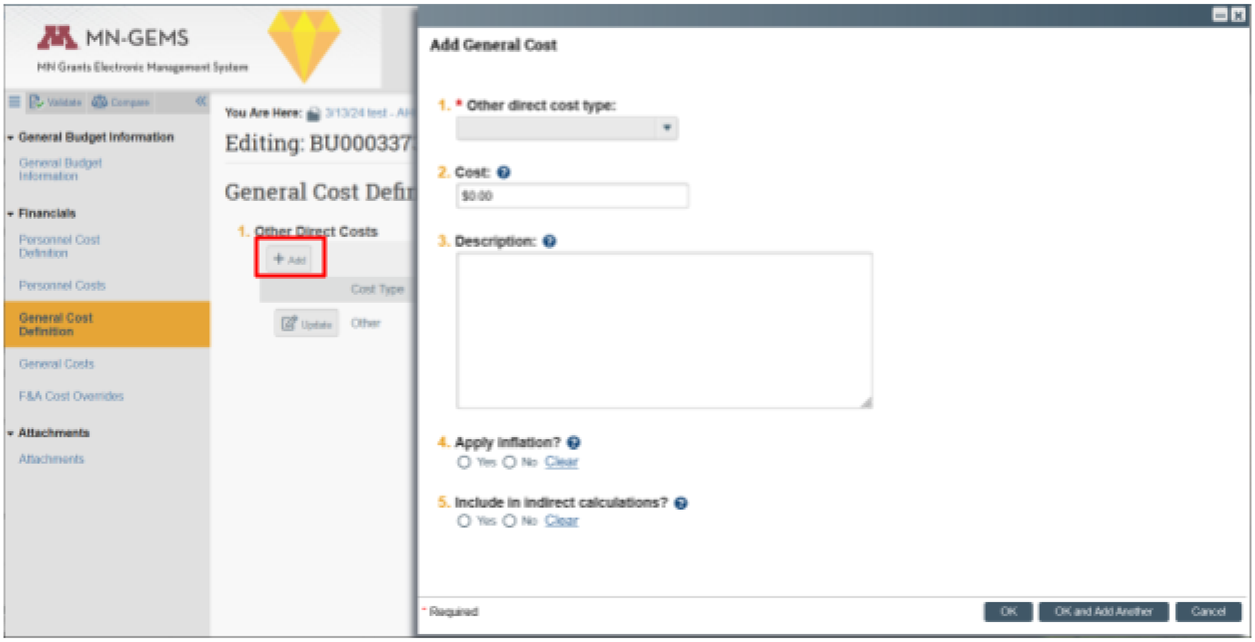
General Notes about the Personnel Costs table:

- Use the Show Effort/Show Totals buttons to switch between the effort and dollar amount views.
- The Base salary is defined for each person on the Personnel Cost Definition page.
- Salary = Base * Sal Req % (salary cap used instead of base if applicable)
- Benefits = Base * Sal Req % * FB Rate % (salary cap used instead of base if applicable)
- The Effort months and effort percentage reflects the effort for each person in the period and does not impact the calculations on the table (salary requested impacts the calculations as noted above).
- If the base salary is greater than the salary cap amount, the calculations will use the salary cap.

3.2.4 General Cost Definition Page

On this page you'll enter line items for cost categories not entered on the detailed budget tables on prior pages. Like the Personnel Costs pages, the General Cost tables consist of two pages. The first page, General Cost Definition, is for entering cost line items by general cost type. The second page, General Costs, is for updating the costs in all budget periods to calculate the total general costs.

i. **General costs** – Select the **Add** button to add a new cost type and repeat as necessary.



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

1. **General cost type** – Select the type in the drop-down list.
2. **Cost** – Enter the dollar amount per period.
3. **Description** – Enter additional information about the cost type. Note, a budget justification document will be uploaded in the attachments page.
4. **Apply inflation?** – Answer **Yes** or **No**. By answering **No**, the amounts will be editable on the next page. If answering **Yes**, this will apply to the inflation rate entered on the General Information page (even if 0% is entered) and future year budget amounts are not editable.
5. **Include in indirect calculations?** - Answer **Yes** or **No**. This question only displays for certain cost types.
6. When complete, select **OK** or **OK and Add Another**.

General Cost Definition

1. Other Direct Costs

+ Add

	Cost Type	Description	Cost	
Update	General Operating Supplies		$5,000.00	
Update	Lab & Medical Services		$15,000.00	
Update	Other	Graduate Assistant Tuition	$34,959.60	
Update	Travel: Domestic		$5,000.00	

Note: If a graduate student is included in your budget, their tuition will be automatically calculated here. To make any edits to this cost, the graduate student type must be updated on the personnel cost definition page.

3.2.5 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.

1. Select the **hyperlink** associated with each Cost Type to edit the Cost Type and the associated details listed for each Cost Type.
2. Select the **Save** button within the General Costs table after you have completed your edits.

Note: The general cost dollar amounts are shown below. All Cost Type are editable because the “Apply inflation?” question in the Add General Cost window was answered as “no.”

General Costs

Budget Summary

Period: Period 1 **Start:** 9/1/2024 **End:** 8/31/2025 **Duration:** 12.00	Period 2 9/1/2025 8/31/2026 12.00	Period 3 9/1/2026 8/31/2027 12.00	Period 4 9/1/2027 8/31/2028 12.00	Period 5 9/1/2028 8/31/2029 12.00	**Budget Totals**
General Total: $59,960.00 **Direct Total:** $125,210.60 **Indirect Total:** $0.00 **Grand Total:** $125,210.60	$59,960.00 $125,210.60 $0.00 $125,210.60	$59,960.00 $125,210.60 $0.00 $125,210.60	$59,960.00 $125,210.60 $0.00 $125,210.60	$59,960.00 $125,210.60 $0.00 $125,210.60	$299,798.00 $626,053.00 $0.00 $626,053.00

General Costs

Save	**Period:** Period 1 **Start:** 9/1/2024 **End:** 8/31/2025 **Duration:** 12.00	Period 2 9/1/2025 8/31/2026 12.00	Period 3 9/1/2026 8/31/2027 12.00	Period 4 9/1/2027 8/31/2028 12.00	Period 5 9/1/2028 8/31/2029 12.00
Cost Type: General Operating Supplies **Description:**	$5,000.00	$5,000.00	$5,000.00	$5,000.00	$5,000.00
Cost Type: Lab & Medical Services **Description:**	$15,000.00	$15,000.00	$15,000.00	$15,000.00	$15,000.00
Cost Type: Other **Description:** Graduate Assistant Tuition	$34,960.00	$34,960.00	$34,960.00	$34,960.00	$34,960.00
Cost Type: Travel: Domestic **Description:**	$5,000.00	$5,000.00	$5,000.00	$5,000.00	$5,000.00
General Cost Total:	**$59,960.00**	**$59,960.00**	**$59,960.00**	**$59,960.00**	**$59,960.00**

3. Enter any notes about the general costs in Question 1 and select **Continue**.

3.2.6 F&A Cost Overrides Page

No data entry required. **This page is for SPA use only.** This page reports the F&A cost base standard being used to calculate the F&A amount for this budget and if applicable, any overrides. SPA would use this page in the rare circumstance that a sponsor used a F&A base that is not already available in MN-GEMS.

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

3.2.7 Attachments Page

Attach the budget justification (if not an SF424 submission) and other internal budget attachments here. Attachments added here will also be available on the Funding Proposal Workspace. These attachments are not imported to the SF424; all SF424 budget attachments must be directly uploaded in the SF424 record. When the Budget SmartForm is complete, select the **Finish** button to return to the Budget Workspace.

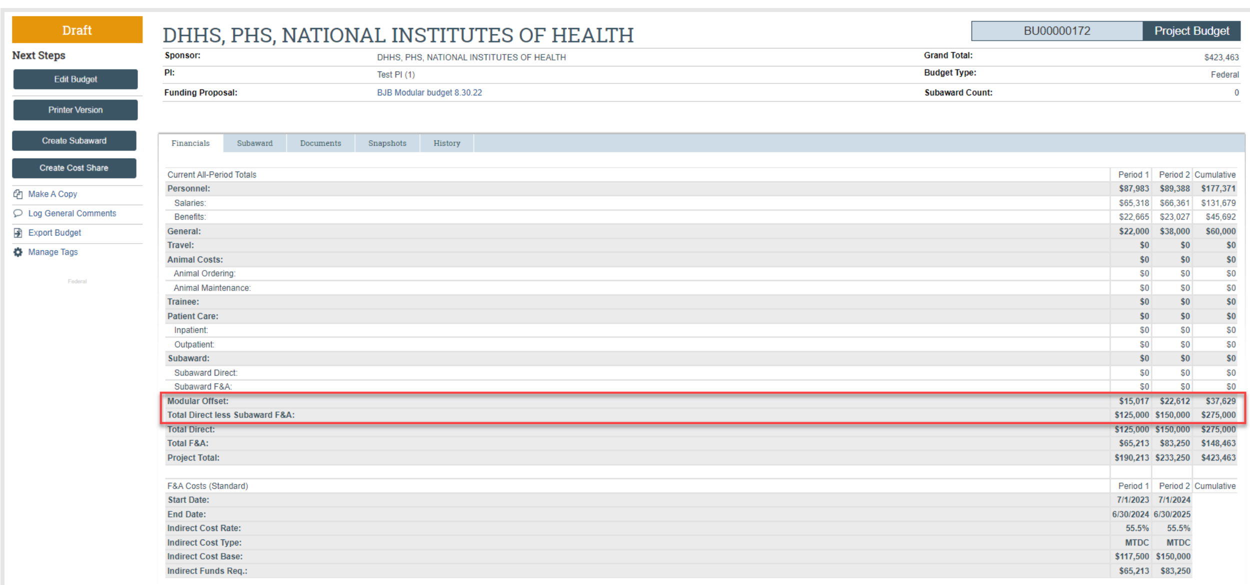
On the Budget Workspace, the Financials tab reflects the categories and totals specified on the budget tables. Select the **Edit Budget** button to make additional budget updates.

3.2.8 How to Create a Modular Budget

To submit a modular budget to a sponsor, you must select **Yes** to Question 6 “Modular Budget?” on the Budget Periods and Key Dates page of the Funding Proposal SmartForm. A modular budget uses the same Budget SmartForm as a detailed budget; however, you will use the PHS Modular Budget form on your SF424 application instead of the Research & Related Budget (detailed budget) form. SF424 directions (if applicable) are included later in this guide.

Follow the steps below to complete the budget for a submission with a modular budget.

1. Complete the Budget SmartForm using the steps outlined in the [How to Create a Budget](#) section. Enter the actual Personnel and General Costs that will be necessary to complete the project. The system will round each budget period to the nearest module (increment of $25,000) using a "modular offset", so it is not necessary to create a detailed budget that adds up exactly to the target modular amount.
2. When the Budget SmartForm is complete, select the **Finish** button to return to the Budget Workspace.
3. If your budget is over the target direct cost increment, select the **Edit Budget** button to reduce the direct costs to obtain the desired total. If the listed "Total Direct less Subaward F&A" correctly reflects the desired number of modules in each budget period, the budget will map correctly to the SF424 modular budget. The image below shows the budget category totals that combine with a modular offset to add to the desired module amount.



Sponsor:	DHHS, PHS, NATIONAL INSTITUTES OF HEALTH	Grand Total:	$423,463
PI:	Test PI (1)	Budget Type:	Federal
Funding Proposal:	BJB Modular budget 8.30.22	Subaward Count:	0

Current All-Period Totals	Period 1	Period 2	Cumulative
Personnel:	**$87,983**	**$89,388**	**$177,371**
Salaries:	$65,318	$66,361	$131,679
Benefits:	$22,665	$23,027	$45,692
General:	**$22,000**	**$38,000**	**$60,000**
Travel:	**$0**	**$0**	**$0**
Animal Costs:	**$0**	**$0**	**$0**
Animal Ordering:	$0	$0	$0
Animal Maintenance:	$0	$0	$0
Trainee:	**$0**	**$0**	**$0**
Patient Care:	**$0**	**$0**	**$0**
Inpatient:	$0	$0	$0
Outpatient:	$0	$0	$0
Subaward:	**$0**	**$0**	**$0**
Subaward Direct:	$0	$0	$0
Subaward F&A:	$0	$0	$0
Modular Offset:	**$15,017**	**$22,612**	**$37,629**
Total Direct less Subaward F&A:	**$125,000**	**$150,000**	**$275,000**
Total Direct:	**$125,000**	**$150,000**	**$275,000**
Total F&A:	**$65,213**	**$83,250**	**$148,463**
Project Total:	**$190,213**	**$233,250**	**$423,463**

F&A Costs (Standard)	Period 1	Period 2	Cumulative
Start Date:	7/1/2023	7/1/2024	
End Date:	6/30/2024	6/30/2025	
Indirect Cost Rate:	55.5%	55.5%	
Indirect Cost Type:	MTDC	MTDC	
Indirect Cost Base:	$117,500	$150,000	
Indirect Funds Req.:	$65,213	$83,250	

3.2.9 How to Create an Additional Budget

Additional budgets may need to be created for the proposal submission. Follow the steps below to create an additional budget:

1. Navigate to the Funding Proposal Workspace.
2. On the Funding Proposal Workspace, select the **Create Additional Budget** activity from the options listed on the left side of the page.
3. In the Create Additional Budget window, enter the **Budget title** and the associated **PI Name** and select **OK**.
4. On the Budget Workspace, complete the pages as necessary. Reference How to Create a Budget for additional information.

Note: Consider creating additional budgets for the following scenarios:

- Multiple departments or divisions
- Multiple projects or PD/PIs
- Estimate budgets (be careful to select whether to include in consolidated budgets)
- Additional sponsor budget requirements (e.g., by fiscal year)

Important: The modular offset is calculated for each budget, not on the rollup level or aggregate budget. For this reason, it is not recommended to use multiple budgets for submissions with a modular budget.

3.2.10 Cost Share Budgeting

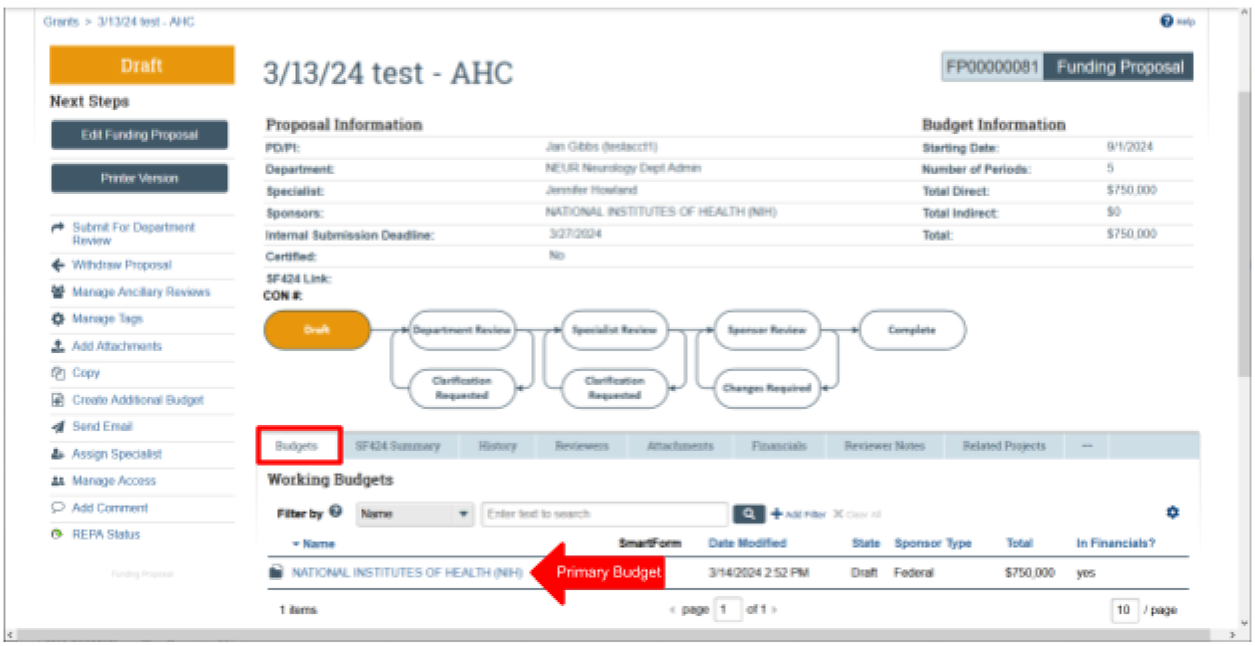
MN-GEMS supports cost share budgeting.UMN will use the MN-GEMS cost share budgeting feature for proposals that include cost sharing. The University of Minnesota's Cost Sharing Policy states "The University wants to *minimize* its cost sharing on sponsored projects." The instructions for creating a Cost Share Budget are contained in the Appendix to this guide.

3.2.11 How to Create an External Subaward Budget

Subaward budgets are necessary to account for funds when contracting with an external institution for a specific scope of work as part of the UMN 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:

1. Navigate to the Funding Proposal Workspace.
2. On the Funding Proposal Workspace, under the Budgets tab, select the **primary budget** name to display the Budget Workspace.



3. On the Budget Workspace, select the Create Subaward button.

4. Complete the Subaward SmartForm pages. The subsections below provide guidance for each page. When finished with each page, select Continue to navigate through the rest of the SmartForm pages.
   a. Subaward Budget Information page

      1. Title – enter a descriptive title for the subaward (50 character maximum). For example, identify the subrecipient or the budget's content.

      2. Subrecipient– The subrecipient list of organizations is populated from EFS. To add the subrecipient, search for an organization by either typing the name directly into the text field or selecting the **ellipses** (or three dots "**...**") next to the text field to open a more detailed search window. If you cannot find the organization, select UMNSPA1 - UMN Temporary Sponsor and complete the Add Sponsor Information form.

      3. Principal Investigator – no data entry required. This field automatically populates with the primary budget's PI.

      4. Subawardee PI – enter the Subrecipient PI's information.

      5. Subaward budget detail level – select how to capture budget data for this subaward.

      1. **Per Period Direct and Indirect totals** – all costs are captured in a single budget table as per-period direct and indirect totals. If submitting via S2S, SF424 may

still require subaward budget details to be entered manually in the SF424 Workspace.

2. **SF424 Subaward Import** – allows you to upload the subrecipient's budget totals from a completed R&R Subaward Budget PDF form. (You do this on the SF424 Subaward Import page, which appears later in the SmartForm. The information from the uploaded R&R Subaward Budget PDF will map to the SF424.) A SF424 R&R Budget for a specific proposal package will be available for download after you initiate the SF424 Workspace.
    a. Select this option when submitting your proposal system-to-system (MN-GEMS to Grants.gov).
    b. The PDF form must be opened with Adobe Acrobat (not a web browser) for editing purposes. You must use the PDF version associated with the opportunity (which can be downloaded from the SF424 Workspace). Using older form versions may result in submission errors.
    c. The period dates entered in the Subaward R&R Budget PDF form must match the budget periods of the primary budget.

Important: You must use the PDF version associated with the opportunity (which can be downloaded from the SF424 Workspace). Using or downloading the wrong form will cause submission errors.

6. Include in consolidated budgets? – select **Yes** to include the subaward budget in the final proposal budget that is submitted to the sponsor. Select **No** if this budget should be excluded from the final proposal budget.

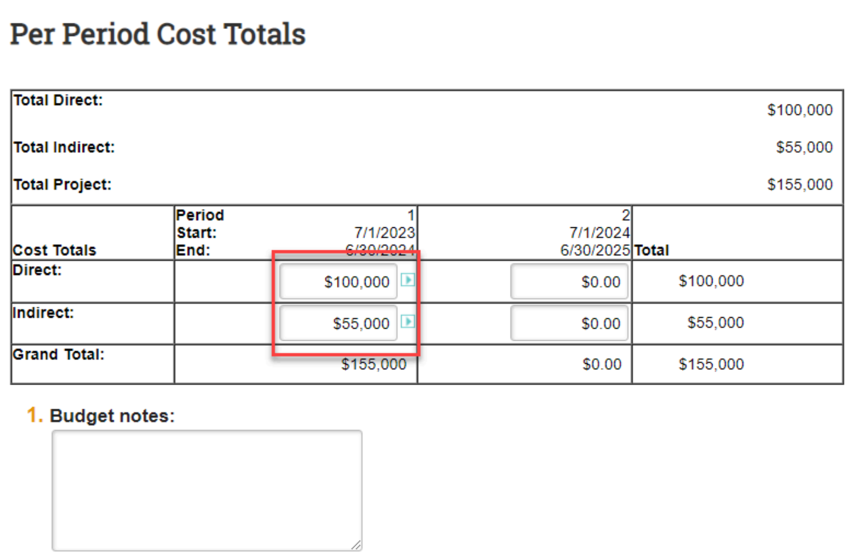
7. Subaward indirect allowance limit – by default, MN-GEMS includes the first $25,000 of subaward budgets in the MTDC direct cost base when calculating F&A costs for the primary budget. This value may be changed to match the proposal budget's F&A base amount for the subrecipient if it differs from the first $25,000.

Note: This question appears only if the cost base type selected in the parent budget is MTDC.

b. All Personnel Page: **Do not use this section**. Subrecipient key personnel should be entered on the funding proposal.

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

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



Per Period Cost Totals

Total Direct:	$100,000
Total Indirect:	$55,000
Total Project:	$155,000

Cost Totals	Period / Start: / End:	1 / 7/1/2023 / 6/30/2024	2 / 7/1/2024 / 6/30/2025	Total
Direct:		$100,000	$0.00	$100,000
Indirect:		$55,000	$0.00	$55,000
Grand Total:		$155,000	$0.00	$155,000

1. **Budget notes:**

The totals at the top of the table will update as data is entered. Enter applicable budget notes in the text field by Question 1.

Per Period Cost Totals

Total Direct:	$200,000
Total Indirect:	$110,000
Total Project:	$310,000

Cost Totals	**Period** / **Start:** / **End:**	1 / 7/1/2023 / 6/30/2024	2 / 7/1/2024 / 6/30/2025	**Total**
Direct:		$100,000	$100,000	$200,000
Indirect:		$55,000	$55,000	$110,000
Grand Total:		$155,000	$155,000	$310,000

1. **Budget notes:**

Enter budget notes in this field

d. SF424 Subaward Import Page (displayed only if this option was selected on the first page).

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

SF424 Subaward Import

1. **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: **Do not use this page.**

Attach all documentation using the Add Attachment activity on the Proposal Workspace.

When the subaward budget is complete, select the **Finish** button. You are returned to the Subaward Workspace.

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

Notes:

- The editable PDF subaward budget form is available on the SF424 Workspace within the system or on the Grants.gov website.
- Subaward budgets are displayed under the Subaward tab of the Budget Workspace.

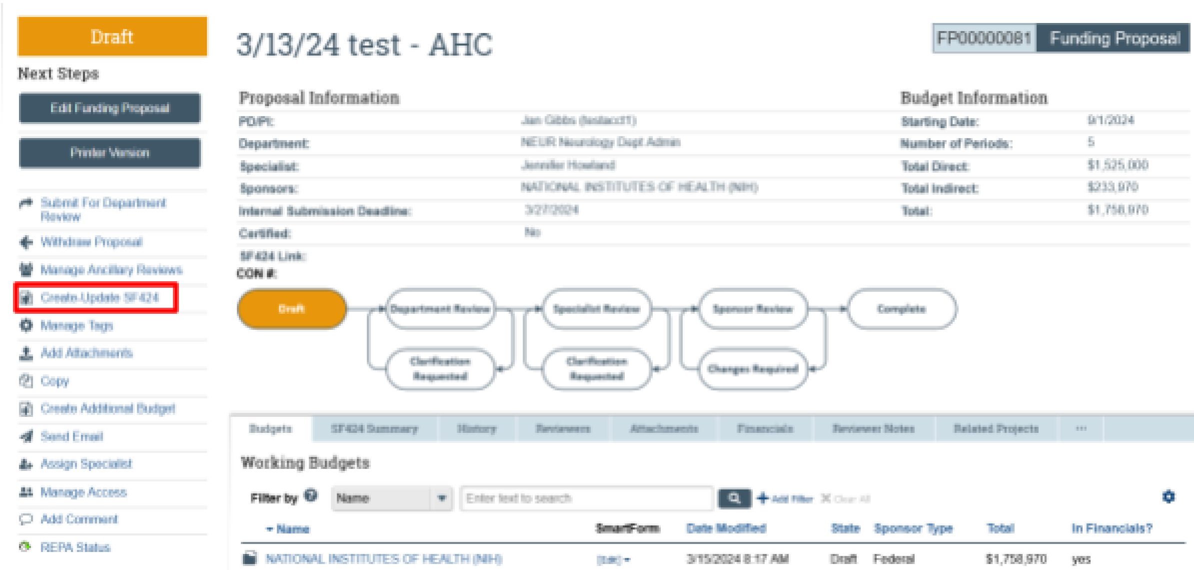
4 How to Manage a SF424 Submission for Federal Proposals

If you selected yes to **Will this application be submitted system-to-system?** on the Submission Information page of the Funding Proposal SmartForm, you must also create the applicable SF424 forms and populate them with data from the Funding Proposal and Budget SmartForms.

4.1 How to Create the SF424

Follow the steps below to create the SF424 record:

1. On the Funding Proposal Workspace, select the **Create-Update SF424** activity from the menu on the left side of the Workspace. The Create-Update SF424 window appears.

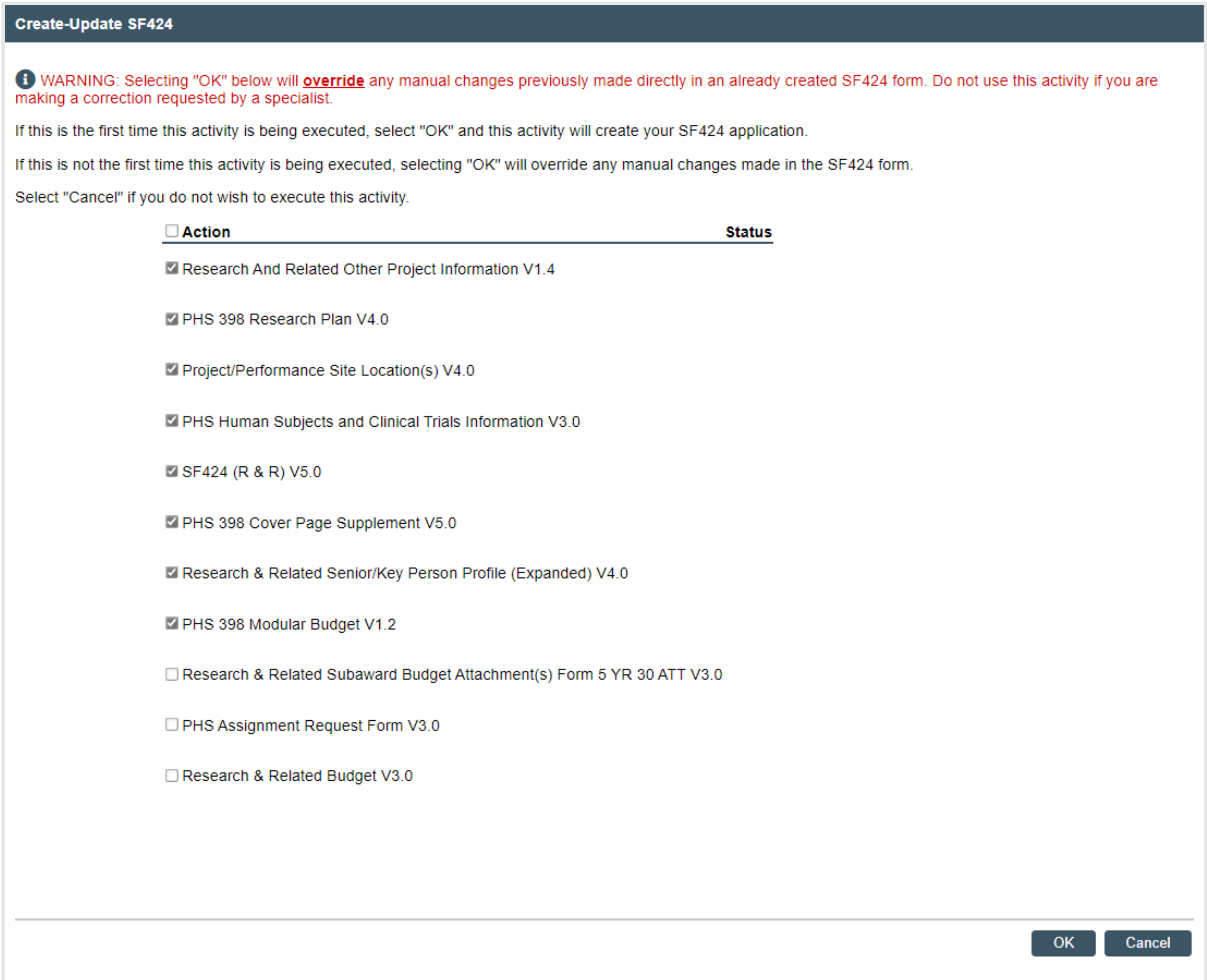


2. In the **Create-Update SF424** window, select the appropriate SF424 forms required for your submission. Note, the modular and research & related budget forms are both included under optional forms. Choose the budget form that matches the Funding Proposal type indicated in Question 6 of the **Budget Periods and Key Dates** page. Select **OK**. The “Status” column will update as the system generates the forms. When all selected forms have been created, a “Success!” message displays at the bottom to indicate your SF424 record has been created. If you need to add or remove a form after receiving the success message, select the **Create-Update SF424** option in the left side menu to update.

Important:

- The applicable optional forms must be selected. Select the appropriate budget forms for all applications that include a budget.
- If this is the first time this activity is being executed, select **OK** to create the SF424 application. If this is not the first time this activity is being executed, 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.



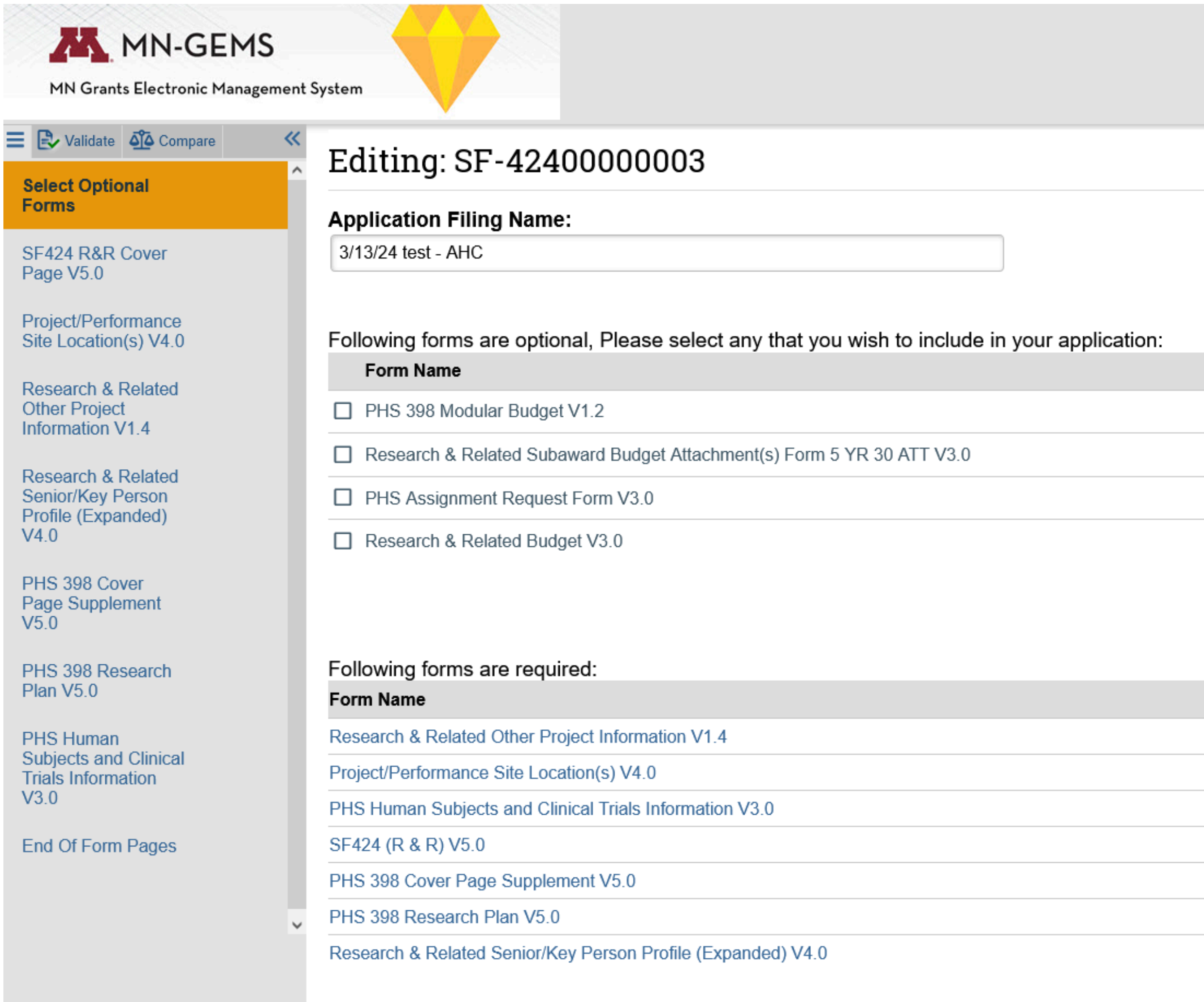
4.2 How to Edit and Complete the SF424

Follow the steps below to edit and complete the SF424 record:

1. Once the system has generated the SF424 forms, select the **SF424 Link** in the header section of the Proposal Workspace.

2. On the SF424 Workspace, select the **Edit Grant Application** button.

3. On the Select Optional Forms page of the SF424 SmartForm, select any optional forms to include in the SF424 application and select **Continue** to move to the sponsor-specific pages.



4. Complete the sponsor-specific pages of the SF424 SmartForm as needed by adding or modifying data and attachments as outlined in the sponsor's funding opportunity instructions. **Note, all forms required by the sponsor must be completed prior to routing to SPA for review and submission.**

Important: The pages of the SF424 SmartForm are tailored to your funding opportunity Refer to the funding opportunity for guidance on the SF424 form requirements. This guide does not cover sponsor-specific form pages.

5. On the last page of the SF424 SmartForm, select **Finish** to return to the SF424 Workspace.

Important guidance on creating SF424 forms:

- If a SF424 form field needs to be updated, but contains data that was automatically populated, **make the necessary updates on the Funding Proposal and/or Budget SmartForm pages and use the Create-Update SF424 activity in the Workspace.** 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. Only select the forms to which you made changes when updating the SF424.
- Fields with a red asterisk (*) are required to be completed by the MN-GEMS system. Please note that **Grants.gov may require additional fields to be completed, in addition to those required by our system**. When validating the SF424 SmartForm, the system will perform multiple layers of validation. You may receive additional errors or warnings on a second validation due to this approach.
- All attachments must be uploaded in PDF format and have a unique filename.

4.3 How to Import a Subaward Budget to a SF424 Application

If a subaward budget is being submitted system-to-system, the required Subaward R&R Budget form from Grants.gov must be uploaded to the submission. There are two methods to upload the Subaward R&R Budget form:

- Method 1: upload the completed Subaward R&R PDF form within the Subaward Budget SmartForm. This is the preferred method and is outlined in the How to Create a Budget section of the guide.
  or
- Method 2: upload the Subaward R&R PDF form using the Import Subaward activity on the SF424 Workspace. The SF424 must be created before using this method.

This subsection provides directions for Method 2. Follow the steps below to upload a Subaward R&R Budget form to the SF424 record:

1. Create the SF424 if this step has not already been completed and navigate to the SF424 Workspace.
2. On the SF424 Workspace, select the **Edit Grant Application** button.
3. On the SF424 SmartForm, update the forms as necessary and add the number of subawards on the Research & Related Subaward Budget Attachment(s) Form page. You do not need to complete the itemized financial information in the Subaward Budget SmartForm pages as this is what will be uploaded using the "Import Subaward" activity.
4. After entering the number of subawards, select the **ellipses** (or **three dots** "**...**") next to each subaward to open the Add SF424RRBudget window.
5. Complete the mandatory fields in the Add SF424RRBudget window:
    a. UEI – enter the subrecipient Unique Entity Identifier (UEI) – this UEI should match the UEI that is entered on the Subaward R&R Budget form.
    b. Budget Type – for a subaward, select Subaward/Consortium.

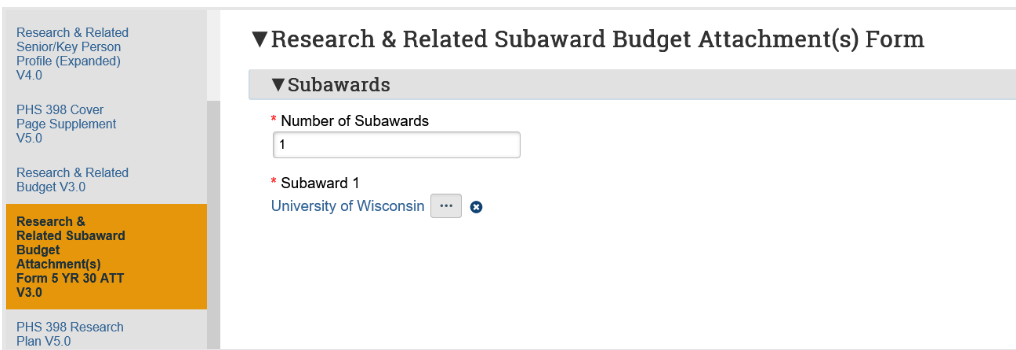
c. Enter Name of Organization – enter the subrecipient name.

d. Number of Budget Periods – enter the number of periods in which the subrecipient budget is active.

e. Budget Justification - upload pdf budget justification

f. Periods - enter dates of budget periods

Note: This step is required even if you have updated the R&R Subaward Budget within the Subaward Budget SmartForm pages.



6. Navigate to the SF424 Workspace and select the **Import Subaward Budget** activity from the left side menu.
7. In the Import Subaward window, select the subaward organization in Question 1 and upload the completed Subaward R&R Budget PDF form in Question 2. Select **OK**.

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

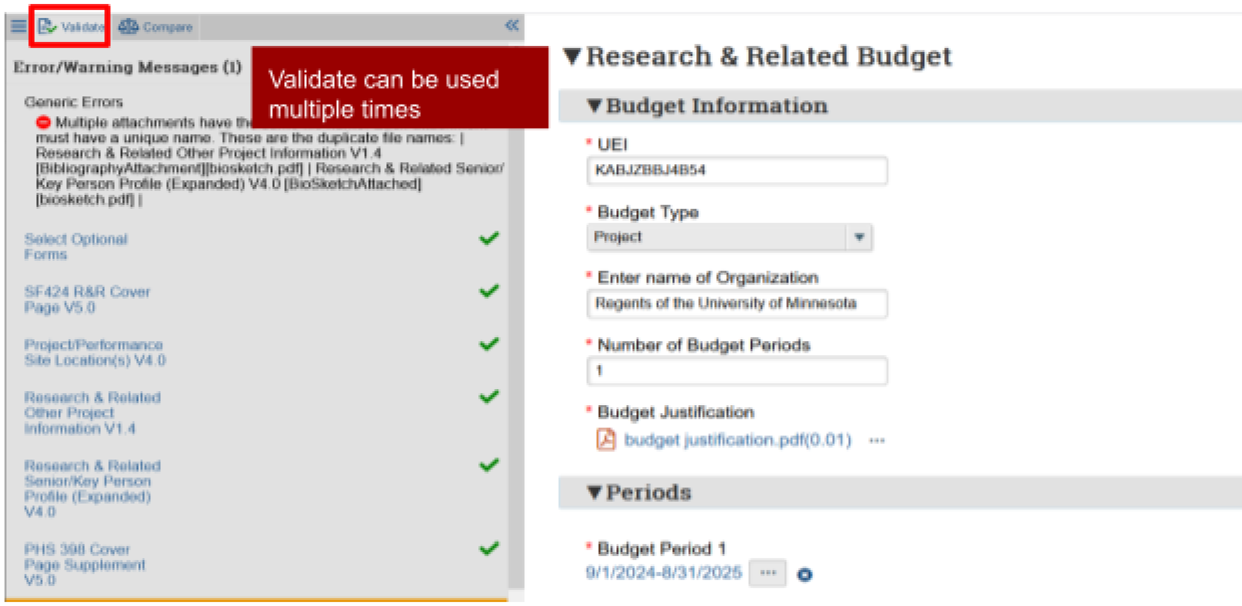
4.4 How to Validate a SF424 Application

MN-GEMS can check (or validate) a SF424 application for submission errors and warnings using the validate function. Errors and warnings reflect problems (errors) and potential problems (warnings) with the SF424 application that will impact submission.

- Errors reflect problems that will impose a rejection at Grants.gov or the funding agency. Errors must be corrected and are designated with a red circle.
- Warnings are recommendations that will not stop the proposal submission to Grants.gov. Warnings highlight situations that may cause issues when your proposal arrives at the funding agency. Certain warnings must be addressed to ensure compliance with sponsor guidelines. Warnings are designated with a yellow triangle.

There are two methods to check for errors and warnings. Note, method 1 is for department administrators and method 2 is for SPA use only:

- **Method 1:** Validate function within the SF424 SmartForm
  - o This is the **only method Department administrators should use** to validate the SF424.
  - o This function should be used to check an application that is in a pre-submission state.
  - o This function can be used multiple times until you have resolved all errors and applicable warnings in the application.
  - o Follow these steps to validate your SF424 for errors and warnings:
    1. On the SF424 Workspace, select the **Edit Grant Application** button to open the SF424 SmartForm.
    2. On the SF424 SmartForm select the **Validate** button at the top of the left navigator panel. This button will perform a validation of your application and generate a list of errors and/or warnings if present in your application.



3. Select the **page name** or **question name** in the left navigator to navigate directly to that location within the SF424 SmartForm.
4. Re-run the validation from within the SmartForm as many times as necessary to eliminate all errors and applicable warnings.
5. Optional step. If desired, select the **Generate PDF Version** activity to save a PDF of the SF424 submission at this stage.

- **Method 2:** Validate Submission activity on the SF424 Workspace-**FOR SPA USE ONLY**-
    - **Department administrators should not use this method.**
    - This activity also checks the SF424 application for errors and warnings. If errors or warnings appear, you can navigate back to the SF424 SmartForm to address the issues.

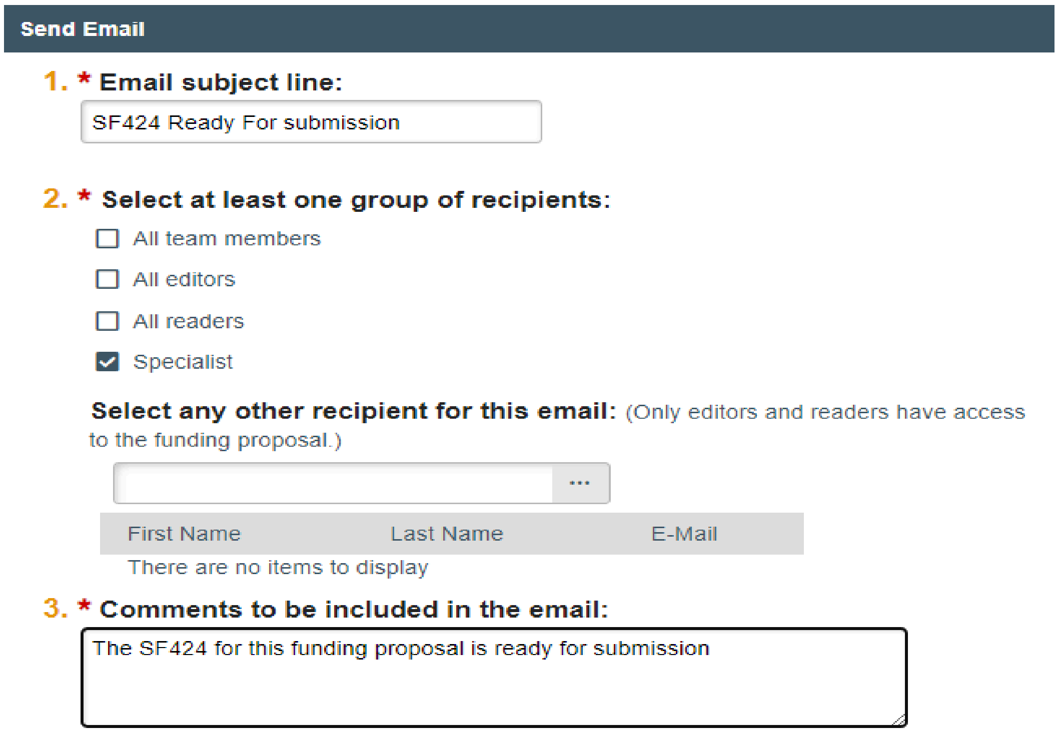
- If you use this function and your SF424 passes the validate check, your SF424 application will **lock to edits** and become ready for submission to Grants.gov. For this reason, **SPA will use this activity for a final validation** when the SF424 record is ready for submission to Grants.gov. This activity also checks the SF424 application for errors and warnings. If errors or warnings appear, you can navigate back to the SF424 SmartForm to address the issues.

4.5 How to Notify SPA that a SF424 is Ready for Submission to Grants.gov

The PI or administrative contact must notify SPA when the SF424 is ready for submission to Grants.gov. Follow the steps below to notify SPA that a SF424 is ready for submission:

1. Navigate to the Funding Proposal Workspace for the submission.
2. Use the Send Email directions in this guide to notify SPA that the SF424 is ready for submission.
3. When using the Send Email activity, include the following:
   a. Include a descriptive title in Question 1 in the format: FP# Ready for Submission (e.g. FP000000202 Ready for Submission)
   b. Select the Specialist role in Question 2 (selection of other roles is optional).
   c. Include a note about the SF424 submission in Question 3 (this is a mandatory field but a short note is typically sufficient).

Note: Your funding proposal and budget records should be submitted to SPA (or your Division for those Division with Grants.gov signature authority) for review if the SF424 is ready for submission as outlined in the Routing a Proposal for Review section of this guide.



4.6 How to Export a Subaward Budget to a Grants.gov PDF Form

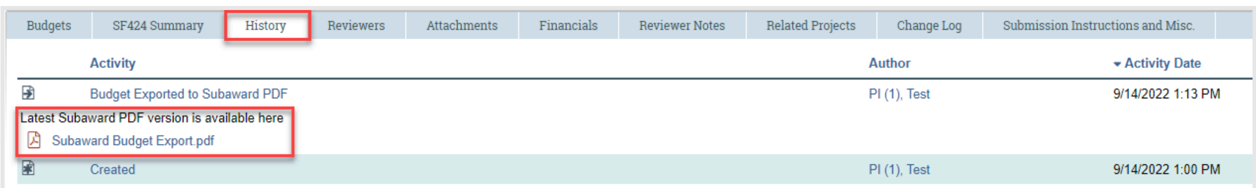
When UMN is a direct Grants.gov awardee, the system can generate the required SF424 forms from the data you enter in a funding proposal. Similarly, when UMN is an indirect Grants.gov awardee (also known as a subrecipient) through another institution, the system can generate the required Grants.gov subaward budget form.

Before you can export a subaward budget to a Grants.gov form, you must first ensure the funding proposal specifies both the Direct Sponsor (the organization from which UMN receives project funding), and the Prime Sponsor (the Grants.gov agency that published the original Funding Opportunity Announcement and is the originating source of the project funding). Also, while not a technical requirement, it is assumed financial data has been entered into the funding proposal's budget.

Follow the steps below to export a subaward to a Grants.gov PDF form:

1. From the Proposal Workspace, select **Export Budget to Subaward PDF**. If this activity is not listed in your Workspace, it is because you have not specified both the Direct Sponsor and the Prime Sponsor in the funding proposal.
2. On the resulting dialog box, select **OK**.

   A success message indicates the PDF form has been created.
3. To view or download the completed form, select **Subaward Budget Export.pdf** on the History tab.



5 Routing a Proposal for Review

MN-GEMS funding proposals will route (or move) through a review process (or workflow) to allow UMN units and SPA to review a proposal before it is sent to a sponsor. The Funding Proposal Workspace contains a workflow map showing where a proposal is in the workflow.

This section provides a general overview of the review workflow.

5.1 Prior to Routing a Proposal for Review

To prepare for funding proposal routing, review the sponsor and internal deadlines and confirm you've allowed sufficient time to route the funding proposal for the required reviews/approvals in order to meet the internal and sponsor deadlines.

Follow the tips below to ensure your proposal is complete and follows UMN proposal preparation guidelines:

1. Communicate the submission time and method to SPA in the funding proposal SmartForm.
   - Special instructions must be entered if you selected "Yes" to "**Are you submitting electronically, other than to Grants.gov?**" on the Submission Information page. This includes providing the email recipient or sponsor submission system URL and any other instructions SPA needs for the proposal submission.
      i. The Budget Period and Key Dates page contains the sponsor due date (deadline) and internal SPA deadline. The SmartForm includes a field for the time of day the submission is due. If the proposal is due any time other than the default time of 5:00 PM Central Standard Time, enter the submission time in Question 8.
      ii. If the proposal will not be submitted using the MN-GEMS system-to-system functionality, select "Yes" when responding to the question " **Are you submitting electronically, other than to Grants.gov?"** on the Submission Information page and enter the submission information in the corresponding text fields. . SPA requires the completion of this information in order to complete the submission.
2. After completing the Proposal SmartForm, budget(s),SF424 forms (if applicable), and any proposal requirements/uploads in a sponsor's electronic submission system that are not included in the system-to-system functionality, the funding proposal is ready to route for reviews/approvals
3. Validate the SmartForms to ensure all required fields have been completed.

4. Validate the SF424 (if applicable), both within the SmartForm and using the Validate Submission activity.
5. Add Ancillary Reviewers as required. The PI, Department Head, and Dean level approvals are required. If the project includes Project personnel listed in the Funding Proposal SmartForm Personnel page from additional departments, the Department Head and Dean level approvals are required from those DeptIDs.

5.2 Ancillary Review

UMN uses the Ancillary Review functionality to add various approvals to projects in MN-GEMS. The directions in this section apply to Funding Proposals.

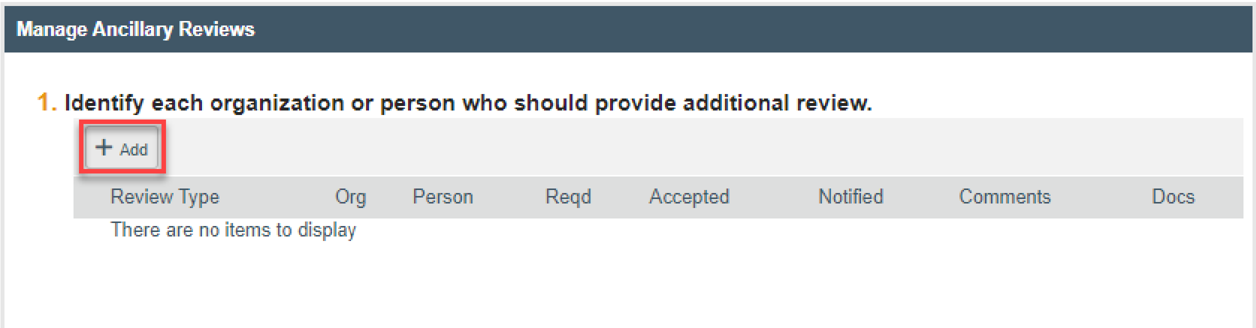
Tip: Reference the Ancillary Review reference guide for general information on assigning and completing ancillary reviews. The guide also contains details on all other ancillary reviews required at UMN.

5.2.1 How to Create (or Manage) an Ancillary Review

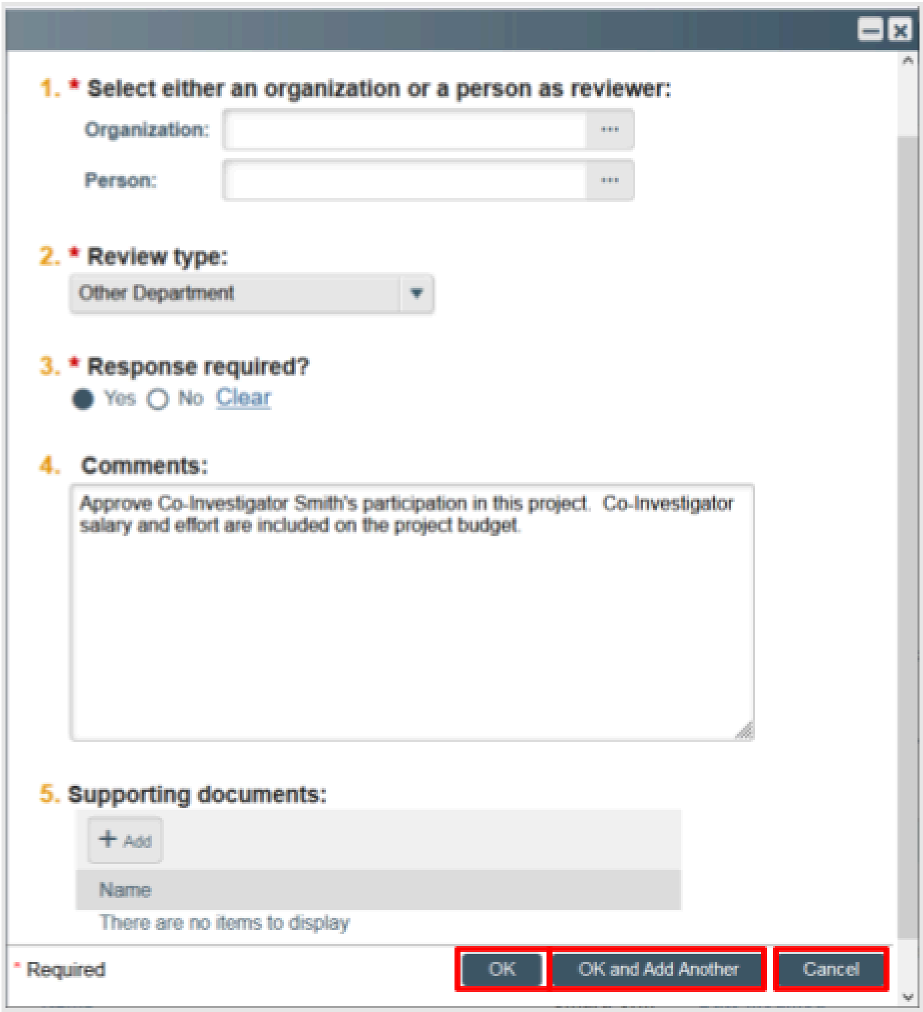
Follow the steps below to create and assign an ancillary review on a Funding Proposal:

1. Navigate to the appropriate Funding Proposal Workspace.
2. In the Workspace, select **Manage Ancillary Reviews** from the left side menu.

3. In the Manage Ancillary Reviews form, select **Add** 
.



4. On the Add Ancillary Review form, select an organization **or** person to do the review (the Ancillary Review guide specifies the appropriate contact for all ancillary review types).
5. Select the Review Type, select whether this ancillary review is required. Select **OK** or **OK and Add Another to add an additional ancillary review**. Select **Cancel** to close the window and discard the information that was entered.

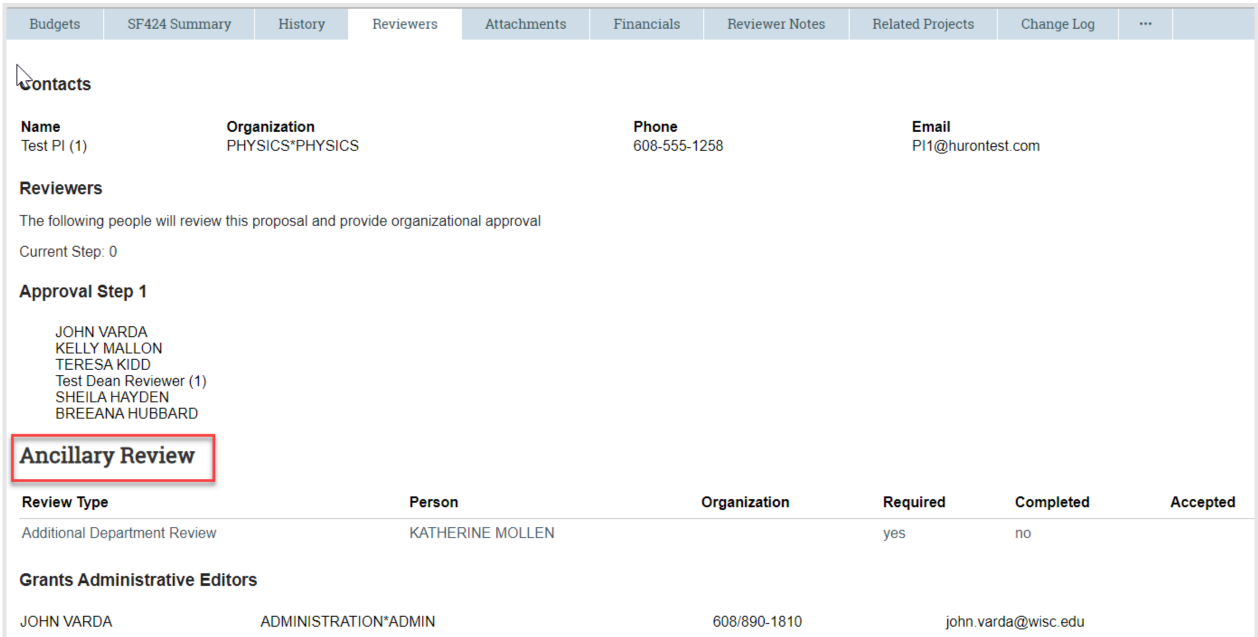


6. You are returned to the project Workspace. The assigned ancillary reviewer(s) receives an e-mail notification, and the project appears in the reviewer's Dashboard.

5.2.2 How to Check the Progress of an Ancillary Review

Follow the steps below to check the progress of an ancillary review:

1. Navigate to the Workspace for the funding project with the ancillary review you want to check.
2. Select the **Reviewers** tab.



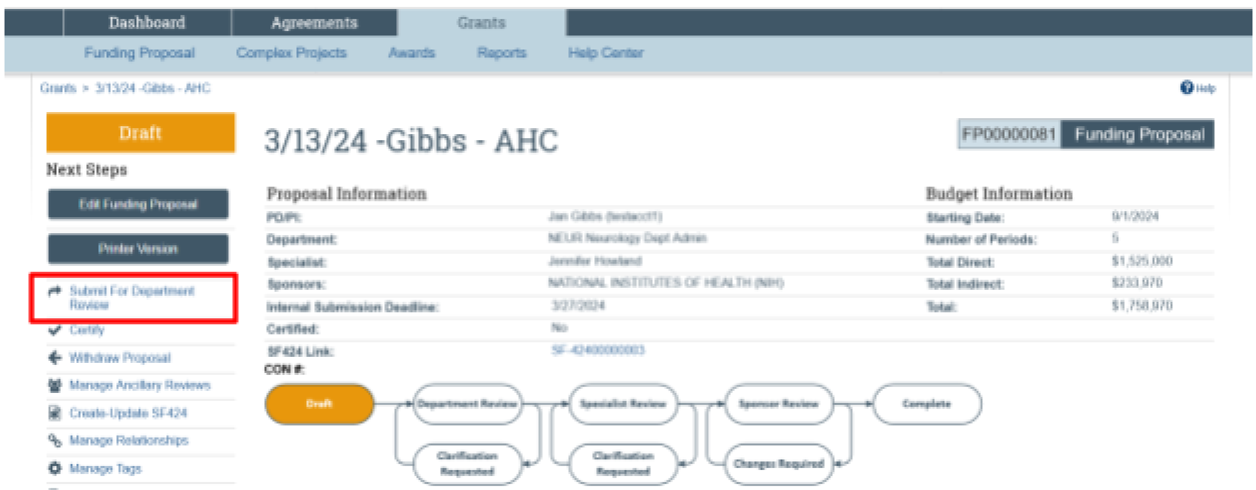
3. Examine the Ancillary Review area at the bottom of the page to understand:
   - All ancillary reviews assigned for this project.
   - Ancillary reviews assigned to individuals or organizations.
   - If the ancillary review is required.
   - If the ancillary review has been completed.
   - If the reviewers approved/accepted the information contained in the funding proposal.

5.3 Submitting for Department Review

Note: MN-GEMS uses the term “**department review**” to indicate the **school/college/dean’s level** approval that occurs before SPA review and approval. The review labeled “department review” in MN-GEMS is equivalent to a “division review” at UMN.

Follow the steps below to submit a funding proposal for department review:

1. Navigate to the FundingProposal Workspace for the project that is ready to route for review.
2. Select the **Submit for Department Review** activity from the left side menu. Enter any comments and/or supporting documents for the reviewer, in questions 1 and 2 and select **OK**.



3. The funding proposal transitions to the Department Review state and is no longer editable by the PI and the other listed proposal editors.
4. Optional step. To identify the assigned reviewer(s) named on a proposal, select the **Reviewers** tab on the Proposal Workspace. This tab will also tell you how many steps are required in the review process (the number of steps vary by division).

Note: When the user submits for department review, an automatic notification will route to Step 1 of the reviewers listed in the Reviewers tab. Additionally, an automatic notification will route to the PI for [PI Certification]() if the PI has not already certified the funding proposal record.

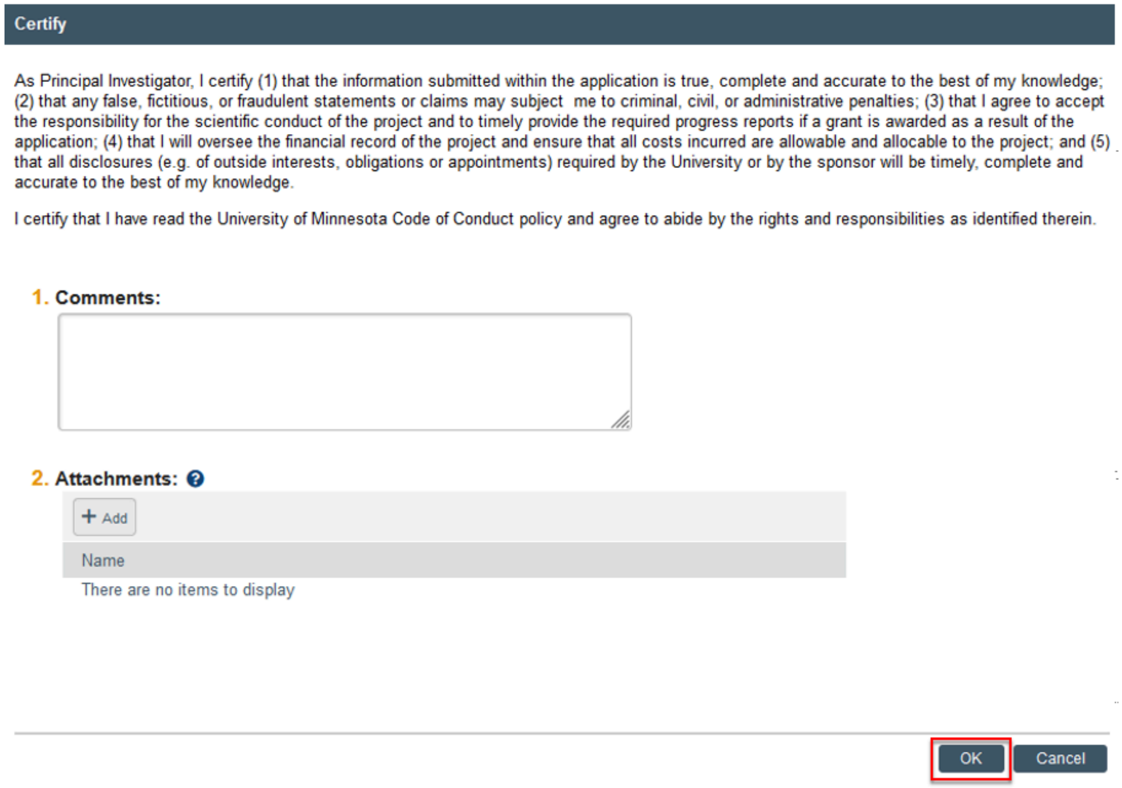
5.4 How to Complete the PI Certification Process

The PI Certify function is available to PIs in all states prior to **Pending Sponsor Review. This function** allows the PI to certify that the proposal meets institutional and sponsor requirements and is ready for submission. **PI certification is required for all proposals.**

Note: The PI certification process applies only to the contact PI for a multiple PI (MPI) submission. <u>Additional UMN personnel with the PI role (Multiple PI) on a proposal must certify the proposal using the Ancillary Review process</u>. The Ancillary Review guide contains instructions for creating the MPI ancillary review.
Follow the steps below to perform the PI certification:

1. Navigate to the Proposal Workspace.
2. On the Proposal Workspace, select the **Certify** activity from the left side menu to start the certification process. Only the PI can execute the PI Certify activity, the activity will not display for other users.

3. Review the certification language, add comments and attachments, as needed. Select **OK** to complete the certification.



4. The activity displays in the History tab with the activity date and time stamp and disappears from the Proposal Workspace upon completion .

Note: The notification prompting the PI to certify will automatically be sent when the funding proposal is submitted for department review (if the PI has not already certified). Only the PI can execute the PI Certify activity, the activity will not display for other users. Users may also request PI certification outside of the automated email by using the "send email" activity in MN-GEMS.

5.5 Department Review

Department Reviewers review and approve the MN-GEMS records that comprise a proposal: the funding proposal, budget(s), and if applicable, the SF424. This also captures review and approval of the ancillary proposal documents contained in a sponsor's electronic submission system.

Below are some best practices for performing and responding to a department review activity:

1. Review the History tab before starting a review.
2. Confirm the PI certified the funding proposal and confirm the Ancillary Reviews are complete. The approvals must be obtained/completed prior to submitting to the SPA Specialist for review and approval.
3. Department Reviewers will not have the ability to add an Ancillary Reviewer unless they are listed on the proposal with edit rights. If the Department Reviewer discovers a missing Ancillary Review, the reviewer selects Request Changes to route the activity to the Administrative Contact. The Administrative Contact will add the Ancillary Review.
4. After the review is complete, the Department Reviewer will either Approve or Request Changes on the proposal to keep the proposal routing through the review process.
    a. "Approve" automatically sends the proposal to the Specialist Review state (SPA review).
    b. "Request Changes" sends the proposal back to the PI and the Administrative Contact (proposal preparers).

5. The Department Reviewer must provide feedback when asking the PI or Administrative Contact to make changes to the proposal. Feedback to the PI and Administrative Contact can be communicated in three ways:
   a. Selecting the reviewer note (comment bubble) function within the SmartForm,
   b. In the Workspace by using the "Add Comment" or "Send Email"activities, or
   c. When selecting "Approve" or "Request Changes".

5.6 Responding to Department Review Requested Changes

Follow the steps below to respond to requested changes:

1. Navigate to the Funding Proposal Workspace.Complete the requested changes to the funding proposal (select "Edit Funding Proposal"), budget record (select from the "Budgets" tab, and SF424 record (if applicable, select the "SF424 Link").
2. Save all changes.
3. If responding to reviewer notes:
   a. The left side menu will display a review note icon to indicate if the page contains reviewer notes. Navigate to a page containing reviewer notes and select **a note icon** to open it.
   b. Review comments designated as "Response Required" require a response comment within the review note conversation. Updating the funding proposal to make the requested changes alone will not allow the funding proposal to move forward. A response comment to the reviewer note is also required. Select **Reply** Reply to open the note text box and select **OK** OK to complete your response comment.
   c. Funding Proposal attachments should not be uploaded within the reviewer note comment bubble on the SmartForm. Proposal attachments are uploaded in the "Add Attachments" activity.

4. When updates are completed, return to the Funding Proposal Workspace and select the "Submit Changes to Department Reviewer**"** activity to return the updated record to the Department Reviewer.
5. The Department Reviewer will receive the updated funding proposal on their dashboard and can approve it or request further changes.
6. Approval by the Department Reviewer will move it to Specialist Review.

5.7 Specialist Review

The funding proposal moves to the Specialist Review state after the Department Reviewer approves it. SPA GCOs perform the Specialist Review.During this review, the SPA Specialist will:

1. Review the proposal against sponsor and UMN guidelines.
2. Confirm PI Certification and all required ancillary approvals s are completed.
3. Request changes, if necessary, and confirm all requested changes have been addressed. Changes requested by the Specialist will follow the procedures described in the Department Review section. SPA will utilize the Reviewer Notes in MN-GEMS.
4. Designate the funding proposal record state as Final Review using the "Final Review" activity.
5. Submit the proposal to the sponsor or notify the submitter that the proposal is approved for submission if SPA is not the submitter (submission information is listed on the General Proposal Information SmartForm page).

5.8 Responding to Specialist Review Requested Changes

Follow the procedures described in the "Responding to Department Review Requested Changes" section when responding to a Specialist Review with one exception. The proposal team is responding to the SPA Specialist instead of responding to the Department Reviewer. As noted above, SPA will utilize the Reviewer Notes.

6 Post-Proposal Activities

6.1 How to Initiate a JIT Request

When a sponsor requests time-sensitive, additional information that isn't part of the original or updated proposal submission, the sponsor will issue a Just-In-Time (JIT) request to either the PI, study team, or SPA. If the PI or study team receives notification that JIT information is needed, they will send the Specialist a request for a change to the Funding Proposal State. The Specialist will update the state to "JIT Changes Required" in MN-GEMS.

Note: "JIT" is an NIH term but UMN uses it for all sponsors when additional information is requested prior to issuing an award to UMN. MN-GEMS "JIT" should only be used for true JIT requests. This process should not be used for any post-submission material requests. At UMN, proposal materials submitted after submission of the grant application but prior to initial peer review, such as Publications, Patents, Biographical Sketches, or Videos are considered non-JIT post-submission material requests.

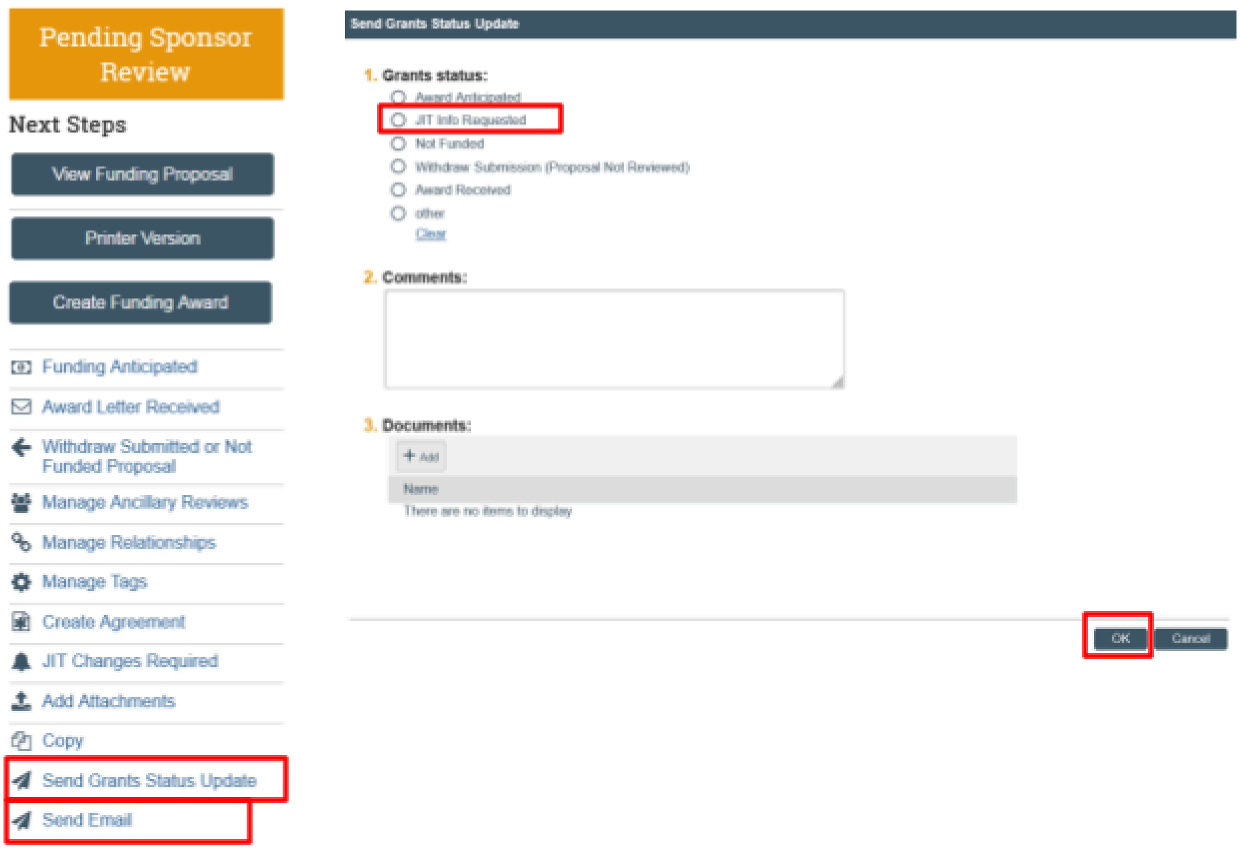
Follow the steps below to send a "JIT Changes Required" request to SPA:

1. Navigate to the related funding proposal record in the "Sponsor Review" tab.
2. Select either the "Send Grant Status Update" activity or, if that is not an option available, the "Send Email" activity.

   Note: The Send Grants Status Update can only be used once. Additional updates on the Funding Proposal will need to be sent via the Send Email activity.

3. For the Send Grants Status Activity, fill out the pop-up form:
   a. Question 1 - **Grants status** - select JIT Info Requested.
   b. Question 2 - **Comments**-), Enter the sponsor deadline and any additional pertinent information in the comments text field.

c. Question 3- **Documents** - Upload any required documents. If the PI prepared the JIT materials in the sponsor's electronic system directly and they are ready to submit, add a note in the comments section and the documents will be reviewed in the sponsor's electronic system. Select **OK** to complete the update. The funding proposal record will transition to the Proposal Status confirmation state.



6.2 How to Respond to a JIT Request

After notification of a JIT request is provided, the assigned SPA Specialist will use the JIT Changes Required activity to move the proposal to the JIT Response Required state. This change in state generates an email notification to the assigned PI and the Administrative Contact.

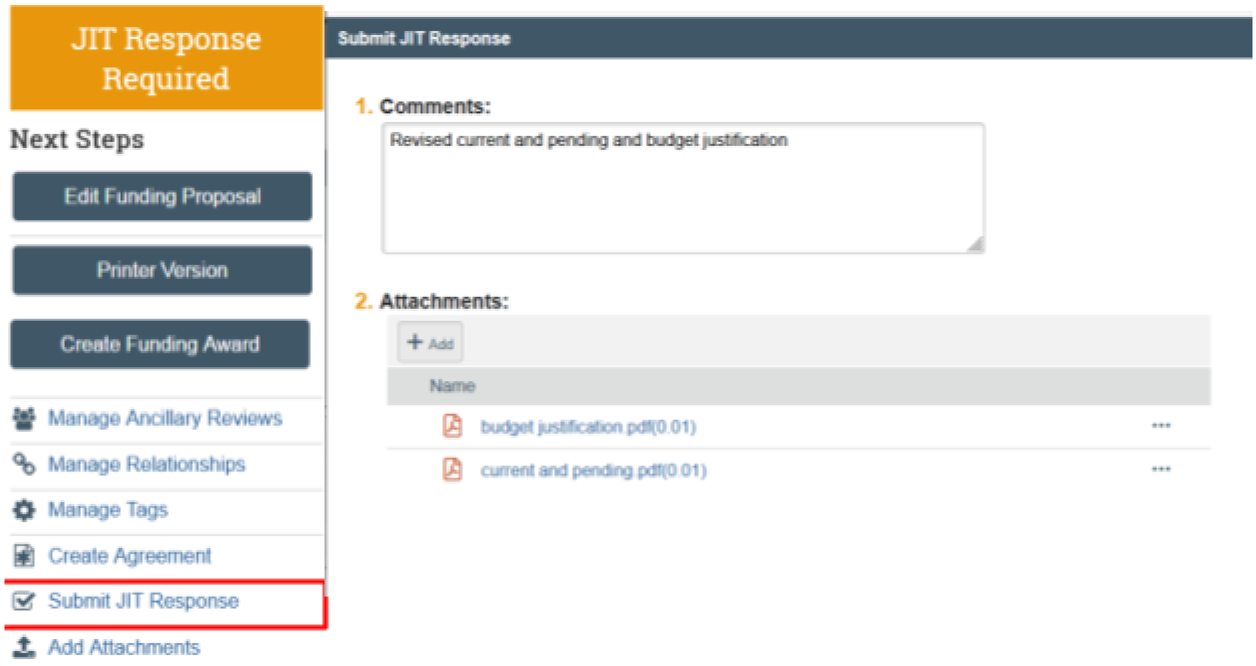
The SPA Specialist will complete the required steps in MN-GEMS, in addition to submitting the JIT information directly in a sponsor's electronic system. If the SPA Specialist receives all of the sponsor requested information from the PI or Administrative contact, the Specialist will complete the JIT request. If the Specialist requires additional information in order to complete the JIT request, the PI or Administrative Contact can respond to the Specialist in MN-GEMS using the steps below.

Follow the steps below to respond to a JIT Request:

1. Access the funding proposal in one of two ways:
    a. From the system generated email, select the **"FP" link**.
    b. Select the funding proposal **name** on the Dashboard or Grants Module page.
2. On the Funding Proposal Workspace, navigate to the History tab to review the comments and/or attachments from the assigned Specialist.

3. Submit the updates to the SPA Specialist by selecting the **Submit JIT Response** activity on the Workspace.
4. In the "JIT Changes Required" window, enter:
    a. Question 2 - **Comments**- Enter the sponsor deadline and any additional pertinent information in the comments text field.
    b. Question 3- **Documents** - Upload required documents. If the PI prepared the JIT materials in the sponsor's electronic system directly and they are ready to submit, add a note in the comments section

and the documents will be reviewed in the sponsor's electronic system. Select **OK** to complete the update.

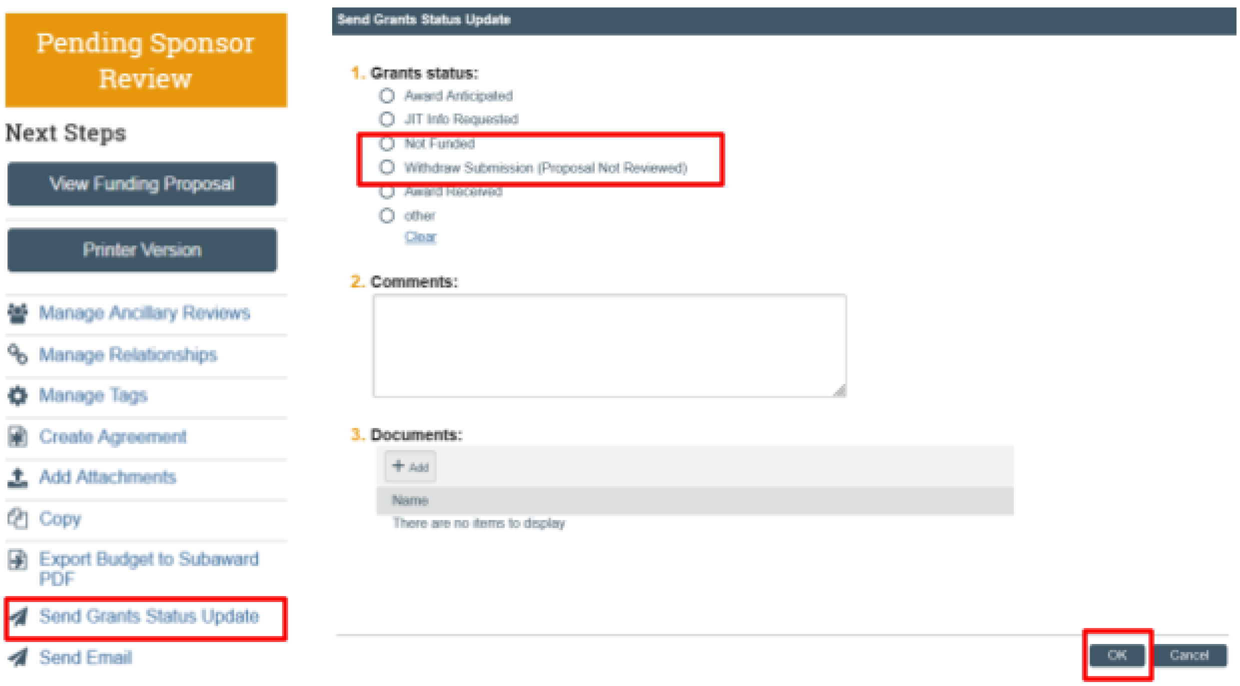


5. The system updates the proposal state to "Pending Sponsor Review Award Anticipated". The proposal, including the attached JIT documents, will appear in the assigned SPA Specialist's Dashboard and the Specialist will receive an email notification.
6. The SPA Specialist will submit the JIT information to the sponsor or request additional information or changes from the PI or Administrative Contact, if necessary.

6.3 How to Withdraw a Proposal or Mark as Not Funded

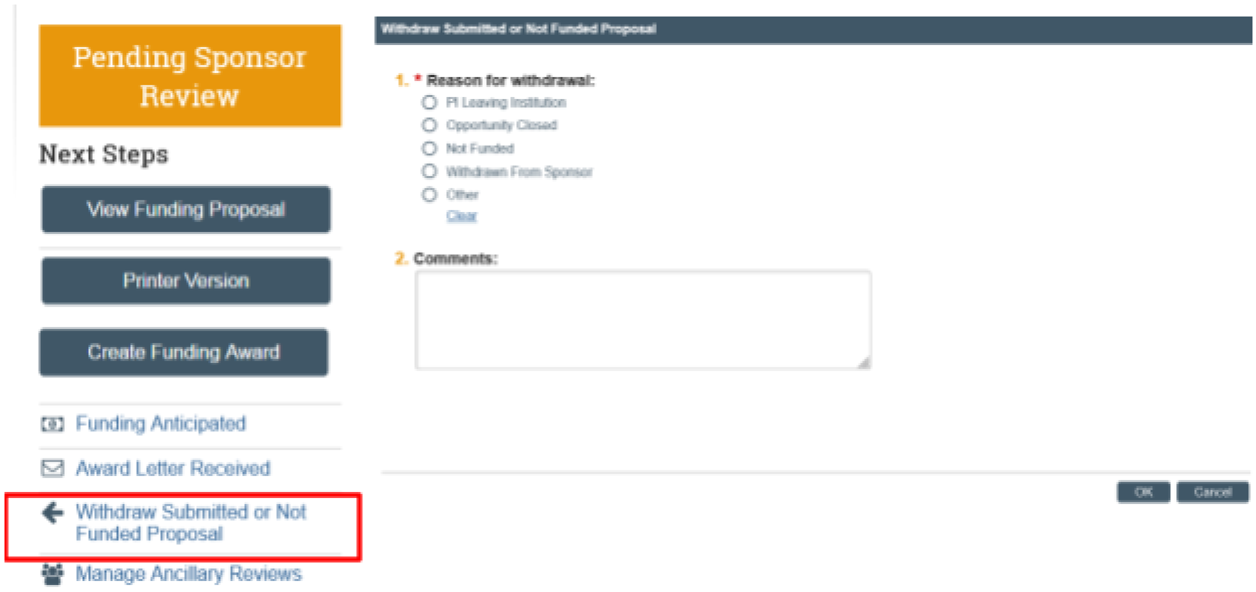
Proposals may be withdrawn or designated as not funded while in various states throughout the workflow. Follow the steps below to withdraw a proposal or designate it as not funded:

1. The PI or Dept administrator can send a request to update the funding proposal state to **Withdraw Submission** or **Not Funded** to the SPA Specialist by selecting the "**Send Grants Status Update" activity**.



2. Only SPA Specialists can use are authorized to complete the "**Withdraw Submitted" or "Not Funded"** Funding Proposal activity on the Funding Proposal Workspace.
3. In the "Withdraw Submitted" or "Not Funded" Funding Proposal window, select **Not Funded** to change the status to Not Funded and select **Withdrawn from Sponsor** to transition the record to Withdrawn from Sponsor.

4. To close the window, select **OK**. After the system refreshes, the proposal state is updated.



Important:

- **Withdrawn proposals cannot be reintroduced to the workflow**. A new proposal record will need to be created. Reference How to Copy a Proposal for additional information.
- Three withdrawal reasons (PI Leaving Institution, Opportunity Closed, and Other) are for **SPA use only**. Campus users should use Withdraw From Sponsor to request a change to the record.

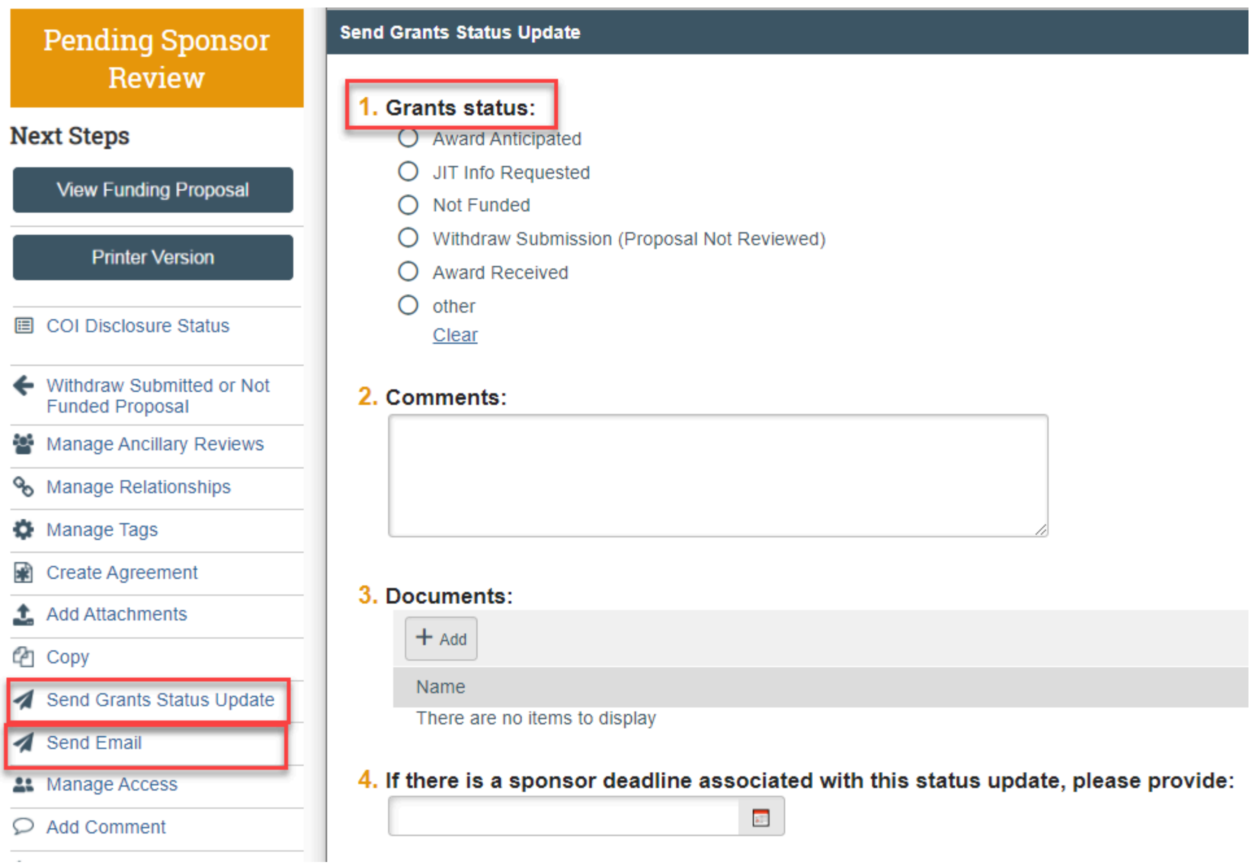
6.4 How to Update the Proposal with the Sponsor Determination

When you receive a decision from the sponsor, you can use the funding proposal record to send a notification to the assigned SPA Specialist.

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

1. On the Funding Proposal Workspace, select the "**Send Grants Status Update"** activity.

2. In the Send Grants Status Update window enter:
    a. Question 1- **Grants status** - Select the "**Grant Status"** that describes the determination you received.
    b. Question 2 - **Comments**- Enter any pertinent information in the comments text field.
    c. Question 3- **Documents** - Upload related documents.



3. When complete, select **OK**. The state is updated to "Proposal Status Confirmation" and an email notification is sent to the assigned SPA Specialist.
4. SPA Specialists will decide how to proceed based on the Grant Status and other information provided in the request.

Note: The “Send Grant Status Update” activity can only be used once. If additional Grant Status updates are needed, use the Send Email activity.

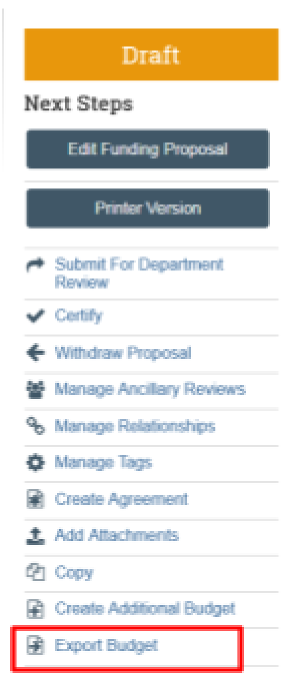
7 Additional Proposal Tasks

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

7.1 How to Export the Budget

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

1. On the Funding Proposal Workspace, select the “**Export Budget”** activity. Please note, the budget name must not contain any special characters (: \ / ? * [*or*]) in order to execute this activity.



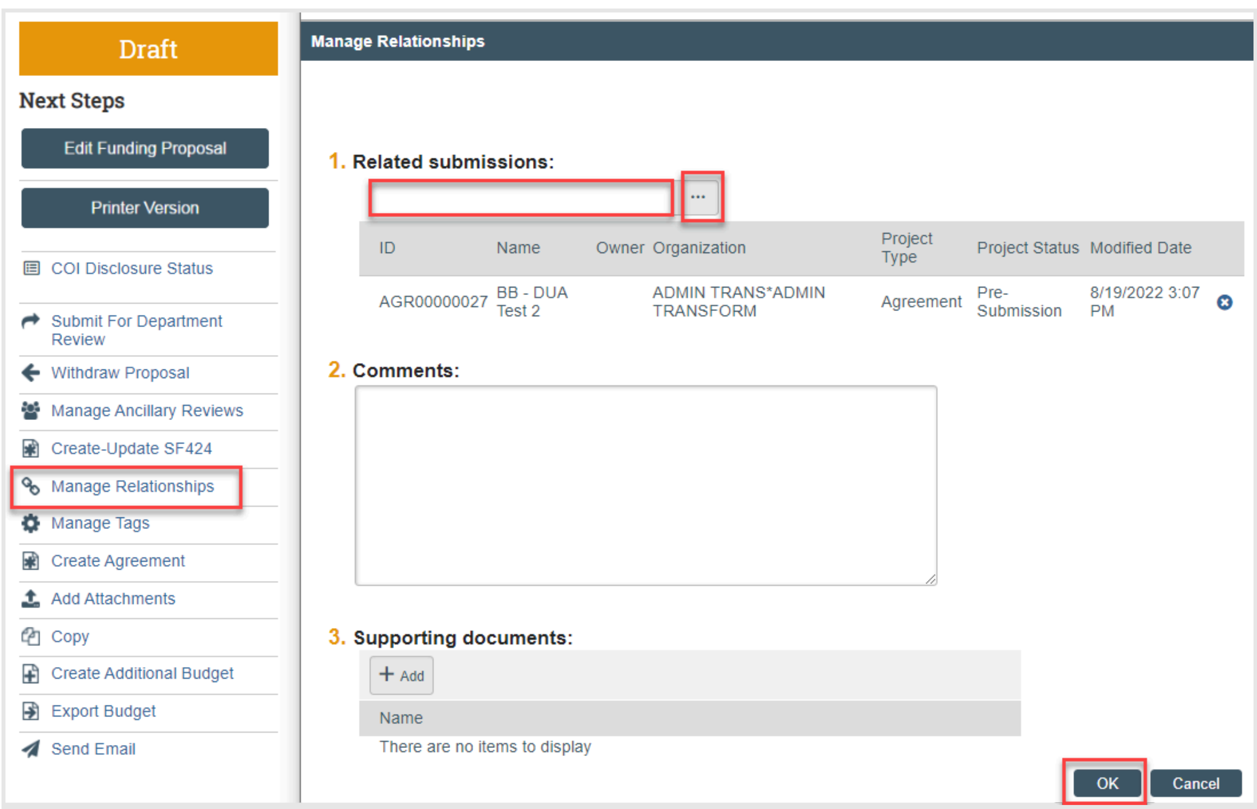
2. After the screen refreshes, navigate to the **History** tab. The Excel file can be accessed under the Exported Budget activity.

7.2 How to Manage Relationships

Funding proposal records can be linked to Agreements using the Manage Relationships activity.

Follow the steps below to associate a funding proposal with an agreement:

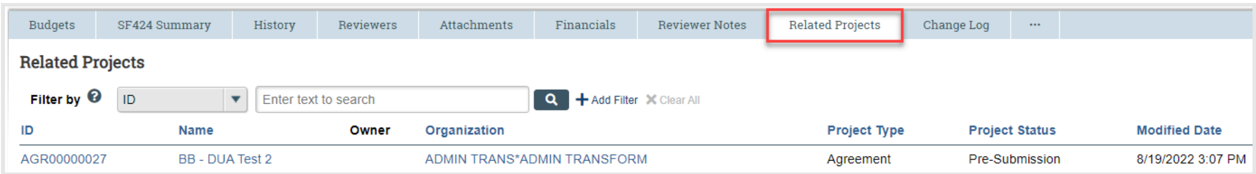
1. Navigate to the Funding Proposal Workspace.
2. On the Funding Proposal Workspace, select the **Manage Relationships** activity.



3. In the Manage Relationships window, search for the related submission(s) you would like to link. Select the appropriate project and select **OK**.

4. When complete, select **OK**.

Note: Linked Agreements are displayed on the Related Projects tab of the Workspace.



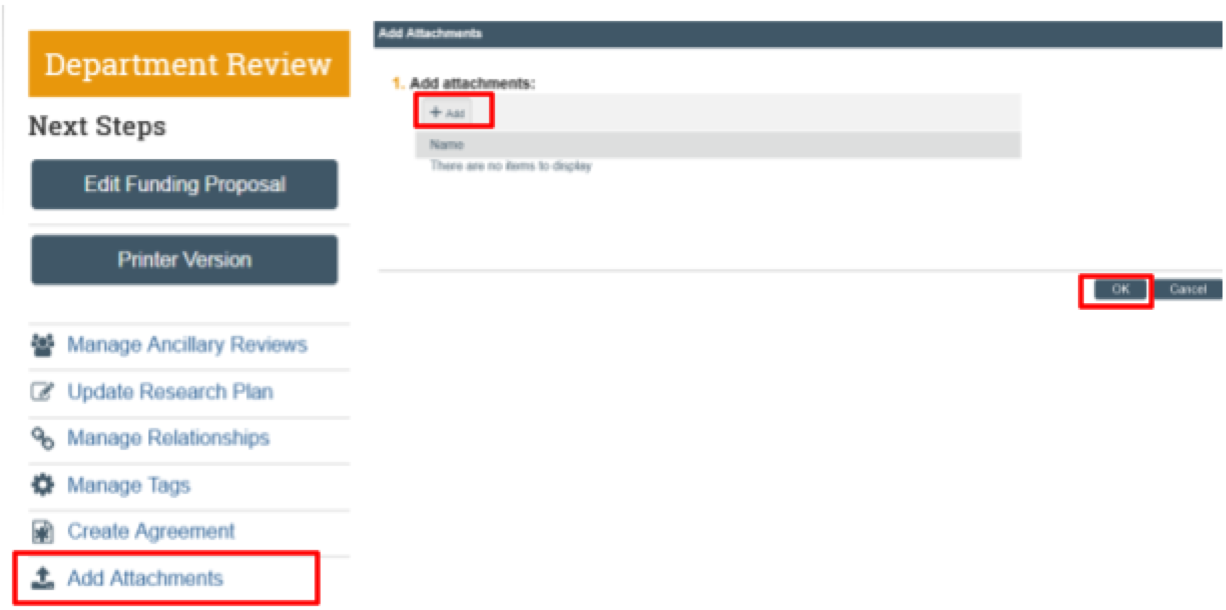
7.3 How to Add Attachments to a Proposal

The "Add Attachments" activity can be used to upload new or revised documents to the funding proposal record when the Funding Proposal SmartForm is not editable.

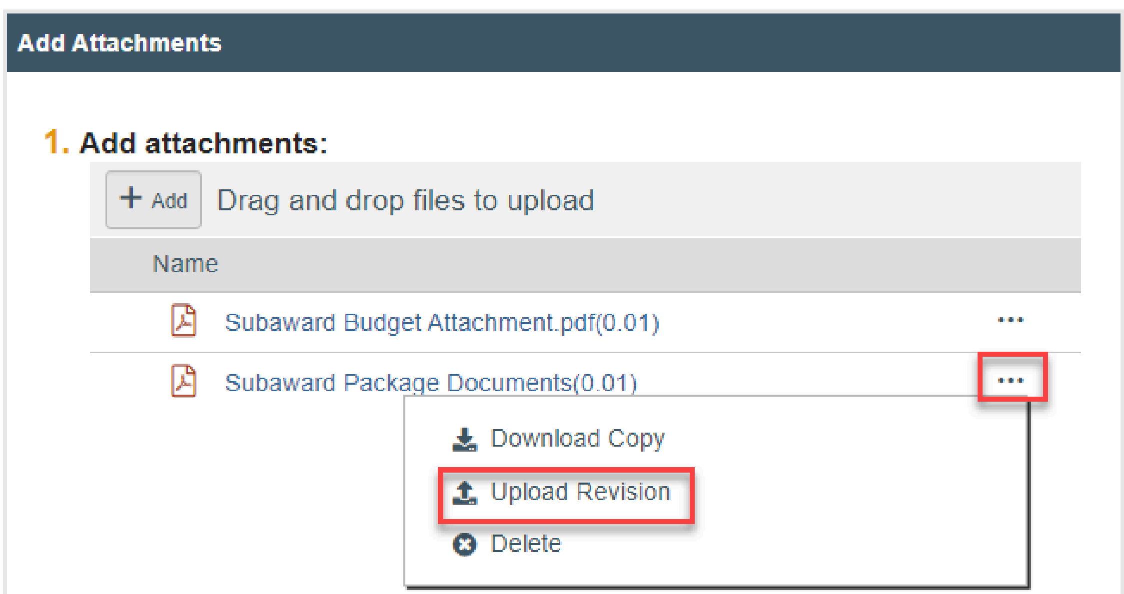
Note: Uploading an attachment does not send a notification that a new or updated attachment has been included with the record. Use the Send Email function if you would like to send a notification of an updated attachment.

Follow the steps below to add an attachment:

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



3. To upload a revised document, select the **ellipses** (or **three dots** "**…**") and select "Upload Revision".



4. When complete, select **OK** to return to the Funding Proposal Workspace.

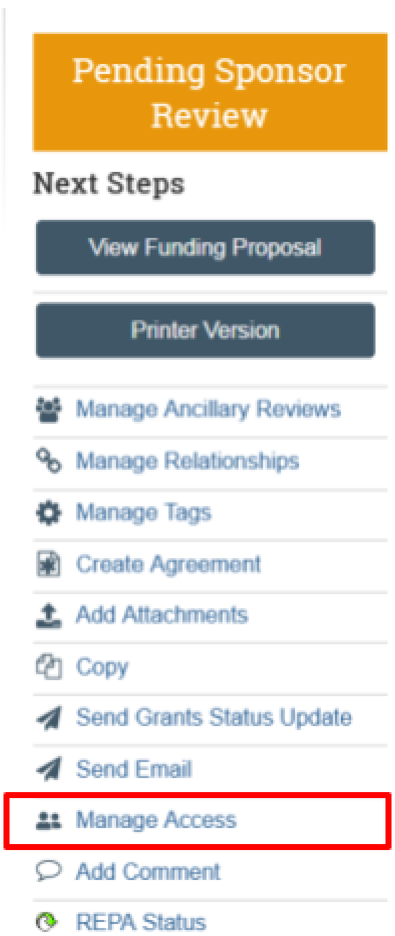
7.4 How to Manage Access to the Proposal

The “Manage Access” activity is used to manage the list of individuals who have either edit or read-only access to the funding proposal submission. The “Manage Access” activity can be used to update the administrative contact and funding proposal editors and readers when the Funding Proposal SmartForm is not editable.

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

Follow the steps below to manage access to the funding proposal record:

1. On the Funding Proposal Workspace, select the **Manage Access** activity.



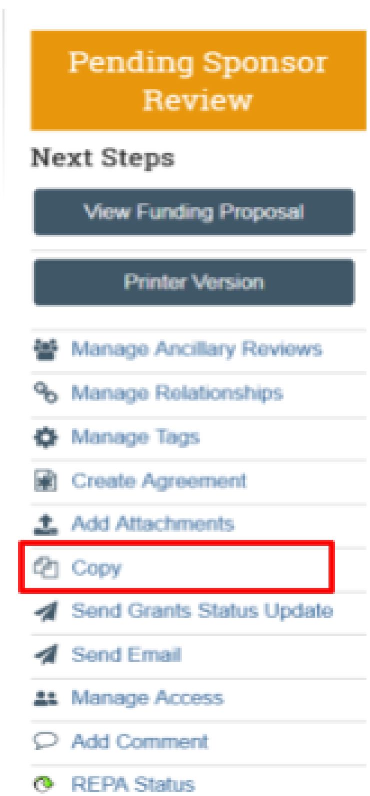
2. In the Manage Access window, enter the individual's name or use the ellipses (or three dots "…") to search for an individual to be added as an Administrative Contact (under Question 1), editor (under Question 2) or as a reader (under Question 3).
3. When complete, select **OK** to return to the Funding Proposal Workspace.

7.5 How to Copy a Proposal

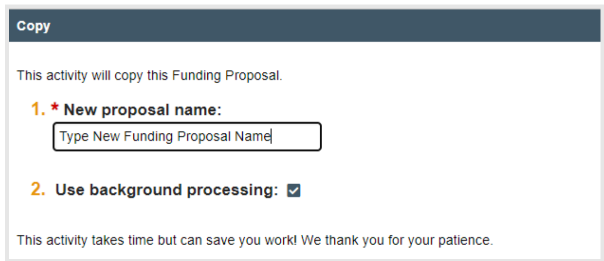
A funding proposal can be copied to create a new funding proposal. The new funding proposal retains some information from the copied funding proposal. The new funding proposal will be in a Draft state until submitted for department review. Itmust undergo the full funding proposal review workflow.

Follow the steps below to copy a funding proposal:

1. On the Funding Proposal Workspace, select the **Copy** activity.



2. In the Copy window, enter the new funding proposal name (this name becomes the proposal short title) and check the **Use background processing** checkbox. When complete, select **OK** to return to the Workspace.



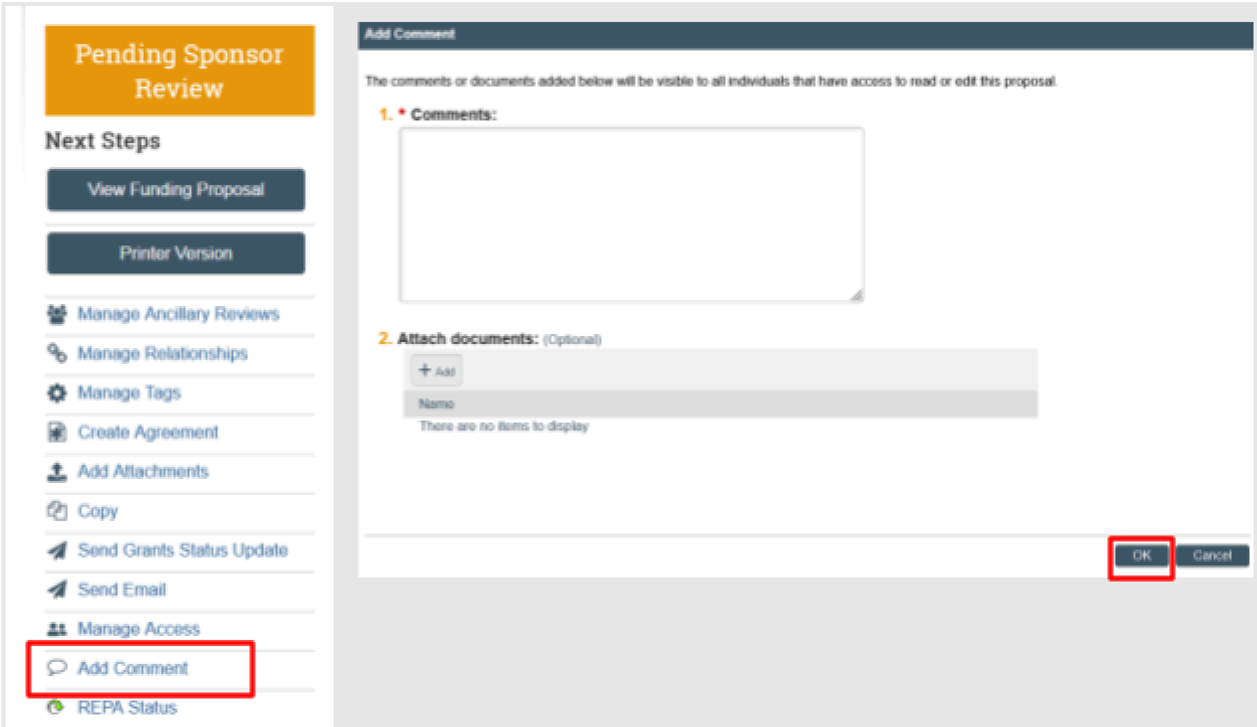
Note: Copied records are not linked as a Related Project. You do not need to use the Copy feature to complete a resubmission. Proposals marked as "Not Funded" will allow you to create a Resubmission.

7.6 How to Add a Comment

Comments can be added to a funding proposal and are visible to all individuals that have access to read or edit the funding proposal.

Follow the steps below to add a comment to the Funding Proposal:

1. On the Funding Proposal Workspace, select the "**Add Comment"** activity.



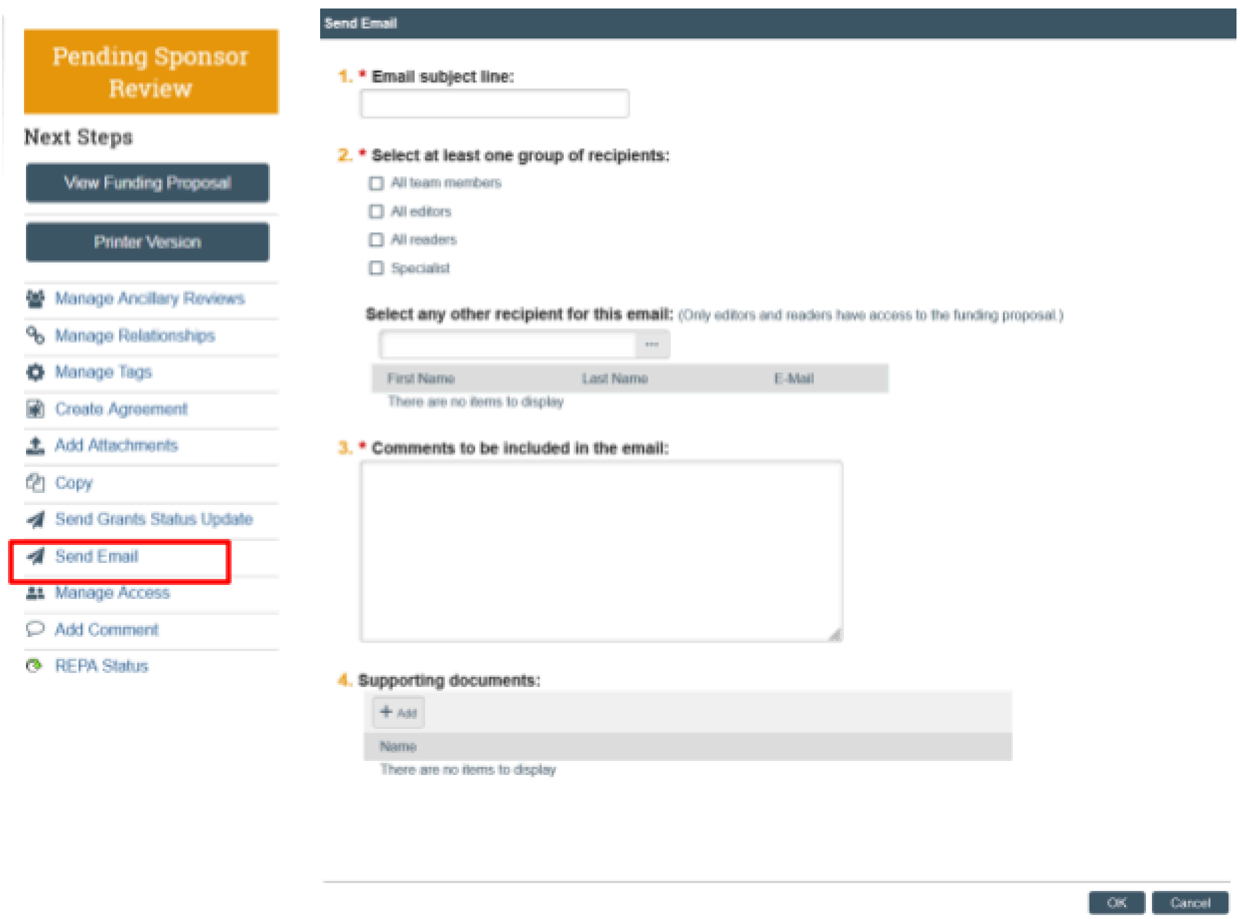
2. In the Add Comment window, enter your comments and any attachments. When complete, select **OK** to return to the Workspace.
3. Navigate to the **History** tab to review the comments.

Note: Adding a comment to a record does not send a notification that a comment has been added. Use the Send Email function if you would like to send a notification.

7.7 How to Send an Email

Emails can be sent (using MN-GEMS) from the funding proposal to other users at UMN. All emails are tracked within the History tab of the funding proposal and are available to anyone with access to the record. If you use the Send Email feature within MN-GEMS, note that it will be specific to the record. Do not include information about other funding proposals, awards, or agreements in the email if they are unrelated. Follow the steps below to send an email from the Funding Proposal:

1. On the Funding Proposal Workspace, select the **Send Email** activity.
2. In the Send Email window, complete the required fields and add documents, if needed. If you would like to send the email to a recipient that is not included in one of the groups selected in required Question 2, type the additional recipient's name(s) in the person selector in Question 2.



3. When complete, select **OK** to send the email and return to the Workspace.
4. Navigate to the **History** tab to review the comments entered in the activity.

8 How to Manage Follow-On Proposal Types

MN-GEMS allows a user to create follow-on proposals that originate with another funding proposal record instead of starting with a new record.

Continuation applications that require institutional signature, such as those used for Research Performance Progress Reports (RPPRs), are created from an active Award record. For this reason, Continuation application directions are included in both the Funding Proposal and Award user guides.

The following types of follow-on proposals can be created:

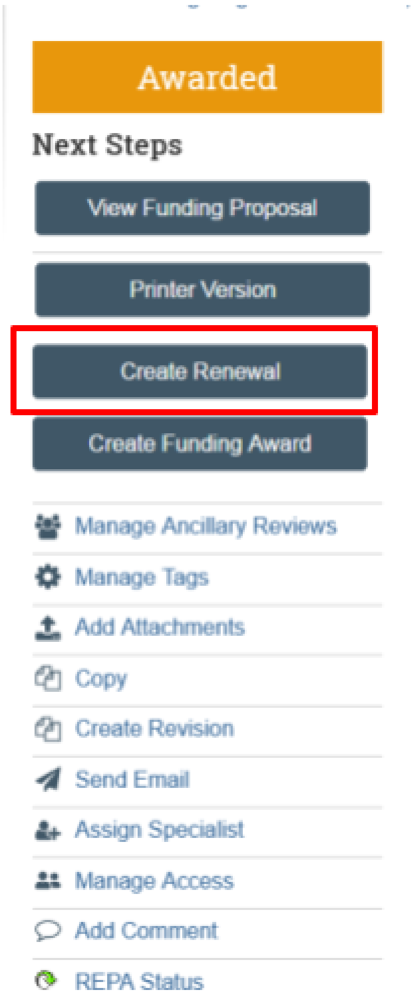
- **Renewal** – Create a renewal for a proposal in the Awarded state.
- **Revision** – Create a revision (also called a supplement) for a funding proposal in the Awarded state.
- **Resubmission** – Create a resubmission from a funding proposal in the" Not Funded" or "Withdrawn" states. These states occur only after the funding proposal has been in the "Pending Sponsor Review" state.

The sections below provide follow-on proposal numbering conventions that will help you identify the type of funding proposal, as well as describe how to create each of these follow-on proposal types.

8.1 How to Create a Renewal Proposal

Follow the steps below to create a renewal funding proposal:

1. On the Funding Proposal Workspace of a funding proposal in the "Awarded" state, select the **Create Renewal** button.



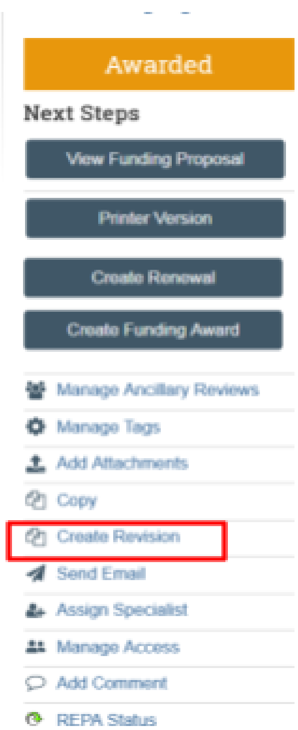
2. The Funding Proposal SmartForm displays. Notice Question 1 "Type of application" indicates a type of "Renewal".
3. Update the questions as necessary and use the **Continue** button to navigate through the SmartForm. Follow form guidance in [How to Create a Proposal Record](). On the last page, select the **Finish** button.
4. When returned to the Funding Proposal Workspace, note the state is "Draft" and the funding proposal type is indicated as "Renewal".

5. Complete the Budget, the SF424 if applicable, attach the proposal documents or upload the completed proposal components in the Sponsor's electronic submission system, if applicable, and any other necessary activities and/or tasks.
6. When the submission is complete, select the **Submit for Department Review** activity.
7. The renewal funding proposal follows the same workflow as the primary funding proposal.
8. If resubmitting a renewal funding proposal that was not funded, create the resubmission from the Not Funded or Withdrawn renewal funding proposal.

8.2 How to Create a Revision to a Proposal

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

1. On the Funding Proposal Workspace of a funding proposal in the "Awarded" state, select the **Create Revision** activity.



2. In the “Create Revision” window, enter the **Revision name** (this name becomes the proposal short title) and select **OK**.
3. The Funding Proposal SmartForm displays. Notice the **ID** has been amended with “Rev” and the number of the revision.

   Editing: FP00000145-Rev1

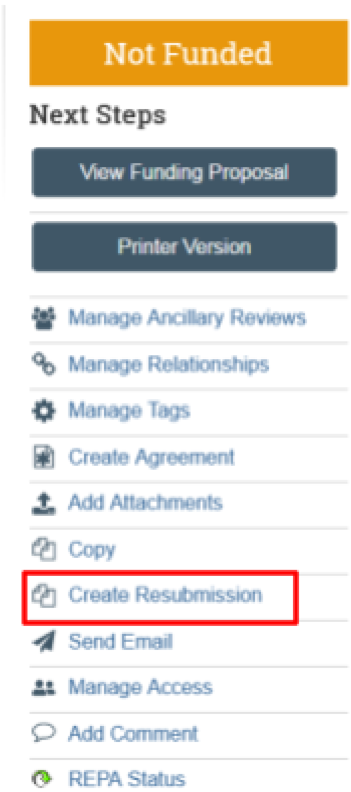
4. Update the questions as necessary and use the **Continue** button to navigate through the SmartForm. Follow form guidance in How to Create a Proposal Record. On the last page select the **Finish** button.
5. When returned to the Funding Proposal Workspace, note the state is “Draft” and the funding proposal type is indicated as “Revision.”

FP00000392-Rev1	Revision

6. Complete the Budget, the SF424 if applicable, attach the proposal documents or upload the completed proposal components in the Sponsor’s electronic submission system, if applicable, and any other necessary activities and/or tasks.
7. When the submission is complete, select the **Submit for Department Review** activity.
8. The revision funding proposal follows the same workflow as the primary funding proposal.
9. If creating a subsequent revision, create all other funding proposals from the main awarded funding proposal.

8.3 How to Create a Resubmission Proposal

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



1. On the Funding Proposal Workspace of a funding proposal in the “Not Funded” or “Withdrawn” state, select the **Create Resubmission** activity.
2. In the Create Resubmission window, enter the **Resubmission name** (this name becomes the proposal short title) and select **OK**.
3. The Funding Proposal SmartForm displays. Notice Question 1 “Type of application” indicates a type of “Resubmission.”
4. Update the questions as necessary and use the **Continue** button to navigate through the SmartForm. Follow form guidance in [How to Create a Proposal Record](). On the last page select the **Finish** button.
5. When returned to the Funding Proposal Workspace, note the state is “Draft” and the funding proposal type is indicated as “Resubmission.”

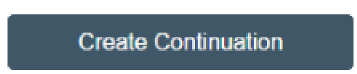
6. Complete the Budget, the SF424 if applicable, attach the proposal documents or upload the completed proposal components in the Sponsor's electronic submission system, if applicable, and any other necessary activities and/or tasks.
7. When the submission is complete, select the "**Submit for Department Review"** activity.
8. The resubmission funding proposal follows the same workflow as the primary funding proposal.
9. If creating a subsequent resubmission, create all other resubmission funding proposals from the main "Not Funded" or "Withdrawn" funding proposal.

8.4 How to create a Continuation Proposal

Continuation Funding Proposals are created from active award records. Continuations should be used for progress reports requiring authorized official or SPA involvement that are not for new time periods or funds outside of the original proposal. Examples of when to use and when not to use a continuation proposal:

- Use continuation for NIH RPPRs and other federal or non-federal sponsor progress reports requiring authorized official signoff.
- Do not use for non-institutionally endorsed technical reporting (this can be submitted directly by the PI).
- Do not use it for competing continuations or requests for new project periods (use the renewal option instead).

Follow the steps below to create a continuation Funding Proposal.

1. Navigate to Award Workspace for an award in the "Active" state and select the **Creation Continuation** button. 

2. The Continuation Funding Proposal SmartForm displays. Note that it is a short form that differs from the Funding Proposal SmartForm used for New, Resubmission, Renewal, and Revision applications.

3. Complete the form as necessary. If the question has been answered in the sponsor's electronic submission system, it is not required again on the SmartForm. Enter the submission information in "Question 2. Description". Note, the "RPPR Instructions and Link" page is for information only. MNGEMS does not have a S2S component for RPPR submissions.
4. Use the **Continue** button to navigate to the Completion Instructions page. Select the **Finish** button on this page to return to the Award Workspace.
5. When returned to the Award Workspace, attach supporting documentation (e.g., a copy of the progress report if it is not already uploaded to the sponsor's electronic submission system, and sponsor directions) using the "Add Attachments" activity.
6. When returned to the Award Workspace, note the state is "Draft" and the proposal type is indicated as Continuation.

7. When the submission is complete, select the **Submit for Department Review** activity.
8. The continuation funding proposal follows the same workflow as a new funding proposal record.

9 MN-GEMS Glossary

The MN-GEMS glossary is available on the SPA website.

10 Appendix

10.1 Other Funding Proposal Uses

In addition to funding proposals for external sponsors, MN-GEMS will also be used for certain pre-proposals that require SPA review and signature. Follow the directions below to initiate, complete, and submit this type of funding proposal record.

10.1.1 Pre-Proposals

Pre-Proposals (also known as a preliminary proposal, white paper, letter of intent, or concept paper) must be entered into MN-GEMS ***if the pre-proposal requires institutional approval/endorsement, includes a detailed budget, or commits University resources***. Do not submit the pre-application to the sponsor until it has been reviewed and approved using the process below:

1. On the Dashboard or Grants Module page, select the **Create Funding Proposal** button.
2. Complete the mandatory questions on the Proposal SmartForm pages.
3. Complete the mandatory questions on the Funding Proposal SmartForm pages using the directions in this guide with the following exceptions:
    a. General Proposal Information
        i. **2. and 3. Short and Long title of Proposal** - Start title with Pre-Proposal in the title to indicate this proposal is a pre-proposal.
    b. Submission Information
        i. **3. Will this submission be submitted system-to-system** – completewoselect **No** for all pre-proposals.

   ii. **4 or 6** (numbering varies depending on the sponsor selected). **Add any general submission documents** – select **+Add** and attach your pre-proposal documents, the Funding Opportunity Announcement (FOA), and any specific instructions regarding the pre-proposal.
   iii. 7. **Are you submitting electronically, other than to Grants.gov** - Select **Yes** and clearly indicate that this is related to a **Pre-Proposal** as well as other important instructions for submission.
  c. Budget Periods and Key Dates
   i. **1. Application submission deadline** – enter the pre-proposal due date (do not enter the full proposal due date).
4. Do not complete a budget if it is not required by the sponsor for the pre-proposal. If the sponsor requires a detailed budget, complete the Budget SmartForm using the directions in this guide.
5. **Do not** create a SF424 record for a pre-proposal, even if the full proposal will be submitted to Grants.gov as a system-to-system submission. The SF424 will be created as part of a separate funding proposal record if selected for a full proposal.
6. Route the funding proposal record through the review and approval process as outlined in this guide.
7. After SPA has endorsed the pre-proposal, submit the pre-proposal according to the sponsor instructions.
8. Use the **Add Attachments** activity on the Funding Proposal Workspace to add the final pre-application, submission email or confirmation, or other relevant documents.
9. If selected for a full proposal, you will make a new funding proposal record for the external submission to the sponsor. To ease data entry on the full proposal record, consider using the copy feature.

10.2 Other Budget Uses

The budget section of this guide covers the typical sponsor budget scenarios; however, MN-GEMS includes other less frequently used budget functions that are outlined in this appendix section.

10.2.1 Cost Share Budgeting

10.2.1.1 How to Create a Cost Share Budget

If applicable, create a cost share budget to reflect mandatory or voluntary committed cost sharing. Cost share budgets must be created after the primary budget associated with the funding proposal has been created.

The next section provides additional directions for managing cost share budgets for funding proposals with salaries over-the-cap and additional cost share.

Follow the steps below to create a cost share budget:

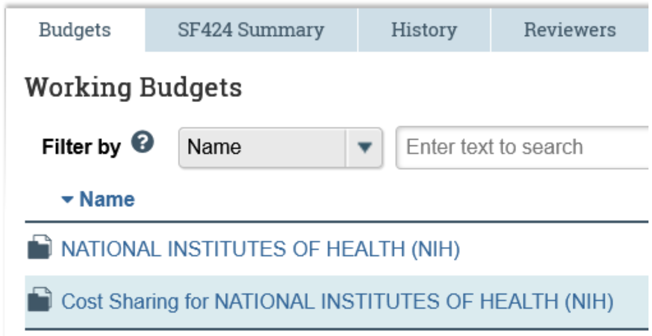
1. Navigate to the Funding Proposal Workspace.
2. On the Funding Proposal Workspace, under the Budgets tab, select the **primary budget name** to display the Budget Workspace.

3. On the Budget Workspace, select the Create Cost Share button.

4. Complete the Cost Share SmartForm pages. The Cost Share Information page is unique to the Cost Share SmartForm and the remaining pages are similar to the primary Budget SmartForm. Confirm that cost sharing information was included in the Funding Proposal SmartForm - Additional Proposal Information page.
   a. Cost Share Information Page:
      i. 1.**Cost share type** – select the appropriate type
      ii. 2.**Cost share Department** - search for the responsible department or division (for UMN) or external party (for third party).
      iii. Select Continue to navigate to the next page.
   b. General Budget Information page – Complete the form questions. Select No for Question 4 "**Include in consolidated budgets?**" unless the cost share is mandatory.
5. Complete the remaining Budget SmartForm questions/pages using the How to Create a Budget section above.

Notes:

- Cost share is reviewed and approved by Deans and colleges at the time of workflow approval. Additional documentation is required for institution-level cost share and must be uploaded to the funding proposal. Cost share from a department other than the Administering department must have ancillary review(s) providing approval of the commitment.
- Cost share budgets are reviewed along with project budgets by division and department reviewers during the funding proposal review and approval workflow. College and department approval of a funding proposal containing cost share constitutes approval of the cost share attributed to the approving unit. College approval is provided via the "Approve" activity for a Funding Proposal in the Department Review state. Department head approval is provided via an ancillary review.
- Approval for cost share provided by a third party, the institution, or a division/department other than the responsible department/division and documentation of the approval should be attached to the funding proposal record.
- Unrecovered F&A and/or subaward cost share is captured in the cost share budget under General Costs in the direct costs section.
- Cost share budgets are displayed under the Budgets tab of the Funding Proposal Workspace.



10.2.1.2 Over-the-Cap Cost Share

If your primary funding proposal contains salaries over the cap and you create a cost share budget, the salary over the cap will display on the Personnel Costs – Cost Share page (it is automatically calculated). MN-GEMS will update the base salary of individuals over-the-cap to equal the salary cap.