Welcome to SPS

Introduction
The Sponsored Projects System (SPS) is designed to assist personnel with the management of sponsored projects at Duke University. SPS provides a broad set of functionality that dramatically improves sponsored projects' operations and processes by providing efficient and timely access to proposal and award information over the entire life cycle of a project. The use of SPS should also result in reduced effort in sponsored projects administration, both centrally and in departments, and improved access to standardized sponsored projects information for decision making purposes.

About this Help System
The online help system provides screen level help on the Proposals area of SPS. The help system is context-sensitive; that is, when you select the Online Help option from the Help menu at the top of an SPS screen, your web browser will automatically open the help page for that screen, if one exists. Additionally, you can use the Table of Contents, Index, and Search, as well as the Related Topics links to navigate the system. We also now have a Frequently Asked Questions (FAQ) page and How do I? section.

The Help System is supported on Windows NT//2000/XP and the Macintosh. Supported browsers include Netscape Navigator 4.x and later, and Internet Explorer 4.x and later. Internet Explorer generally yields better results, as spacing in Netscape can be erratic.

This help system is current as of July 2004, and we expect to keep the help system up-to-date as new versions of SPS are released.

If you have questions or comments on the help system, or if you find any broken links, please contact Stephanie Dash at stephanie.dash@duke.edu.

Getting Additional Help
We hope that you can use this help system as a first stop for finding answers to your SPS questions. Some questions and requests, however, can be directed in the following way:

- Forget your password? Need to note in SPS that a faculty member has a secondary appointment in your department? Contact your department's SPS representative. They should be your points of contact for questions, particularly user configuration issues.
- Need to add a new Duke faculty member to SPS? Have a sponsor-specific question? Contact your Pre-Award Office. Pre-Award personnel can add people to the SPS database and answer your "business" questions.
- Is a button disabled that you don't think should be? Can't find the answer in the help system? For Medical Center departments, submit your non-urgent application-specific questions to the SPS Training Coordinator. For Campus departments, contact ADG by clicking the Contact Us link on the SPS Web Site. We will try to get back to you within one business day.

NOTE: For urgent support (e.g., SPS appears to be down, you receive an Unhandled Exception error, etc.) call the Help Desk and ask them to page the ADG pager. Someone from ADG will return your call within one half-hour. (Also, be sure to specify SPS as in Sierra, Papa, Sierra, as it often gets confused with FPS.)

<table>
<thead>
<tr>
<th>Campus</th>
<th>OIT Help Desk</th>
<th>684-2200</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical Center</td>
<td>MCIS Help Desk</td>
<td>684-2243</td>
</tr>
</tbody>
</table>
FAQ - Answers to Frequently Asked Questions

Personnel Questions

How do I enter consultants and subcontractors so they print in the correct areas on the PHS 398 forms?

- Consultants and subcontractors should be entered on the Subcontractor Roster on the Roster page of the Personnel Roster notebook. Doing so will ensure that they print in the Key Personnel list on form BB. In the Budget notebook, include costs for subcontractors under the Consortium/Subaward category; do NOT include costs for consultants here, even though their names are listed in this category. Instead, include costs for consultants under the Consultant Costs category.

How do I enter a person on a proposal who is not yet in the Enterprise Directory because they have not started working here at Duke or they have just started working here?

- Contact your Pre-Award Office and ask them to add the person to the SPS Person Profile.

Why can't a fellow be the PI on a proposal?

- Only Duke personnel with Faculty or special PI status can be listed as the PI on a proposal. If a fellow is applying for a grant in their own name, then they should be listed in the Fellow, Resident, or Graduate Assistant area at the bottom of the Main page of the Main notebook, and their faculty sponsor should be listed as the PI.

How do I add co-PIs to the proposal?

- Faculty members acting as co-PIs on a proposal should be listed in the Co-PI Information dataset on the Admin page of the Main notebook. The co-PIs name(s) will automatically be added to the Duke Personnel Roster dataset on the Roster page in the Personnel Roster notebook. If the Sponsor is NIH, you should then change the co-PI's Project Role on the Roster page, as PHS does not recognize the "co-PI" title.

Why doesn't the appropriate Project Role automatically default?

- As it is difficult to determine which Project Role is appropriate for a person on any given proposal, the user needs to select the appropriate Project Role for each person.

What do I do if I need a new Project Role added to the drop-down menu?

- Contact your Pre-Award Office and ask them to add the new Project Role.

A faculty member has a secondary appointment in my department. How do I indicate that my department must also approve the faculty member's participation in this research project?

- First, the person has to be added to your department's personnel list in SPS, as only primary appointments are automatically included in SPS. Have your Security Officer go to the Duke Org Profile for your department (it is located in the Utilities area of SPS) and add the faculty member to the Personnel page. Now, once you add this person to your proposal, press the Person Details button and open the Duke Org drop-down menu. Select your department, press the OK button to return to the proposal notebook, and then save the notebook.
Salary and Budget Questions

I want to enter salary information on my proposal, but am unsure of how to begin.

- First, enter each person's name on the Duke Personnel Roster at the top of the Roster page in the Personnel Roster notebook. Then, in the Budget notebook, be sure that Salary is listed as one of your Selected Budget Categories on the Templates page. Now, go to the Salary Worksheet page, select a person at the top of the page, select a Budget Period in the middle of the page, and then enter that person's salary information at the bottom of the page.

Because SPS automatically uses 9 months in its Academic salary calculations, I must alter the % Effort and the Base Salary to ensure that the Projected Salary is calculated correctly. Is there a better solution?

- Rather than entering an incorrect % Effort or Base Salary, simply override the Projected Salary field.

I am reviewing a proposal because one of the faculty members from my department is listed on it. I do not have access to the salary information entered in the Budget Notebook. How can I ensure that the correct % Effort and Salary have been entered for my faculty member?

- Go to the Workload page of the Personnel Roster Notebook. Highlight the name of your faculty member. The dataset at the bottom of the page will expand to show the % Effort, Base Salary, Projected Salary, Fringe Benefit rate and Amount and Total dollars requested.

How do I change the Indirect Cost Base and/or Rate on a proposal?

- Indirect Cost Rates and Bases are indicated for each budget period in the Period Definition dataset on the Rules page in the Budget notebook. To change the Indirect Cost Rate for a specific period, simply highlight the existing rate in the Prop IDC Rate column and replace it with the new rate. Please be sure to enter an explanation of why it was changed at the bottom of the page. To change the Indirect Cost Base for a period, select a different Base for the Prop IDC Base drop-down menu. An "O" will appear in the column to the left of the modified field to let reviewers know that the default rate and/or base has been overridden.

How do I enable the cost share fields in the Budget notebook?

- On the Rules II page, indicate Yes for the question, "Does the sponsor require cost sharing?" and enter the cost sharing requirement.
General Proposal Questions

Where do I enter the abstract for a proposal?
- The abstract is entered on the Summary of Work page in the Main notebook.

Why do I receive a strange menu when I right-click to Cut, Copy, or Paste?
- Newer mouse drivers have switched the popup menus in SPS. To switch the menus back so you can right-mouse click to Cut, Copy, and Paste, go to the SPS Main Menu screen, and under the Options menu select Preferences. Check/Uncheck the Swap Mouse Buttons option and Save. Also, keep in mind that you can use keyboard shortcuts instead of the right-mouse button for these tasks (Control+C=Copy, Control+X=Cut, Control+V=Paste).

Can you copy and paste between SPS and MS Word?
- Yes, however there are some known issues and problems.

Can you copy data from MS Excel and paste it into SPS?
- Yes, however you may lose some of your formatting (e.g., right justification).

Can we copy information from a proposal that is read-only?
- No; however, we are looking into possible solutions to this problem.

What fields are copied when you choose to copy to a new proposal?
- Please refer to the help on the Copy As New Option for detailed information.

Can we Export data from SPS?
- Yes. Perform a search on the Proposal Browser screen. Then, select Export from the File menu to export the results to a spreadsheet.

Is there a way to make a proposal inactive or delete a proposal so that it does not show up in SPS?
- For security and data integrity reasons, proposals cannot be deleted from SPS. However, Pre-Award Office personnel can change the status of a proposal to Inactive.

How do I create a proposal that is a subcontract; for example, one for which the Sponsor is Stanford University but the Prime Sponsor is NIH, and ensure that the rates, format, forms, etc. are in compliance with NIH guidelines?
- Create a proposal with a sponsor of NIH, then print the proposal using the PHS 398 forms (or the Modular Grant format). When finished, change the sponsor to Stanford, then route the proposal. Note: we are currently looking into a better solution for subcontracts.
Competing Renewals

When a Competing Renewal is created, does it link back to the original proposal?

- Yes. There is a field labeled Original Proposal ID on the Main page of the Main Notebook.

Where do the Budget dates and information come from when a Competing Renewal is created?

- SPS sets the Project Period Start Date of the renewal to one day after the Project Period End Date of the original proposal. It takes the budget information from the first year of the original proposal and copies it to the first year of the renewal. Please see the help page on Competing Renewals for more information.

Why do you have to manually re-enter the Salary and Fringe Benefit rate when you create a Competing Renewal?

- Because the salary detail is copied directly from the first Budget Period of the original proposal. Therefore, the Effort Start and End Dates are no longer correct. When you correct the Effort Start and End dates for the salary lines, the Fringe Benefit Rate will be corrected. Also, you will probably have to change any outdated salary amounts.

Modular Grants

The RFA allows us to exceed the normal $250,000 limit for Modular Grants. Can I create a Modular Grant that has more than $250,000 in direct costs?

- Yes, as of version 3.0 you can create a Modular Grant with no amount limits. You will simply receive a warning when you complete the Budget section letting you know that the TDC is over $250,000.

Printing questions

I entered degree information for my PI in the dataset on the Education page of the Personnel Roster, so why isn't the information printing on the Face Page?

- You must mark the "Incl. on Face" checkbox for each degree that you want to print on the Sponsor's Face Page. This checkbox is often missed because you have to scroll all the way to the right of the dataset to see it. Keep in mind that up to three degrees can be printed on the NIH Face Page, whereas NSF only allows one degree to print.

Routing questions

How do I start a proposal on its route?

- First, you must complete the required sections of a proposal. From the Proposal Management screen, go to the Actions menu and select Show Section Status. Mark all required sections as complete (these are indicated by an asterisk), as well as any other sections that you have finished. Save and close this screen. The Complete button on the Proposal Management screen will now be enabled. Press this button and follow the directions on any additional screens that appear. When the proposal has been successfully completed, it will be routed to all appropriate areas.
How can I find out where a proposal has been routed?

- From the Actions menu on the Proposal Management screen, select Show History. Select a route in the Routing History pane in the upper right corner of the screen to see the person(s) to whom the proposal has been sent.

Security Questions

What should be done when a user should no longer have access to SPS?

- Go to User Security and open the record for the user. On the Main page, uncheck the box that says Active User, then Save the record. Doing so will prevent the user from being able to log into SPS, and it will prevent items from being routed to them. You will also want to remove this user from any routes. If you have questions, please call the SPS Training Coordinator if you are with a Medical Center department or the Office of Research Support if you are with a Campus department.

Login Screen

Purpose
To authenticate you as an authorized user of SPS and to start the application.

Fields & Buttons

Login Name
Enter your Dempo ID; for example, smith001.

Password
Enter your SPS password. The password must be entered in lower-case, or you will receive an error upon pressing the OK button. Each character will appear as an asterisk on the screen.

OK
Submits the entered login name and password for authentication, and then opens the SPS Main Menu screen. If you are logging into SPS for the first time or following a password reset to your Dempo ID, then the Change Password screen will appear first.

Quit
Cancels the login process and unloads the SPS software.

Example of Login Screen
## SPS Main Menu Screen

### Purpose
To enable you to access the various functional areas of SPS. Additionally, the In-Box Activity Area displays the number of items that have been routed to you for review and approval purposes.

### Options Menu
- **Change Password**: Advances you to the Change Password screen, where you can change your password for the administrative programs, including SPS.
- **Preferences**: Advances you to the User Preferences screen, where you can swap your mouse buttons, enabling you to cut, copy, and paste in SPS using your right-mouse button.
- **Assign Delegates**: Advances you to the Delegation screen, where you can indicate that another person should have access to your In-Box and be able to act in your place.

### Fields & Buttons
- **User ID**: Displays your Dempo ID.
- **Name**: Displays your name.
- **Last Login**: Displays the date and time that you last logged into the application.

### Utilities

### In-Box Activity Area
- **Proposals**: Displays the number of proposals in your in-box.
- **Protocols**: Displays the number of protocols in your in-box. This number will always be zero.
- **Awards**: Displays the number of awards in your in-box. This number will always be zero in Phase I.
- **Total**: Displays the total number of items in your in-box.
Logs out of SPS and returns you to the Login Screen. The SPS software stays loaded, enabling you to login later without having to wait for SPS to reload.

Logs out of SPS and unloads the SPS software.

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**About Proposal Notebooks & Sections**

**Purpose**
To provide a grouping of related proposal information that can be saved or declared Complete independently of other proposal information. Notebooks, which contain one or more sections, are saved independently of each other. Sections, which consist of one or more pages, can be declared Complete independently of each other.

Declaring a section complete does not necessarily mean you have answered all questions; it simply means that you do not intend to do any further work on that section. For example, the Other Support section can be marked Complete even if you do not enter any Other Support information into SPS. Only required fields must be entered in SPS. Please see the Help on individual SPS notebook pages for more information about required fields.

Before you can declare the proposal Complete and begin routing it for review, certain sections must be marked Complete. These sections are the Main/Admin, Roster, Other Support, Sites/Facilities, Budget, and Protocol sections. You can continue to work on the Summary of Work, Bio-Sketch, and Facilities Description sections while the proposal is being reviewed and approved. However, all sections must be marked Complete before the proposal can advance to the Awaiting Submission state.

**Renewals Note:** For Non-competing Renewals, the Progress Report section replaces the Summary of Work section and there is no Facilities Description section.

**Actions Menu**

- **Show History**
  
  Opens the Document History screen, where you can see the status and routing history of the proposal.
Create Budget Notes/Show Budget Notes: Opens the Budget Notes screen, where you can enter or view explanations for the use of any non-standard rates or amounts on the proposal budget, such as a non-standard inflator or fringe rate. Once Budget Notes have been entered, the Create Notes option changes into a Show Notes option to provide a visual cue to users that notes exist. This option is only displayed in the Budget Notebook.

Create Proposal Memo/Show Proposal Memo: Opens the Proposal Memo screen, where you can enter or view any information of note about the proposal. Once a Proposal Memo has been entered, the Create Proposal Memo option changes into a Show Proposal Memo option to provide a visual cue to users that a memo exists.

Add Review Comments: Opens the Reviewer Comments screen, where you can enter any comments, suggested changes, or corrections that you would like to note about the proposal. This option is enabled when the proposal has been routed to you for reviewing purposes.

Save with Complete Check: Runs all of the Save and Complete validations for all sections contained in the open notebook.

Notebooks & Sections

Main Notebook

Main/Admin Section: Consists of six pages. Data must be entered in the required fields on the Main, Sponsor, Admin, and Activity pages before you will be able to save the proposal. Additionally, any entry that needs to be done on the Sponsor Material, NSF, and Renewal pages must be finished before you can mark this section Complete. This section must be marked Complete before the Budget Notebook can be marked Complete because the information contained here affects the budget.

Renewals Notes: For Competing and Non-competing Renewals, there is an additional page: the Renewal page.

Summary of Work Section: Consists of one page: the Summary of Work page. Because internal review is not required for this section, the proposal can be marked Complete even if this section has not been marked Complete.

Note: This section applies to New applications and to Competing Renewals. For Non-competing Renewals, it is replaced with the Progress Report section.
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Progress Report Section</td>
<td>Consists of one page: the Progress Report page. Because internal review for the Progress Report text is not required, the proposal can be marked Complete even if this section has not been marked Complete.</td>
</tr>
<tr>
<td><strong>Note</strong>:</td>
<td>This section applies only to Non-competing Renewals. It replaces the Summary of Work section.</td>
</tr>
<tr>
<td>Personnel Roster Notebook</td>
<td><strong>Roster Section</strong></td>
</tr>
<tr>
<td></td>
<td>Consists of three pages: the Roster, VA Joint Appointment, and Workload pages. This section must be marked Complete before the Budget Notebook can be marked Complete because the information contained here affects the budget.</td>
</tr>
<tr>
<td><strong>Renewals Note</strong>:</td>
<td>For Non-Competing Renewals that are not Institutional Training Programs, there is one additional page: the Personnel Report page. For Non-competing Renewals that are Institutional Training Programs, there are three additional pages: Trainees, Total Enrollment and Hispanic Enrollment pages. For Competing Renewals that are Institutional Training Programs, there are two additional pages: Total Enrollment and Hispanic Enrollment pages.</td>
</tr>
<tr>
<td>Bio-Sketch Section</td>
<td>Consists of three pages: the Education, Experience, and Publications pages. Because internal review is not required for this section, the proposal can be marked Complete even if this section has not been marked Complete.</td>
</tr>
<tr>
<td>Other Support Section</td>
<td>Consists of one page: the Other Support page. This section must be marked Complete before the proposal can be marked Complete.</td>
</tr>
<tr>
<td>Facilities Notebook</td>
<td><strong>Sites/Facilities Section</strong></td>
</tr>
<tr>
<td></td>
<td>Consists of one page: the Sites/Facilities page. This section must be marked Complete before the proposal can be marked Complete because the information contained here affects the budget and routing. Please see help on the Sites/Facilities Page for more information.</td>
</tr>
<tr>
<td></td>
<td><strong>Facilities Description Section</strong></td>
</tr>
<tr>
<td></td>
<td>Consists of one page: the Facilities Description Page. The proposal can be marked Complete even if this section has not been marked Complete.</td>
</tr>
<tr>
<td><strong>Renewals Note</strong>:</td>
<td>For Non-Competing Renewals, this section does not apply and is thus not displayed.</td>
</tr>
<tr>
<td>Budget Notebook</td>
<td><strong>Budget Section</strong></td>
</tr>
<tr>
<td></td>
<td>Consists of the entire Budget Notebook. This</td>
</tr>
</tbody>
</table>
section cannot be marked Complete unless the Main/Admin and Roster sections are marked Complete because information is fed from these sections into the budget. This section must be marked Complete before the proposal can be marked Complete because the information contained here is reviewed during routing.

Protocol Info Notebook

Protocol Section

Consists of four pages: the IRB, Planned Enrollment, IACUC, and IBC pages. This section must be marked Complete before the proposal can be marked Complete because the information contained here is reviewed during routing.

Note: For Institutional Training Programs, the Planned Enrollment page is not applicable and is thus not displayed.

Renewals Note: For Competing and Non-competing Renewals that are not Institutional Training Programs, there are two additional pages: the Actual Enrollment and Hispanic Enrollment pages

Example of Actions Menu on Proposal Management Screen
About Proposal States

Purpose
To indicate at what stage a proposal is in its life cycle. All new proposals are saved in the state of "Initialized." SPS will automatically change the state of a proposal after specific actions. For example, when the PI presses the Complete button on the Proposal Management screen, SPS will ensure that the proposal is free of errors and then change its state to "Pending Non-Central Approval." Additionally, Pre-Award Office personnel can manually change the state of a proposal by using the Proposal Status Update screen.

State

In-Process
- Pre-Initialized: A proposal has been started but the proposal has not yet been saved to the database.
- Initialized: The proposal has been saved to the database.
- Pending Non-Central Approval: The proposal has been declared Complete and is now being routed for non-central (e.g., departments, divisions, centers, etc.) review and approval.
- Pending Central Approval: The last standard non-central reviewer has approved the proposal, which is now being routed for central (e.g., Grants & Contracts and/or ORS) approval.
- Returned for Changes: A reviewer has returned the proposal to the PI/Dept. Admin. for action.

Pending
- Awaiting Submission: The last central reviewer has approved the proposal, which is now routed back to the
PI/Dept. Admin for paper submission.

Submitted
The PI/Dept. Admin has marked the proposal as submitted to the sponsor.

Returned for Sponsor Changes
The Pre-Award Office has changed the state of a submitted proposal so that additional changes can be made, either in response to award negotiations or a sponsor's request for additional information for Just In Time processing.

Re-Submitted
The proposal has been re-submitted to the sponsor following a request for sponsor changes.

Award in Progress
The submitted proposal is past its proposed start date, but is still in negotiation with the sponsor.

Awards
Awarded
The Sponsor has sent an award letter.

Awarded - Inactive
The proposal has been awarded, but is no longer active (e.g., today's date is past the Current Budget Period End Date).

Other
Unfunded
The Sponsor has sent a no award letter.

Inactive
The PI/Dept. Admin has not taken action on a proposal for 90 days; for example a proposal was returned for changes but the PI has taken no further action. Would also be used if the PI has decided to not submit the application to the sponsor.

Withdrawn
The PI/Dept. Admin has withdrawn a submitted proposal.

Pre-Award Edit
The Pre-Award Office is making changes to the proposal. These changes are audited. A proposal cannot be closed or copied while it is in this state.

Example of Proposal State (highlighted within purple box) on Proposal Management Screen
Proposal Browser Screen

Purpose
To enable you to search the database for existing proposals, which match entered selection criteria and to which you have rights, so that you can open them or report on them. You can also create new proposals from here. The menu bar at the top of the screen enables you to perform actions without having to open proposals. This screen appears when you press the Proposals button on the SPS Main Menu screen.

You will have rights to existing proposals either through association, such as if you are the PI or a Co-PI listed on the proposal, or through your security setup, such as if you are the departmental administrator of the PI’s Duke Org. Once a list of proposals has been generated, you will be able to highlight a proposal from the list and open it for viewing or modification.

You can create Resubmissions, Supplementals, or Competing or Non-Competing Renewals by searching for and selecting the original proposal and then selecting the appropriate option from the Actions menu at the top of this screen.

Program Project Grant Note: When creating a Program Project Grant, always start by pressing the New PPG button, even for Competing and Non-Competing Renewals.

File Menu

Open
Opens the highlighted proposal and advances you to the Proposal Management screen.

New
Starts the process of creating a new proposal by launching the Proposal Management screen and then immediately opening the Main notebook of your new proposal.

New PPG
Starts the process of creating a Program Project Grant by advancing you to the PPG Type Screen.

Print

Selected Document
Opens the Forms Generation screen so you can print or preview the highlighted proposal using the sponsor forms.

All Documents
Opens the Multiple Document Forms Generation screen so you can print or preview all of the proposals listed in the Result Table at the bottom of the Proposal Browser using the sponsor forms.

Export
Creates a report of the proposals listed in the Result Table at the bottom of the Proposal Browser. Please see How do I export proposal information? for more information.

Cancel
Closes the Proposal Browser screen and returns you to the SPS Main Menu screen.

Actions Menu

Copy As New
Creates a new proposal by copying nearly every field in the selected proposal. Please see the help on the Copy As New option for more information.

Resubmission
Creates a Resubmission of the selected Unfunded proposal. Please see help on the Resubmission option for more information.
Supplement

Creates a Supplemental application for the selected Awarded or Awarded-Inactive proposal. Please see help on the Supplement option for more information.

Renew

*Competing Renewal*

Creates a Competing Renewal (called a competing continuation by NIH; a renewal by NSF) of the selected Awarded or Awarded-Inactive proposal. Please see help on the Competing Renewal option for more information.

*Non-Competing Renewal*

Creates a Non-Competing Renewal (called a non-competing continuation by NIH; incremental funding by NSF) of the selected Awarded or Awarded-Inactive proposal. Please see help on the Non-Competing Renewal option for more information.

**Selection Criteria Area**

To search the SPS database for existing proposals, enter a set of selection criteria and then press the Search button. You can enter all or part of each item to be used to filter the search, except for the proposal number, which must be entered in full. The criteria are:

- **Person**
  
Enter a person's last and/or first names. SPS will append a wild card to the end of each string.

- **Where Person is**
  
  Check one or more of the boxes to indicate whether you are searching using the name of a PI, Co-PI, PI-Fellow, or any combination of those. The PI box is checked by default.

- **Sponsor**
  
Enter the sponsor name or acronym and press the tab key to initiate a Sponsor search (see Procedures below).

- **Agency ID**
  
Enter all or part of the application number assigned by the agency. Note that you can enter a portion of the Agency ID, as SPS will append wild cards to the beginning and end of the string.

- **WBS Element**
  
Enter the WBS element (e.g. fund code) of the proposal, with or without the hyphen. SPS will append wild cards to the beginning and end of the string.

- **Status**
  
  Select a single proposal status, or select a status grouping to return proposals for a collection of states. For example, select Awarded to return only currently active awarded proposals, or select Awards to return awarded proposals which are either active or inactive.

- **Title**
  
Enter the short proposal title. SPS will append wild cards to the beginning and end of the string.

- **Type**
  
  Select the type of the proposal.

- **Classification**
  
  Select the classification of the proposal.

- **Prop. #**
  
Enter the full SPS proposal number.
| **PI Duke Org** | Enter all or part of the BFR Code or the name of the Duke Org responsible for approving the PI's participation in the research. SPS will append wild cards to the beginning and end of the entered string. |
| **Owning Duke Org** | Enter all or part of the BFR Code or the name of the Duke Org that owns the proposal. SPS will append wild cards to the beginning and end of the entered string. |
| **Curr. Budg. Start Date** | Enter a date or a range of dates to search for a particular Current Budget Period Start Date. For example, entering 7/1/2000 in the first field brings back all proposals with a Current Budget Start Date of 7/1/2000 or later; entering 7/1/2000 in the second field will return proposals with a Current Budget Start Date of 7/1/2000 or earlier. |
| **Agency Due Date** | Enter a date or a range of dates to search for a particular Agency Due Date. |
| **Date Submitted** | Enter a date or range of dates to search for a particular Submission Date. |
| **Date Initialized** | Enter a date or a range of dates to search for a particular Date Initialized. |
| **Rows to be returned** | Displays the number of matches that are being returned. If more than 50 matches have been found, you will be prompted to indicate whether or not to continue. Large numbers of matches may take extra time to be returned; therefore, you may want to narrow your search before continuing. |
| **Sort By** | Select the field by which you would like SPS to sort the Result Table, and indicate whether you would like to sort by Ascending order or Descending order. Ascending order means that values increase: 1 precedes 2, A precedes B, earlier dates precede later dates. Descending order means that values decrease: 2 precedes 1, B precedes A, later dates precede earlier dates. |

**Result Table**

Displays a list of all proposals which match the entered criteria and to which you have rights. For each proposal, the information shown is defined in each proposal's Main Notebook.

| **PI** | Displays the name of the person listed as the Principal Investigator for the proposal. |
| **PI Duke Org** | Displays the Duke Org responsible for approving the PI's participation in the research. |
| **Sponsor** | Displays the sponsor to whom the proposal is being submitted. |
| **Status** | Displays the state of the proposal. |
| **Agency Due Date** | Displays the date by which the application has to be received by the sponsor. |
Agency ID
Displays the Agency ID of the proposal.

Prop. #
Displays the system-generated proposal number that uniquely identifies this specific application.

Title
Displays the short title of the proposal.

Type
Displays whether the proposal is a New proposal, a Competing Renewal, or a Non-Competing Renewal.

Classification
If the proposal is a Program Project Grant, this field indicates whether the proposal is a Composite or Mini proposal. If this proposal is a regular proposal, then this field is blank.

Owning Duke Org
Displays the Duke Org that owns the proposal.

Date Submitted
Displays the date that the proposal was submitted to the sponsor.

Date Initialized
Displays the date that the proposal was initiated.

WBS Element
Displays the WBS element (e.g., fund code) for the proposal.

Curr. Budg. Start Date
Displays the Current Budget Period Start Date.

Buttons
- **Search**
  Starts searching for proposals that match the entered criteria, and places each match in the Result Table.

- **Clear**
  Returns all of the search criteria to their default values.

- **Open**
  Opens the highlighted proposal and advances you to the Proposal Management screen.

- **New**
  Starts the process of creating a new proposal by launching the Proposal Management screen and then immediately opening the Main notebook of your new proposal.

- **New PPG**
  Starts the process of creating a Program Project Grant by advancing you to the PPG Type Screen.

- **Cancel**
  Closes the Proposal Browser screen and returns you to the SPS Main Menu screen.

Procedures

To initiate a Sponsor search:

1. Enter all or part of the sponsor's name or acronym into the Sponsor field.
2. Press Tab. SPS will open the Organization Selection screen and display a list of items that contain the entered string. If no matches exist, SPS will bring up a dialog box informing you that no matches were found before opening the Organization Selection screen.
3. Select the appropriate sponsor, or press the Add Other button to enter a sponsor name that is not listed. The name will be displayed in the Sponsor field.

Please note: If SPS finds only a single match for the entered string, it will automatically return the corresponding information and will not open up a Selection screen. If you wish to see a list of all sponsors set up in SPS, you can enter a percent sign into the Sponsor field.
Example of Proposal Browser Screen

PPG Type Screen

Purpose
To specify the type of composite proposal being created. The proposal type selected here will be propagated to all of the mini proposals created for the composite proposal. This screen will appear when you press the New PPG button on the Proposal Browser screen. Once a proposal has been created and saved, only the Pre-Award Office personnel can change the Proposal Type; select Update Proposal Type from the Pre-Award Office menu, located under the Actions menu on the Proposal Management screen.

PPG Proposal Type

New
Select if creating a composite proposal that will be submitted to a specific sponsor for the first time.

Competing Renewal
Select if creating a composite proposal that asks for an extension of a currently funded application beyond its current project period (called a competing continuation by NIH; a renewal by NSF).

Non-Competing Renewal
Select if creating a composite proposal that asks for a continuation of funds for the next budget period in the awarded project period (called a non-competing continuation by NIH; incremental funding by NSF).

Opens the Proposal Management screen and then immediately opens the Main notebook of your new composite proposal.
Closes the PPG Type screen and returns you to the Proposal Browser screen without creating a new composite proposal.

Example of PPG Type Screen from Proposal Browser Screen New PPG button

Proposal Management Screen

Purpose
To enable you to perform actions on a proposal and to access the various notebooks of the proposal. The menu bar at the top of the screen, particularly the Actions menu, enables you to perform actions without having to open any of the notebooks of the proposal. The Pre-Award Office options are only available to those in the central offices. The Copy options enable you to copy the open proposal to create a new proposal, as well as to create Resubmissions, Supplements, and Renewals of the open proposal. The button group in the center of the screen enables you to go to any of the five notebooks used to prepare a proposal. The buttons that appear along the bottom of the screen enable you to change the status of the proposal; the buttons that appear will depend upon the state of the proposal.

For information about routing proposals for review and approval purposes, please see the help pages on routing proposals.

Please note: Changing the status of a proposal to Awaiting Submission will also save a permanent copy of the proposal in its entirety, called a snapshot. This copy will ensure that a permanent record is kept of the proposal exactly as it looked at the time of institutional approval. It will include all of the associated data from the Standard Reference Data, such as the names of the administrative official and signing official, and the sponsor's name and submission address.

Actions Menu
Pre-Award Office

Update Agency ID
Opens the Agency ID Update screen, where the Pre-Award Office can enter or modify the Agency ID of a proposal once they have received an acknowledgment of receipt from the sponsor.
**Update Proposal Status**
Opens the Proposal Status Update screen, where the Pre-Award Office can manually change the state of a proposal.

**Update Current Budget Period**
Opens the Current Budget Period Update screen, where the Pre-Award Office can change the start date of the current budget period. This option can only be used when the proposal is in a Submitted or Award in Progress state.

**Update Submission Date**
Opens the Submission Date Update screen, where the Pre-Award Office can modify the date on which the proposal was submitted.

**Update Proposal Type**
Opens the Proposal Type Update screen, where the Pre-Award Office can change the Proposal Type.

**Update Proposal WBS Elements**
Opens the Proposal WBS Element Update screen, where the Pre-Award Office can enter or modify the WBS Element (e.g., fund code) associated with the proposal. This option can only be used once the proposal has been Submitted and until a proposal is Awarded. If an award record exists for the proposal, use the Update Award Information option to update the WBS Element.

**Update Protocol Information**
Opens the Protocol Information Update screen, where the Pre-Award Office can update registry numbers, protocol status, and other related protocol information.

**Update Wet/Dry Lab Information**
Opens the Wet/Dry Lab Information screen where the Pre-Award Office can indicate whether the research predominantly involves the use of Wet Lab (i.e., bench research) or Dry Lab (i.e., computer, data analysis, clinical research) space.

**Route to Fiscal Officer**
Routes the proposal to the fiscal officer for review and approval.

**Show History**
Opens the Document History screen, where you can see the status and routing history of the proposal.

**Show/Update Award Information**
Opens the Awarded Proposal screen. This option is enabled when an Award record exists for the proposal. Only Central Office personnel can update Award Information.

**Create/Show Proposal Memo**
Opens the Proposal Memo screen. If no memo has been entered, then the Create Memo option is displayed; if a memo has been entered, then the Show Memo option is displayed.

**Add/Show Internal Documentation**
Opens the Proposal Attachment screen. If no files have been attached, then the Add Internal Documentation option is displayed; if files have already been attached, then the Show Internal Documentation option is displayed.
### Maintain Minis
Opens the Maintain Minis screen, where you can create and access Mini proposals associated with the open Composite proposal. This option is only available on Composite proposals.

### Show Composite Information
Opens the Composite Information screen, where you can see information about the Composite proposal used as the overall guide for this Program Project Grant. This option is only available on Mini proposals.

### Show Section Status
Opens the Section Status screen, where you can indicate which sections have been Completed.

### Copy
- **Copy As New**
  Creates a new proposal by copying nearly every field in the open proposal. Please see the help on the [Copy As New option](#) for more information.
- **Resubmission**
  Creates a Resubmission of the open Unfunded proposal. Please see help on the [Resubmission option](#) for more information.
- **Supplement**
  Creates a Supplemental application for the open Awarded or Awarded-Inactive proposal. Please see help on the [Supplement option](#) for more information.

### Renew
- **Competing Renewal**
  Creates a Competing Renewal (called a competing continuation by NIH; a renewal by NSF) of the open Awarded or Awarded-Inactive proposal. Please see help on the [Competing Renewal option](#) for more information.
- **Non-Competing Renewal**
  Creates a Non-Competing Renewal (called a non-competing continuation by NIH; incremental funding by NSF) of the open Awarded or Awarded-Inactive proposal. Please see help on the [Non-Competing Renewal option](#) for more information.

### Proposal Notebook Group
- **Main**
  Opens the Main notebook, which contains the Main/Admin and Summary of Work sections. **Renewals Note:** For Non-competing Renewals, a Progress Report section replaces the Summary of Work section.
- **Personnel**
  Opens the Personnel Roster notebook, which contains the Roster, Bio-Sketch, and Other Support sections.
- **Facilities**
  Opens the Facilities notebook, which contains the Sites/Facilities and Facilities Description sections.
- **Budget**
  Opens the Budget notebook, which contains the Budget section.
- **Protocol**
  Opens the Protocol Info Notebook, which
contains the Protocol section.

Indicates that the proposal is complete and routes the proposal for review purposes. This button is displayed when the proposal is in the "Initiated," "Returned for Changes," or "Returned for Sponsor Changes" state. It is enabled when all of the required sections are marked as Complete on the Section Status screen, and if you have appropriate rights to Complete the proposal.

Indicates that the reviewer has approved the proposal and sends the proposal to the next reviewer in the routing chain. This button is displayed when the proposal is in the "Pending Non-Central Approval" or "Pending Central Approval" state. It is enabled when all of the required sections are marked as Complete on the Section Status screen, and if the proposal has been routed to you for review.

Indicates that the reviewer is sending the proposal back to the PI/Department to be revised. This button is displayed when the proposal is in the "Pending Non-Central Approval" or "Pending Central Approval" state. It is enabled when the proposal has been routed to you for review.

Indicates that the proposal is ready to be submitted to the sponsor. This button is displayed when the proposal is in the "Awaiting Submission" state. It is enabled when you have appropriate rights to Submit the proposal. Pressing the Submit button does not currently send the proposal anywhere electronically; rather it simply puts the proposal in the correct state for reporting purposes.

Closes the Proposal Management screen and returns you to the Proposal Browser screen.

Example of Proposal Management Screen
Copy As New Option

Purpose
To create a nearly exact copy of an existing proposal. The proposal created using this option will have a unique Proposal ID and a Proposal Type of New. The Copy As New function can be initiated on the Proposal Browser screen by selecting the proposal that you would like to copy and then selecting Copy As New from the Actions menu. You can also copy an open proposal from the Proposal Management screen; select Copy as New under the Copy option in the Actions Menu.

Please note: You can only copy Regular proposals and Mini proposals at this time; Composite Proposals cannot be copied.

Fields Copied to the New Proposal

Main Notebook
- Short Title and Full Title
- PI, Co-PI, PI-Fellow and all of their associated information
- Sponsor, Sponsor Program, Solicitation, CFDA, Just in Time and Federal Agency indicators
- Project Period Start and End Dates
- Current Budget Period Start and End Dates
- Owning Duke Org
- Proposal Activity and all other information entered on the Activity page (with the exception of the Wet Lab/Dry Lab information)
- Sponsor Materials
- Summary of Work
- Progress Report

Personnel Notebook
- Duke Personnel Roster and Subcontractor Roster
- VA Appt. Information
- Bio Sketches
- Bio Sketches II
- Other Support

Facilities Notebook
- Performance Sites and Facilities
- Facilities Description

Budget Notebook
- Period Definition and Indirect Cost Information
- Sponsor Maximums and Cost Sharing
- Budget Categories
- Salary Roster and Salary Worksheet
- Summary and Detail Budget Information
- Program Income
- Clinical Trials Revenue
- Justification

Protocol Notebook
- Institutional Review Board Protocol Information
- Institutional Animal Care and Use Committee Protocol Information
- Institutional Biosafety Committee Protocol Information
Resubmission Option

Purpose
To create a Resubmission by copying an SPS-defined set of information from an existing proposal into a new one. A Resubmission is a proposal that has undergone significant modifications and is being submitted to replace an unfunded application. The proposal created using this option will have a unique Proposal ID, and will refer to the original Unfunded proposal in the Original Prop. ID field on the Main Page of the Main Notebook. The Resubmission function can be initiated on the Proposal Browser screen by selecting the proposal for which you would like to create a Resubmission and then selecting Resubmission from the Actions menu. You can also create a Resubmission for an open proposal from the Proposal Management screen; select Resubmission under the Copy option in the Actions Menu.

Please note: Currently, this option can only be used to create Resubmissions for Regular proposals. If you would like to create a Resubmission for a Program Project Grant, you will have to create a New PPG from the Proposal Browser. On the Main Page of the Main Notebook of the New Composite, select Yes to the question asking if it is a Resubmission and enter the SPS ID of the Composite proposal that you are revising in the Original ID field.

Furthermore, the proposal being resubmitted must be in the Unfunded state. If it is not, please call the Pre-Award Office and ask that they change it to the appropriate state.

Fields Copied to the Resubmission

Main Notebook
- Short title and Full Title
- PI, Co-PI, PI-Fellow and all of their associated information
- Sponsor, Sponsor Program, Agency ID, Review Group, Solicitation and CFDA #
- Just in Time, SNAP and Federal Agency indicators
- Project Period Start and End Dates
- Current Budget Period Start and End Dates
- Owning Duke Org
- Proposal Activity and all other information entered on the Activity page (with the exception of the Wet Lab/Dry Lab information)
- Sponsor Materials
Study Title
Summary of Work
Progress Report

Personnel Notebook
- Duke Personnel Roster and Subcontractor Roster
- VA Appt. Information
- Bio Sketches
- Bio Sketches II
- Other Support

Facilities Notebook
- Performance Sites and Facilities
- Facilities Description

Budget Notebook
- Period Definition and Indirect Cost
- Sponsor Maximums and Cost Sharing
- Budget Categories
- Salary Roster and Salary Worksheet
- Summary and Detailed Budget Information
- Program Income
- Clinical Trials Revenue
- Justification

Protocol Notebook
- Institutional Review Board Protocol Information
- Institutional Animal Care and Use Committee Protocol Information
- Institutional Biosafety Committee Protocol Information

Example of Copy as Resubmission Option
**Supplement Option**

**Purpose**
To create a Supplemental proposal by copying an SPS-defined set of information from an existing proposal into a new one. A Supplement requests additional funding for an existing award due to special circumstances, such as a request for a minority supplement. The proposal created using this option will have a unique Proposal ID, and will refer to the original Awarded or Awarded-Inactive proposal in the Original Prop. ID field on the Main Page of the Main Notebook. The Supplement function can be initiated on the Proposal Browser screen by selecting the proposal for which you would like to create a Supplement and then selecting Supplement from the Actions menu. You can also create a Supplement for an open proposal from the Proposal Management screen; select Supplement under the Copy option in the Actions Menu.

**Please note:** Currently, this option can only be used to create Supplemental proposals for Regular proposals. If you would like to create a Supplement for a Program Project Grant, you will have to create a New PPG from the Proposal Browser. On the Main Page of the Main Notebook of the New Composite, select Yes to the question asking if it is a Supplemental proposal and enter the SPS ID of the Composite proposal that you are supplementing in the Original ID field.

Furthermore, the proposal being revised must be in the Awarded or Awarded-Inactive state. If it is not, please call the Pre-Award Office and ask that they change it to the appropriate state.

**Fields Copied to the Supplement**

**Main Notebook**
- Short title and Full Title
- PI, Co-PI, PI-Fellow and all of their associated information
- Sponsor, Sponsor Program, Agency ID, Review Group, Solicitation and CFDA #
- Just in Time, SNAP and Federal Agency indicators
- Project Period Start and End Dates
- Current Budget Period Start and End Dates
- Owning Duke Org
- Proposal Activity and all other information entered on the Activity page (with the exception of the Wet Lab/Dry Lab information)
- Sponsor Materials
- Summary of Work
- Progress Report

**Personnel Notebook**
- Duke Personnel Roster and Subcontractor Roster
- VA Appt. Information
- Bio Sketches
- Bio Sketches II
- Other Support

**Facilities Notebook**
- Performance Sites and Facilities
- Facilities Description

**Budget Notebook**
- Period Definition and Indirect Cost
- Sponsor Maximums and Cost Sharing
- Budget Categories
- Salary Roster and Salary Worksheet
Competing Renewal Option

Purpose
To create a Competing Renewal by copying an SPS-defined set of information from an existing proposal into a new one. A Competing Renewal (called a Competing Continuation by NIH; a Renewal by NSF) requests funding to renew, by one or more additional budget periods, a project period that would otherwise expire. The proposal created using this option will have a unique Proposal ID, and will refer to the original Awarded or Awarded-Inactive proposal in the Original Prop. ID field on the Main Page of the Main Notebook. The Competing Renewal function can be initiated on the Proposal Browser screen by selecting the proposal for which you would like to create a Competing Renewal and then selecting Competing Renewal under Renew on the Actions menu. You can also create one for an open proposal from the Proposal Management screen; in the Actions Menu, select Copy, Renew, Competing Renewal.

Please note: Currently, this option can only be used to create a Competing Renewal for Regular proposals. If you would like to create a Competing Renewal for a Program Project Grant, press the New PPG button on the Proposal Browser screen, then select Competing Renewal on the PPG Type screen. On the Main Page of the Main Notebook of the newly created Composite, enter the Original SPS Proposal ID of the Composite proposal that you are renewing.

Furthermore, the proposal being revised must be in the Awarded or Awarded-Inactive state. If it is not, please call the Pre-Award Office and ask that they change it to the appropriate state.

Fields Copied to the Competing Renewal

- Summary and Detailed Budget Information
- Program Income
- Clinical Trials Revenue
- Justification

Protocol Notebook
- Institutional Review Board Protocol Information
- Institutional Animal Care and Use Committee Protocol Information
- Institutional Biosafety Committee Protocol Information
Main Notebook
All information in the main notebook is copied from the original/selected proposal except:

- The Original Prop. ID is read-only and set to the Proposal ID of the original/selected proposal.
- The Date Initialized is set to current system date.
- The Agency Due Date is left blank.
- The Review Group is not copied.
- The SNAP indicator is not copied.
- The Project Period Start Date is set to one day after the original/selected proposal’s Project Period End Date.
- The Project Period End Date is set so that the project duration equals 5 years.
- The Current Budget Period Start Date is set to the Project Period Start Date.
- The Current Budget Period End Date is set so that the Current Budget Period equals one year.
- The WetLab/Dry Lab indicators are not copied.
- The Change in Use of Human Subjects and Change in Use of Vertebrate Animals indicators are not copied.
- The Study Title is not copied.
- The Unobligated Balance indicator is not selected and the Description is left blank.

Personnel Notebook
All information in the personnel notebook is copied from the original/selected proposal except:

- Bio-Sketch information is copied from the most recent source in the renewal chain for each proposal person.
- Bio-Sketch information will not be copied for TBDs or subcontractors on the project.
- Current and Pending Support information is not copied.

Facilities Notebook
- The facility notebook is copied from the original competing Proposal.

Budget Notebook
Only the following information is copied from the original/selected proposal:

- Budget Categories
- Detailed Line Items from the original/selected proposal's First Budget Period into the new proposal's First Budget Period.
- Detailed Salary Line Items from the original/selected proposal's First Budget Period into the new proposal's First Budget Period.
- Budget Justification
- NSF Number of Participants
- Program Income
- Clinical Trials Revenue

Please Note: Five new Budget Periods will be created based on the Project Period dates.

Protocol Notebook
- The Protocol notebook is copied from the original/selected proposal.
Example of Copy as Competing Renewal Option

Non-Competing Renewal Option

**Purpose**
To create a Non-Competing Renewal by copying an SPS-defined set of information from an existing proposal into a new one. A Non-Competing Renewal (called a Non-Competing Continuation by NIH; Incremental Funding by NSF) requests funding for the second or subsequent budget period within an approved project period. The proposal created using this option will have a unique Proposal ID, and will refer to the original Awarded or Awarded-Inactive proposal in the Original Prop. ID field on the Main Page of the Main Notebook. The Non-Competing Renewal function can be initiated on the Proposal Browser screen by selecting the proposal for which you would like to create a Non-Competing Renewal and then selecting Non-Competing Renewal under Renew on the Actions menu. You can also create one for an open proposal from the Proposal Management screen; in the Actions Menu, select Copy, Renew, Non-Competing Renewal.

**Please note:** Currently, this option can only be used to create a Non-Competing Renewal for Regular proposals. If you would like to create a Non-Competing Renewal for a Program Project Grant, press the New PPG button on the Proposal Browser screen, then select Non-Competing Renewal on the PPG Type screen. On the Main Page of the Main Notebook of the newly created Composite, enter the Original SPS Proposal ID of the Composite proposal that you are renewing.

Furthermore, the proposal being revised must be in the Awarded or Awarded-Inactive state. If it is not, please call the Pre-Award Office and ask that they change it to the appropriate state.

**Fields Copied to the Non-Competing Renewal**

**Main Notebook**
All information in the main notebook is copied from the original/selected proposal **except**:
- The Original Prop. ID is read-only and set to the Proposal ID of the original/selected proposal.
- The Date Initialized is set to current system date.
- The Agency Due Date is left blank.
- The Project Period Start and End dates are copied from the Award record of the previous proposal rather than the proposal itself.
- The Current Budget Period Start Date is set to one day after the Current Budget Period End Date of the Award record of the previous proposal.
- The Current Budget Period End Date is set so that the Current Budget Period equals one year.
- The WetLab/Dry Lab indicators are not copied.
- The Change in Use of Human Subjects and Change in Use of Vertebrate Animals indicators are not copied.
- The Summary of Work is not copied.
- Progress Report information is not copied.

**Personnel Notebook**

All information in the personnel notebook is copied from the original/selected proposal *except*:
- Bio-Sketch information is not copied.
- Current and Pending Support is not copied.

**Facilities Notebook**

- Only Performance Site information is copied from the original/selected proposal.

**Budget Notebook**

*Only* the following information is copied from the original/selected proposal:
- Budget Period Name from the appropriate period in the original competing proposal
- Budget Categories
- Detailed Line Items from the original/selected proposal's First Budget Period into the new proposal's First Budget Period.
- Detailed Salary Line Items from the original/selected proposal's First Budget Period into the new proposal's First Budget Period.
- Budget Justification
- NSF Number of Participants
- Program Income
- Clinical Trials Revenue

**Please Note:** One Budget Period will be created based on the Current Budget Period dates.

**Protocol Notebook**

- The Protocol notebook is copied from the original/selected proposal.

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**Example of Copy as Non-Competing Renewal Option**
Personnel Profile Detail Screen

Purpose
To view detailed information about a person. This information is retrieved from the Person table in the Standard Reference Data at the time the person is added to the proposal. You cannot modify the Name, Duke ID, Citizenship, Faculty Status, PI Status, Cancer Center Membership or RCC Training Completed fields. You can modify all remaining fields for this specific proposal, but such changes will not have any impact on the original master data contained in the Person table. Conversely, as master data is updated in the Person table (via downloads from Enterprise Directory), such updates will not change the corresponding data contained within an existing proposal. This screen appears when you press the Person Details button on the Main and Admin pages of the Main Notebook, and the Roster Page of the Personnel Roster Notebook.

Fields & Buttons

Last Name
Displays the person's last name.

First Name
Displays the person's first and middle names.

Title
Displays the position title associated with the person's primary appointment. The default is the title defined in the Person table but the field can be modified; for example, you may want to enter a title associated with another appointment, or a combined title such as Professor of Genetics & Neurobiology.

Duke Org
Displays the name of the Duke Org responsible for approving the person's participation in the research. The default is the primary appointment defined in the Person table; however, other Duke Orgs will be available for selection if this person has been entered as having a non-primary appointment in another Duke Org in the Duke Org Profile.

PI Status
Indicates whether or not the person has PI status.

Faculty Status
Indicates whether or not the person has faculty status.

Cancer Center Member
Indicates whether or not the person is a member of the Cancer Center.

RCC Training Completed
Indicates whether or not the person has completed RCC Training.

Duke ID
Displays the person's Duke Unique ID.

Citizenship
Displays the person's US citizenship status.

Office Phone
Displays the person's office telephone number but can be modified.

Fax
Displays the person's daytime fax number but can be modified.

Address
Displays the person's complete mailing address, including room number, building and street address, but can be modified.

City
Displays the person's city but can be modified.
State  
Displays the person's state but can be modified.

Zip  
Displays the person's zip code but can be modified.

E-Mail  
Displays the person's electronic mail address but can be modified.

Web Site  
Type the person's web site if you would like to include it on the proposal.

Applies any changes made to the information on the Personnel Profile Detail screen to the proposal. The changes made here will be saved to the SPS database when you save the notebook.

Closes the Personnel Profile Detail screen without applying any changes and returns you to the screen that called the Personnel Profile Detail screen. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.

Example of Personnel Profile Detail Screen from Person Details button in the Main Notebook
Budget Notes Screen

Purpose
To enter an explanation for the use of any non-standard rates or amounts on the proposal budget, such as a non-standard inflator or fringe rate. The information entered here is for internal review purposes only and will not be printed on any of the sponsor forms. You can enter notes on this screen by selecting Create Notes on the Actions menu in the Budget Notebook. Once notes have been entered, the option on the Actions menu becomes Show Notes, to let the reviewers know that notes have been entered.

The use of a non-standard Indirect Cost rate should not be explained on the Budget Notes screen; rather, it should be explained in the Indirect Cost Waiver Justification text box on the Rules page of the Budget Notebook.

Please Note: Entering an explanation in this field does not exempt you from obtaining any necessary approvals.

Fields and Buttons
If a non-standard rate or amount has been used on the budget (excluding indirect cost rates), please explain why.

Enter an explanation for the use of a non-standard rate or amount on the budget. If this field is blank when you have overridden the default personnel inflator, operations inflator, fringe benefit rate, or projected salary amount, you will receive an error upon save.

Applies the information contained in the Budget Notes screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Budget Notebook.

Closes this screen without applying changes and returns you to the Budget Notebook. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.

Example of Budget Notes Screen in the Budget Notebook
**Budget Detail Screen**

**Purpose**
To define the detailed budget line items that support a budget category. This screen appears when you highlight a category and press the Budget Detail button on the Summary Budget page.

A detailed budget line item breaks a single category into individual budgeted amounts. For example, the budget category for "Supplies" could be broken down into "Laboratory Supplies" and "Radioisotopes" with dollar amounts for each. For each line item, you can specify what portion of the cost will be paid by the sponsor and/or what portion of the cost will be allocated to cost sharing if institutional funding is anticipated. The sponsor amounts entered here are summed by budget period and displayed in the sponsor amount column on the Summary Budget page. Any cost shared amounts will be displayed in the cost share column.

**Fields & Buttons**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Category Detail</td>
<td>Displays the selected budget category for which detailed budget line items are to be entered.</td>
</tr>
<tr>
<td>Budget Period</td>
<td>Displays the budget period for which detailed line items are to be entered. The default is the period of the cell that is highlighted on the Summary Budget page; if the budget category itself was highlighted, then the default is the first Budget Period. You can modify information for other budget periods by selecting another value from this list.</td>
</tr>
<tr>
<td>Description</td>
<td>Enter the name or description of the detailed budget line item.</td>
</tr>
<tr>
<td>Sponsor Amt.</td>
<td>Enter the amount requested from the sponsor.</td>
</tr>
<tr>
<td>Cost Share Amt.</td>
<td>Enter the amount that will be covered by institutional funding. This field is enabled if you answered Yes for the question on the Rules II page about Cost Sharing being required.</td>
</tr>
<tr>
<td><strong>Insert Row</strong></td>
<td>Inserts a blank row into which detailed budget information can be entered. If you have first selected an existing row, the new row will be added immediately below that row; otherwise, the new row will be added to the bottom of the table. You must enter a description, as well as a sponsor amount and/or a cost share amount, into any row that has been added to this dataset; if left blank, you will receive an error upon save.</td>
</tr>
<tr>
<td><strong>Delete Row</strong></td>
<td>Deletes the selected detailed budget line item.</td>
</tr>
<tr>
<td><strong>OK</strong></td>
<td>Applies the information contained in the Budget Detail screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Budget Notebook.</td>
</tr>
<tr>
<td><strong>Cancel</strong></td>
<td>Closes the Budget Detail screen without applying any changes and returns you to the Summary Budget page. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.</td>
</tr>
</tbody>
</table>
Patient Care Cost Detail Screen

Purpose
To define the detailed budget line items that support the Laboratory Charges, Medical Procedure Charges and Patient Care Costs budget categories. The amounts entered here are summed by budget period and displayed in the sponsor amount column on the Summary Budget page. This screen appears when you select one of these budget categories from the Summary Budget page.

Fields & Buttons

- **Budget Category Detail**: Displays the selected budget category for which detailed budget line items are to be entered.

- **Budget Period**: Displays the budget period for which detailed line items are to be entered. The default is the period of the cell that is highlighted on the Summary Budget page; if the budget category itself was highlighted, then the default is the first Budget Period. You can modify information for other budget periods by selecting another value from this list.

- **Description**: Enter either a brief textual description of or the name of the procedure to be administered, per the requirements of the Clinical Trials protocol.

- **Code**: Enter the charge book code, also known as the CPT code, associated with the procedure.
<table>
<thead>
<tr>
<th>Internal Duke Charge</th>
<th>Enter the charge associated with the procedure.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantity</td>
<td>Enter the number of times the procedure will be performed.</td>
</tr>
<tr>
<td>Total Duke Charge</td>
<td>Displays the calculated total Duke charge by multiplying the Internal Duke Charge and the Quantity.</td>
</tr>
</tbody>
</table>

- **Insert Row:** Inserts a blank row into which detailed patient care cost information can be entered. If you have first selected an existing row, the new row will be added immediately below that row; otherwise, the new row will be added to the bottom of the table.
- **Delete Row:** Deletes the selected patient care cost detail row.
- **OK:** Applies the information contained in the Patient Care Cost Detail screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Budget Notebook.
- **Cancel:** Closes the Patient Care Cost Detail screen without applying any changes and returns you to the Summary Budget page.

**Example of Patient Care Cost Detail Screen in the Budget Notebook**
Subcontractor Detail Screen

Purpose
To define the detailed budget line items that support the subcontractor cost budget category. This screen only appears when you highlight the Consortium/Subaward Costs budget category on the Summary Budget page and press the Budget Details button.

One detailed budget line item will be generated for each subcontractor included on the Subcontractor Roster. Each subcontractor's name and organization will be automatically placed in the description and cannot be modified here; additionally, rows cannot be inserted or deleted.

For each subcontractor, you can enter the total direct and total indirect costs for the subcontract, as well as what portion of the direct cost, if any, will be allocated to cost sharing if institutional funding is anticipated. The total direct and indirect costs fields will be summed and presented as the Consortium/Subaward Costs total on the Summary Budget page; any cost shared amounts will be displayed in the cost share column on the Summary Budget page.

Subcontractor detail amounts do not inflate when you press the Inflate Sum Budget button on the Summary Budget page. Instead, be sure to enter detail for each budget period. To do this without closing and re-opening this screen, select the next period in the Budget Period drop down menu and enter the detail for that period. Continue to do this until all detail as been entered.

Please note: Be sure to include here any requested salary for subcontractors. You cannot enter salary for subcontractors on the Salary Worksheet page. Consultant costs should not be entered in the Consortium/Subaward category, even if the consultant was listed on the Subcontractor Roster in the Personnel Roster notebook. Instead, enter the consultants' names and amounts in the Consultant Costs category.

Fields & Buttons

Budget Category Detail Displays the selected budget category for which detailed budget line items are to be entered.

Budget Period Displays the budget period for which detailed line items are to be entered. The default is the period of the cell that is highlighted on the Summary Budget page; if the budget category itself was highlighted, then the default is the first Budget Period. You can modify information for other budget periods by selecting another value from this list.

Subcontractor Name Displays the first and last name of each subcontractor listed on the Roster Page of the Personnel Roster Notebook.

Organization Displays the subcontracting organization for each subcontractor listed on the Roster Page of the Personnel Roster Notebook.

Direct Spon. Amt. Enter the direct costs being requested from the sponsor for this subcontract.

Indirect Spon. Amt. Enter the indirect costs being requested from the sponsor for this subcontract.

Direct CS Amt. Enter the direct costs being allocated to cost sharing for this subcontract. This field is enabled if you answered Yes for the question on the Rules II page about Cost Sharing being required.
Applies the information contained in the Subcontractor Detail screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Budget Notebook.

Closes the Subcontractor Detail screen without applying any changes and returns you to the Summary Budget page.

Example of Subcontractor Detail Screen in Budget Notebook

Document History Screen

Purpose
To show the status history, routing history, and reviewers' comments for a proposal. The Document History can be accessed from the Proposal Management screen or from any of the Notebook screens by selecting Show History from the Actions menu located at the top of the screen.

Fields & Buttons

Status History

Status
Displays each state through which the proposal has passed. The list is displayed in reverse chronological order; in other words, the state at the top of the list is the current state of the
<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Proposal</strong></td>
<td>Select a row to view the Routing History for that state.</td>
</tr>
<tr>
<td>Date</td>
<td>Displays the date that the proposal entered the state.</td>
</tr>
<tr>
<td>Who</td>
<td>Displays the Demp ID of the person who performed the action that initiated the state change.</td>
</tr>
<tr>
<td><strong>Routing History</strong></td>
<td></td>
</tr>
<tr>
<td>Reason</td>
<td>Displays the type of route that the proposal must go through for the state highlighted in the Status History area. Select a row to view the Routed To area for that route.</td>
</tr>
<tr>
<td>Status</td>
<td>Indicates the action taken or to be taken for this route. For example, a status of Pending will be displayed if the proposal has not been approved by all of the persons on that routing chain.</td>
</tr>
<tr>
<td>Date</td>
<td>Displays the date that the last action was taken for this route.</td>
</tr>
<tr>
<td><strong>Routed To</strong></td>
<td></td>
</tr>
<tr>
<td>Order</td>
<td>Displays the order that the proposal will be routed to each of the roles for the selected row in the Routing History area. This list is referred to as a routing chain. If multiple rows have the same order number, then the proposal will be routed to those listed on each of those rows simultaneously. Once all of the reviewers that have the same order number have approved the proposal, the proposal will be routed to the person(s) listed with the next order number. Also, if the reviewer has made comments, an asterisk will appear in this column. Select a row to view the Role for that row, as well as to enable the Reviewer Comments button if comments have been made.</td>
</tr>
<tr>
<td>Routed To/Reviewed By</td>
<td>Displays the name of the person(s) assigned to each role to which the proposal is routed. If multiple persons are listed in a row, then the proposal will be routed to those persons simultaneously, but only one of them must review the proposal before the proposal is routed to the next step of the routing chain.</td>
</tr>
<tr>
<td>Status</td>
<td>Indicates whether the proposal is Pending an action, if the proposal has been Approved by this role, if the proposal has Not Yet been routed to this role, or if the proposal was Withdrawn from this person's In-Box.</td>
</tr>
<tr>
<td>Date Routed</td>
<td>Displays the date that the proposal was routed to this role.</td>
</tr>
<tr>
<td>Date/Time Reviewed</td>
<td>Displays the date and time that an action was taken on the proposal.</td>
</tr>
</tbody>
</table>
Role

Display the Routing Role of the person(s) selected in the Routed To area.

State Change Comments

Opens the Document State Override screen, which displays information regarding a manual state change. This button is enabled when you select a Status in the Status History area that was set to that state following a manual state change by the Pre-Award Office.

Opens the Reviewer Comments screen, which displays the comments of the highlighted reviewer. This button is enabled when you select a Reviewer in the Routed To area who has made comments.

Closes the Document History screen and returns you to the screen from which you opened the Document History screen.

Example of Returned for Changes in Document History Screen

Check one or more reasons for Returned For Changes
- DPAF (Signed, Dated, COI declared, etc.)
- Documents [Subcontracts, Budget Justification, Electronic packets, etc.]
- Budget (Amounts over/under allowable, Mis-categorized costs, etc.)
- Budget Justification (Mismatched with budget, Missing information, etc.)
- Compliance (IRB/AAUC/IRB, Human subjects training, Other Support, etc.)
- Department Request (Returned at PI or Department Request)

Explanation:
Budget does not include IC cost, though the prime is an RDT. RFC so that it can be revised to include IC at 67% (new supplant), or an IC waiver can be obtained for...
Reviewer Comments Screen

**Purpose**
To enter or view any comments, suggested changes, or corrections which the reviewer would like to note about the proposal.

The reviewer can edit this screen from any page of the proposal by selecting Add Review Comments from the Actions menu at the top of the screen. Those with access to the proposal can view the comments from the Document History screen, by highlighting the reviewer and pressing the Reviewer Comments button.

**Fields & Buttons**
- **Reviewer Comments**: Enter comments about the proposal.
- **Save**: Saves the entered comments and leaves the screen open for further changes.
- **Close**: Closes the Reviewer Comments screen and returns you to the screen which called the Reviewer Comments screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

Submission Date Update Screen

**Purpose**
To enable the Pre-Award Office to update the submission date. To change the submission date, enter the new date in the New Submission Date, enter a Justification, and press Save. To remove the submission date, select Remove Submission Date, enter a Justification, and press Save.

Changes made here will be reflected on the Sponsor page of the Main notebook. This screen can be opened from the Proposal Management screen; in the Actions menu, highlight Pre-Award Office and then select Update Submission Date.

**Fields & Buttons**
- **Current Submission Date**: Displays the date currently indicated as being the submission date.
- **New Submission Date**: Enter the new submission date. This field is enabled and required when Update Submission Date is selected.
- **Action**
  - **Update Submission Date**: Select this option to change the submission date of the proposal.
  - **Remove Submission Date**: Select this option to remove the submission date for the proposal.
- **Justification**: Enter text explaining the reason for the submission date change.
- **Save**: Saves the new submission date information and the justification and then closes the screen.
Closes the Submission Date Update screen without changing the submission date and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

**Agency Information Update Screen**

**Purpose**
To enable the Pre-Award Office to add or update the Agency ID and review group following a receipt of submission from the sponsor. Changes made here will be reflected on the Sponsor page of the Main notebook, as well as on the Awarded Proposal screen if an Award record exists. This screen can be opened from the Proposal Management screen. In the Actions menu, highlight Pre-Award Office and then select Update Agency ID.

**Please Note:** Agency IDs need to be entered in three parts. The Prefix identifies the awarding institute and the award type. The Core Number identifies the number assigned to the application. The Suffix indicates whether this is a first time award as well as whether amendments have been made. For example, to input the agency ID 1R01-AI41937-01A1, you would enter 1R01 in the Prefix field, AI41937 in the Core Number field, and 01A1 in the Suffix field.

**Fields & Buttons**

- **Agency ID**: Enter the beginning, core, and last part of the proposal identifier assigned by the sponsoring agency (see Note above).
- **Review Group**: Enter the review group assigned by the sponsoring agency.
Saves the entered Agency information and then closes the screen.

Closes the Agency Information Update screen without saving changes and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

**Proposed Status Update Screen**

**Purpose**
To enable the Pre-Award Office to manually change the state of the proposal. Those with access to the proposal can view information about the manual override, including the justification, from the Document History screen. This screen can be opened from the Proposal Management screen. In the Actions menu, highlight Pre-Award Office and then select Update Proposal Status.

**Fields & Buttons**

- **Current State**: Displays the current state of the proposal.
- **New State**: Select the new state of the proposal. If Awarded is selected, the Awarded Proposal screen appears. If Returned For Sponsor Changes is selected, the Return For Sponsor Changes screen appears. If Submitted or Re-Submitted is selected, then the Submission Information screen appears. Otherwise, SPS simply accepts the new state.
Submission Date 

Displays the Submission Date, if one exists. If you change a proposal to a state that indicates that the proposal has been submitted to the sponsor, SPS will enable this field. If a submission date does not yet exist for this proposal, then SPS will set this field to the agency due date; however, you may change the date if necessary.

Justification

Enter text explaining the reason for the state change. This field is required for all state changes except those to a state of Awarded, Awarded-Inactive, and Unfunded.

Changes the state of the proposal to the new state and saves the justification.

Example of Proposal Status Update Screen

Return For Sponsor Changes Screen

Purpose

To enable the Pre-Award Office to indicate who is responsible for making proposal changes required by the sponsor, and whether the proposal will need to have non-central approval once those changes have been made. This screen will appear when the Pre-Award Office changes the proposal status to "Returned for Sponsor Changes" on the Proposal Status Update Screen.

Fields & Buttons
Indicate who is responsible for the changes

Select either the PI or the Pre-Award Office to indicate who is responsible for entering any changes required by the sponsor. If PI is selected, then the proposal will be routed to the PI/Department once the status change has been saved. If Pre-Award Office is selected, then the proposal will not be routed until the proposal is marked as Complete.

Non-Central Approval Required

Check if this proposal will need to be re-routed through the standard non-central routing chain(s) once changes have been made. If this box is checked, the proposal will route through any standard non-central routing chains once the proposal is marked as Complete. If this box is unchecked, then the proposal will go directly to the central routing chains for approval once the proposal is marked as Complete.

Applies the information entered on the Return For Sponsor Changes screen and returns you to the Proposal Status Update screen, where you can enter the justification and save the state change.

Closes the Returned For Sponsor Changes screen without applying changes and returns you to the Proposal Status Update screen. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.

Example of Return for Sponsor Changes Screen
Current Budget Period Update Screen

Purpose
To enable the Pre-Award Office to change the start date of the current budget period of a proposal whose state is either Submitted, Re-Submitted, or Award in Progress. This screen can be opened from the Proposal Management screen. In the Actions menu, highlight Pre-Award Office and then select Update Current Budget Period.

Fields & Buttons
Current Budget Period Start Date Displays the current budget period start date; this field cannot be modified.

Modified Budget Period Start Date Enter the new current budget period start date; you must enter a new date or you will receive an error upon Save.

Justification Enter text explaining the reason for the date change; you must enter a justification or you will receive an error upon Save.

Save Saves the new current budget period start date and justification, and returns you to the Proposal Management screen. Changes made to the current budget period start date will be reflected on the Admin page of the Main Notebook. However, no changes will be made to the Budget Notebook.

Close Closes the screen without changing the current budget period start date, and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

Example of Current Budget Period Update Screen
# Proposal Type Update Screen

## Purpose
To enable the Pre-Award Office to change the proposal type and/or to set the Resubmission or Supplement flag. This screen can be opened from the Proposal Management screen. In the Actions menu, highlight Pre-Award Office and then select Update Proposal Type.

## Fields & Buttons

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>Displays the SPS Proposal ID of the proposal for which you are changing the type.</td>
</tr>
<tr>
<td>Current Proposal Type</td>
<td>Displays the proposal's current type.</td>
</tr>
<tr>
<td>Proposal Types</td>
<td></td>
</tr>
<tr>
<td>New</td>
<td>Select if the proposal is being submitted to a specific sponsor for the first time.</td>
</tr>
<tr>
<td>Competing Renewal</td>
<td>Select if the proposal is asking for an extension of a currently funded application beyond its current project period (called a competing continuation by NIH; a renewal by NSF).</td>
</tr>
<tr>
<td>Non-Competing Renewal</td>
<td>Select if the proposal is asking for a continuation of funds for the next budget period in the awarded project period (called a non-competing continuation by NIH; incremental funding by NSF).</td>
</tr>
<tr>
<td>Supplement</td>
<td>Check if the proposal is a Supplement to a currently Awarded proposal. Enter the SPS Proposal ID of the proposal for which this is a supplement in the Original Proposal ID field.</td>
</tr>
<tr>
<td>Resubmission</td>
<td>Check if the proposal is a Resubmission of an Unfunded proposal. Enter the SPS Proposal ID of the proposal for which this is a resubmission in the Original Proposal ID field.</td>
</tr>
<tr>
<td>Original Proposal ID</td>
<td>Enter the SPS Proposal ID of the proposal for which this is a renewal, supplement or resubmission. If you are changing the type to New, this field should be left blank. If you are changing the type to Competing or Non-competing Renewal or indicating that it is a Supplement or Resubmission, you will receive a warning upon pressing the Save button if the field is left blank.</td>
</tr>
</tbody>
</table>

### Buttons

- **Save**: Saves the new proposal type and then returns you to the Proposal Management screen.
- **Close**: Closes the screen without changing the proposal type and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.
**Example of Proposal Type Update Screen**

### Proposal WBS Element Update Screen

**Purpose**
To enable the Pre-Award Office to add a WBS Element (e.g., fund code) to a proposal for which an award record does not exist. This screen can be opened from the Proposal Management screen. In the Actions menu, highlight Pre-Award Office and then select Update Proposal WBS Element. If an Award record exists, this screen is inaccessible; instead, edit the WBS Element using the Awarded Proposal screen. Furthermore, this screen is inaccessible until the proposal has been submitted. WBS Elements are not displayed anywhere on the proposal; they can only be viewed on this screen, the Proposal Browser, and on the Awarded Proposal screen once an Award record has been generated.

**Fields & Buttons**

**Proposal WBS Element**

Enter the seven-digit WBS Element (e.g., fund code) associated with this proposal. You can enter the number with or without a hyphen.

**Save**

Saves the WBS Element to the proposal record and returns you to the Proposal Management screen.

**Close**

Closes the screen without saving changes. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.
**Section Status Screen**

**Purpose**
To mark proposal sections as Complete in preparation for routing. This screen serves two main purposes: first, it is a convenient checklist to note which sections have been completed, particularly if more than one person is working on a proposal; second, marking a section Complete prevents that section from undergoing further modification, providing data integrity during routing. This screen can be opened from the Proposal Management screen. In the Actions menu, highlight Show Section Status.

The sections noted with asterisks must be marked Complete on this screen before the proposal can be routed; in other words, the Complete button on the Proposal Management screen will be enabled once all sections with an asterisk are marked as Complete. The PI and their PI Assistants can continue to work on the non-complete sections of the proposal; however, all sections must be marked Complete before the last Central Reviewer on the routing chain can approve the proposal.

The PI and their PI Assistants can remove a Complete check mark for a section until the proposal has been declared Complete; after that time, once a section is marked Complete, they will not be able to change a section's completion status. Non-central reviewers with edit rights will be able to mark and unmark sections as Complete until the proposal enters the Pending Central Approval state. Central Reviewers will be able to mark and unmark sections Complete until the last Central Reviewer on the routing chain has approved the proposal.

**Please note:** You can also run the Completion validations from within the notebooks. Select the Save with Complete Check option from the Actions menu at the top of the notebook screen. Save and Complete validations will be run for all sections contained in that notebook.

**Actions Menu**

- **Mark All Sections Complete**
  Checks the boxes for all nine sections, allowing you to mark all of them as complete with one step.

- **Mark All Sections Uncomplete**
  Unchecks the boxes for all nine sections, allowing you to mark all of them as uncomplete.
Fields & Buttons

Notebooks & Sections

Displays each of the proposal notebooks and the sections that each contains. An asterisk appears beside each section that must be marked as Complete in order to Complete and route the proposal.

Complete

Check if the section is complete. Uncheck to make the section modifiable.

Save

Runs all of the Completion validations for each section marked Complete in this session. If there are any errors, you will receive a message telling you which sections have errors, and you will not be able to save the Section Status screen with those sections marked as Complete. If there are any warnings, you will receive a message telling you which sections have warnings, but you will be able to Save those sections as Complete.

Close

Closes the screen without changing the completion status of the sections. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

Example of Section Status Screen
Main Notebook--Main Page

Purpose
To enter basic information required to initialize and save a proposal, such as the name of the PI initiating the application. This page is part of the Main/Admin section.

Please note: The Fellow area included on this page should only be used when a fellow, research associate, or student is submitting a proposal in their own name, and not when they are participating in the research on another person's proposal. When a Fellow is applying in their own name, they must enter the name of their faculty sponsor/advisor in the Principal Investigator area of this page.

Program Project Grant Note: The Fellow area will be absent from Program Project Grants, as only those with PI status should be creating PPGs.

Fields & Buttons
Proposal ID Displays the system-generated proposal number used to uniquely identify this specific proposal.

Date Initialized Displays the date on which the proposal was initiated. The default is the system date, but the field can be modified.

Original Prop. ID Displays the SPS assigned proposal ID of the original application for which this is a renewal, resubmission or supplement. For regular proposals, this field will be automatically updated during the Copy process for Renewals, Resubmissions and Supplements.

Program Project Grant Note: This field will be enabled for PPGs. For Renewals, Resubmissions and Supplements, enter the proposal id of the composite proposal that this one is renewing, supplementing or revising. If this field is left blank for a Renewal, Supplement or Resubmission, you will receive an error upon save.

Is this a Supplemental proposal? Indicates whether or not this application requests additional funding for an existing award due to special circumstances, such as a request for a minority supplement. For regular proposals, this field will automatically be set to 'Yes' when the Supplement function is selected from the Actions menu of the Proposal Browser screen or the Proposal Management screen. Please see help on the Supplement option if you would like to create a Supplemental application for a regular proposal.

Program Project Grant Note: This field will be enabled for Composite proposals. Click Yes if this application requests additional funding for an existing award.

Is this a Resubmission of a previously submitted but unfunded proposal? Indicate whether or not this application replaces a previously submitted but unfunded application that has undergone significant modifications prior to being resubmitted. For regular proposals, this field will automatically be set to 'Yes' when the Resubmission function is selected from the
Actions menu of the Proposal Browser screen or the Proposal Management screen. Please see help on the Resubmission option if you would like to create a Resubmission for a regular proposal.

**Program Project Grant Note**: This field will be enabled for Composite proposals. Click Yes if this application replaces a previously submitted but unfunded application.

**Short Title**

Enter the abbreviated title of the proposal. This title will be printed on the sponsor forms that impose a character limitation, such as the PHS 398 Cover Sheet. This title is also the one used throughout SPS to identify this proposal. If blank, you will receive an error upon save. If the number of characters exceeds the sponsor's limit, you will receive a warning upon save. **Please note**: The NSF Cover Sheet does not impose a character limit on the title; therefore, the Full Title entered on the Admin page is printed on that form.

**Principal Investigator**

**Last Name**

Enter all or part of the PI's last name to initiate a person search (see Procedures below). If blank, you will receive an error upon save.

**First Name**

Displays the PI's first and middle names.

**New Investigator**

Check this box only if the PI has not previously served as such on any PHS-supported research project other than an R02, R15, R21, K01, K08, K22, or K23.

**Title**

Displays the PI's position. The default is the title associated with the PI's primary appointment as defined in the Person Profile, but the field can be modified; for example, you may want to enter a title associated with another appointment, or a combined title such as Professor of Genetics & Neurobiology.

**Appt. Duke Org**

Displays the name of the Duke Org responsible for approving the person's participation in the research. The default is the primary appointment defined in the Person Profile; however, other Duke Orgs will be available for selection if this person has been entered as having a non-primary appointment in another Duke Org in the Duke Org Profile.

**Fellow, Resident, Graduate Assistant (for Fellowships Only)**

**Last Name**

Enter all or part of the fellow's last name to initiate a person search (see Procedures below).

**First Name**

Displays the fellow's first and middle names.

**Title**

Displays the fellow's position. The default is the title associated with the fellow's primary
appointment as defined in the Person Profile, but the field can be modified; for example, you may want to enter a title associated with another appointment or a combined title if multiple appointments exist. If a fellow's name has been entered in the Last Name field, but the Title field is left blank, you will receive a warning upon save.

Appt. Duke Org

Displays the name of the Duke Org responsible for approving the person's participation in the research. The default is the primary appointment defined in the Person table; however, other Duke Orgs will be available for selection if this person has been entered as having a non-primary appointment in another Duke Org in the Duke Org Profile.

Person Details…

Opens the Personnel Profile Detail screen, which displays detailed information about the person, including their Duke Org, title, SSN, and contact information. On this screen, certain fields can be modified for this specific proposal. See Personnel Profile Detail Screen for more information.

Save

Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes. Please note that you will receive errors if you attempt to Save the proposal before filling out the required fields on the Main, Sponsor, Admin, and Activity pages.

Close

Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Procedures

To initiate a person search:

1. Enter all or part of the person's last name into the Last Name field.
2. Press Tab. SPS will open the Person Selection screen and display a list of names that begin with the entered string. If searching for a PI, only those persons who have faculty or special PI status will have their names displayed in this list.
3. Select the appropriate name. The person's information will be displayed in the appropriate area.

Please note: For the PI search, SPS appends a wildcard only to the end of your entry. For example, entering michael would return Michaels but not McMichael.

If SPS finds only a single match for the entered string, it will automatically return the person's information and will not open up a Selection screen.
Main Notebook--Sponsor Page

Purpose
To enter information about the sponsor, program, and agency due date. This page is part of the Main/Admin section.

When you enter a string in the Sponsor field and press the Tab key, SPS will return an Organization Selection screen that lists the standard Sponsors that include the entered string. You can then select a standard sponsor, or press the Add Other button and enter the name of the non-standard sponsor. If you use a non-standard sponsor, then you will receive a warning message upon completion advising you to send supporting documentation for the sponsor to the Pre-Award Office. SPS will not allow the state of the proposal to be advanced to "Awaiting Submission" until the Pre-Award Office has added the non-standard sponsor to the Sponsor Profile.

Each sponsor has specific, ongoing programs that provide support for certain types of research. For NIH, examples of sponsor programs include the National Research Service Award and the Mentored Clinical Scientist Development Award. For NSF, examples of sponsor programs include the Faculty Early Development Program and International Programs. Each of these sponsor programs will be entered into the Program Profile, which is maintained as a part of Standard Reference Data. Each program may have specific guidelines and budgetary restrictions that supersede the sponsor's general guidelines and budgetary restrictions.

An Agency ID is a number generated at the time of application receipt by the sponsor and must be referenced in any communication with the sponsor. Agency IDs need to be entered in three parts. The Prefix identifies the awarding institute and the award type. The Core Number identifies the number assigned to the application. The Suffix indicates whether this is a first time award as well as whether amendments have been made. For example, to input the agency ID 1R01AI-41937-01A1, you would enter 1R01AI in the Prefix field, 41937 in the Core Number field, and 01A1 in the Suffix field.
For a New application, the agency ID will normally be left blank until after the proposal has been submitted to the sponsor and the sponsor has returned an acknowledgment of receipt. If the sponsor acknowledgment includes an agency ID, the Pre-Award Office will enter the agency ID.

For a Renewal, Resubmission or Supplemental application, the agency ID of the proposal being renewed, revised, or supplemented should be entered. Once the sponsor has sent back an acknowledgment noting the new agency ID, the Pre-Award Office will replace the existing agency ID with the new agency ID.

Some sponsors, such as NIH, have incorporated Just in Time and Modular Grant processing for proposal submission to reduce the paperwork required for an NIH grant application without compromising the initial determination of scientific merit or reasonableness of the proposed budget. Please see the NIH Modular Research Grant Applications Page for more information on Modular Grants.

Program Project Grant Note: All Sponsor information on Mini proposals is inherited from the Composite proposal.

Fields & Buttons

Sponsor: Enter all or part of the sponsor's name or acronym to initiate a Sponsor search (see Procedures below). If a non-standard sponsor is entered, you will receive a warning upon completion indicating that you need to send documentation to the Pre-Award Office before the proposal can be advanced to a state of Awaiting Submission. The sponsor name specified here will print in the For Consideration by NSF Organizational Unit(s) field on the NSF Cover Sheet if a Sponsor program has not been entered. If blank, you will receive an error upon save.

Is the proposal in response to a Sponsor program? Indicate whether or not the proposal is in response to a standard sponsor program.

If yes, please specify the program: Enter all or part of the program name to initiate a Program search (see Procedures below). The program name specified here will print in the For Consideration by NSF Organizational Unit(s) field on the NSF Cover Sheet. It will print in the Response to Specific Request for Applications or Program Announcements area of the PHS 398 Cover Sheet if the specific solicitation or program announcement question is marked No. This field is enabled when you answer Yes to the question about the proposal being in response to a Sponsor program; if left blank, you will receive an error upon save.

NIH Note: If this is a Research Career Award or an Institutional Training Grant, you must enter the corresponding program in this field; otherwise the appropriate NIH replacement pages will not be generated as a part of the PHS 398 forms packet. Additionally, this will ensure that the correct program will print in Box 2 of the PHS 398 Face Page.

Agency Due Date: Enter the date by which the application must be received by the sponsor. Alternatively, you can enter the desired proposal submission date, if an agency due date is not applicable. The date
<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission Date</td>
<td>Displays the submission date that was entered on the Submission Information screen at time of submission, or that was entered on the Submission Date Update screen.</td>
</tr>
<tr>
<td>Agency ID</td>
<td>Enter the beginning, core, and last part of the proposal identifier assigned by the sponsoring agency (see <strong>Purpose</strong> above). For Renewal, Supplemental, or Resubmission applications, you will receive a warning upon completion if this field is left blank.</td>
</tr>
<tr>
<td>Review Group</td>
<td>Enter the review group assigned by the sponsoring agency.</td>
</tr>
<tr>
<td>Is the proposal in response to a specific solicitation or a program announcement?</td>
<td>Indicate whether or not the proposal is being submitted in response to either a specific solicitation or a program announcement.</td>
</tr>
<tr>
<td>Title</td>
<td>Enter the title of the solicitation or program announcement. The title entered here will print in the Response to Specific Request for Applications or Program Announcements area of the PHS 398 Cover Sheet; it does not print on the NSF forms. This field is enabled when you answer Yes to the question about the proposal being submitted in response to a specific solicitation or program announcement; if left blank, you will receive an error upon completion.</td>
</tr>
<tr>
<td>Solicitation #</td>
<td>Enter the number of the solicitation or program announcement. The number entered here will print in the Program Announcement/Solicitation No. field of the NSF Cover Sheet, and in the Response to Specific Request for Applications or Program Announcements area of the PHS 398 Cover Sheet. This field is enabled when you answer Yes to the question about the proposal being submitted in response to a specific solicitation or program announcement; if left blank, you will receive an error upon completion.</td>
</tr>
<tr>
<td>CFDA #</td>
<td>Displays the Catalog of Federal Domestic Assistance number that is applicable to this program, if one is indicated by the Standard Reference Data. Enter the number if this proposal is for a non-standard program, a specific solicitation, or a program announcement.</td>
</tr>
<tr>
<td>Will this proposal use the Modular Grant application format?</td>
<td>Indicate whether or not this proposal will use the Modular Grant format. Selecting Yes to this question will enable special Modular Grant...</td>
</tr>
</tbody>
</table>
validations, the Modular Grant Offset screen, the ability to print using Modular Grant printing rules.

Will this proposal use "Just In Time Processing?"

Indicate whether or not this proposal is subject to Just In Time processing. Selecting Yes to this question will enable you to print using JIT processing rules.

Is this proposal subject to expedited processing (e.g., SNAP)?

Indicate whether or not this proposal is subject to SNAP processing. Selecting Yes to this question will enable SNAP validations and will enable you to print using SNAP rules. This field is only enabled for Non-competing Renewals.

Is this proposal being submitted to another Federal Agency?

Indicate whether or not the application is being submitted to additional Federal Agencies.

If yes, specify each agency by their acronym

Enter the acronyms of all other Federal Agencies to which this proposal is being submitted. This field is enabled when you answer Yes to the question about the application being submitted to additional Federal Agencies. This information prints on the NSF Cover Sheet.

Opens the Sponsor Profile Detail screen, which displays information about the sponsor and/or program, including its name and submission information.

Save

Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.

Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Procedures

To initiate a Sponsor search:

1. Enter all or part of the sponsor's name or acronym into the Sponsor field.
2. Press Tab. SPS will open the Organization Selection screen and display a list of items that include the entered string. If no matches exist, SPS will bring up a dialog box informing you that no matches were found before opening the Organization Selection screen.
3. Highlight the appropriate sponsor, or press the Add Other button to enter a sponsor name that is not listed.
4. Press the Select button. The name will be displayed in the Sponsor field.

To initiate a Program search:

1. Enter all or part of the program name into the Program field.
2. Press Tab. SPS will open the Program Selection screen and display a list of programs associated with the entered sponsor that include the entered string. If no matches exist, SPS will bring up a dialog box informing you that no matches were found before opening the Program Selection screen.
3. Highlight the appropriate program, or press the Add Other button to enter a program name that is not listed.

4. Press the Select button. The name will be displayed in the Program field.

**Please note:** For the Sponsor and Program searches, SPS appends wildcards to the beginning and end of your entry. If SPS finds only a single match for the entered string, it will automatically return the corresponding information and will not open up a Selection screen. If you wish to see a list of all items set up in SPS for that type of search, you can enter a percent sign into the field. Additionally, if a non-standard sponsor has been entered in the Sponsor field, a Program search will not be initiated. You can simply enter the name of the program directly into the Program field.

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**Example of Main Notebook – Sponsor Page**

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**Main Notebook--Admin Page**

**Purpose**

To enter administrative information about the proposal, such as the Co-PIs and the project period dates. The Owning Duke Org field is automatically set to the PI's Duke Org. However, in a case where a Duke Org other than the PI's Duke Org owns the proposal, you would want to modify the entry. For example, if the funds were to be owned by the Comprehensive Cancer Center, you would want to change the Owning Duke Org to the Comprehensive Cancer Center. This page is part of the Main/Admin section.

Although NIH does not accept a project role of Co-PI, you can enter a faculty member as such on this page. Then change their Project Role on the Roster Page to Co-investigator so that it prints on the NIH application instead of Co-PI.
**Program Project Grant Note:** Do not add faculty members as Co-PIs on the Composite proposal unless you need them for NSF printing purposes. Information for the Key Personnel list will be compiled from the Mini proposals. For Mini proposals, the Project and Current Budget Period dates are inherited from the Composite proposal.

**Fields & Buttons**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Full Title</td>
<td>Enter the full title of the proposal. The default value is taken for the Short Title field of the Main page, but can be modified as necessary. This title will be printed on any sponsor forms that do not impose a character limitation, such as the NSF Cover Sheet.</td>
</tr>
</tbody>
</table>

**Co-PI Information**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Name</td>
<td>Enter all or part of the Co-PI's last name to initiate a person search (see Procedures below). If a row has been added to this dataset, you will receive an error upon save if this field is left blank.</td>
</tr>
<tr>
<td>First Name</td>
<td>Displays the Co-PI's first and middle names.</td>
</tr>
<tr>
<td>Duke Org</td>
<td>Displays the name of the Duke Org responsible for approving the Co-PI's participation in the research. The default is the primary appointment defined in the Person table. However, if this person has a non-primary appointment in another Duke Org, you can press the Person Details button on this page to change the Duke Org.</td>
</tr>
</tbody>
</table>

**Project Period**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Date</td>
<td>Enter the start date of the proposed period of support. If this field is left blank, you will receive an error upon save.</td>
</tr>
<tr>
<td>End Date</td>
<td>Enter the end date of the proposed period of support. If this field is left blank, you will receive an error upon save.</td>
</tr>
</tbody>
</table>

**Current Budget Period**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Date</td>
<td>Enter the proposed start date of the current budget period. If blank, you will receive an error upon save.</td>
</tr>
<tr>
<td>End Date</td>
<td>Enter the proposed end date of the current budget period. If blank, you will receive an error upon save.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owning Duke Org</td>
<td>Enter all or part of the Duke Org who owns the proposal to initiate a Duke Org search (see Procedures below). The default is the Duke Org of the PI entered on the Main page; however, this field can be modified.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PHS 398/2590 Face Page Organization (Box)</td>
<td>Used for NIH ranking purposes only. Select the...</td>
</tr>
</tbody>
</table>


3e/2c) description that you wish to have printed in Box 3e (Department, Service, Laboratory or Equivalent) on the PHS 398 Face Page or Box 2c on the PHS 2590 Face Page.

**Note:** The drop down will contain entries for the PI's primary appointment, as well as for the Owning Duke Org. If the work is being done for a secondary appointment, the drop down will also contain an entry for the secondary appointment.

**Insert Row** inserts a blank row into which information about a Co-PI can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the dataset.

**Delete Row** deletes the selected row from the Co-PI Information Area.

**Person Details...** opens the Personnel Profile Detail screen which displays detailed information about the selected Co-PI, including their Duke Org, title, SSN, and contact information. On this screen, certain fields can be modified for this specific proposal. See Personnel Profile Detail Screen for more information.

**Save** saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.

**Close** closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

**Procedures**

**To initiate a Co-PI search:**

1. Press the Insert Row button.
2. Enter all or part of the person's last name into the Last Name field.
3. Press Tab. SPS will open the Person Selection screen and display a list of names that begin with the entered string. Only those persons who have faculty or special PI status will have their names displayed in this list.
4. Select the appropriate name. The person's name and primary Duke Org will be displayed in the Co-PI Information Area.

Please note: For the Co-PI search, SPS appends a wildcard only to the end of your entry. For example, entering michael would return Michaels but not McMichael.

**To initiate a Duke Org search:**

1. Enter all or part of the Owning Duke Org into the Owning Duke Org field.
2. Press Tab. SPS will open the Duke Org Selection screen and display a list of items that include the entered string.


Please note: For the Duke Org Search, SPS appends a wildcard to both the beginning and end of your entry. If you are having difficulty finding the correct Duke Org, try broadening your search. For example, just type the word cancer and then press the Tab key. SPS will append wildcards to the beginning and end of your entry and return any matches (e.g., Comprehensive Cancer Ctr).

If SPS finds only a single match for the entered string, it will automatically return the information and will not open up a Selection screen. If you wish to see a list of all items set up in SPS for that type of search, you can enter a percent sign into the field.

Example of Main Notebook – Admin Page

Main Notebook--Activity Page

Purpose
To enter information regarding proposal activity. Many of these questions are either Campus or Medical Center specific; however, please review all of the questions on this page to make sure you have responded appropriately. This page is part of the Main/Admin section.

Program Project Grant Note: The default Activity Type for Composite proposals is Research, but you can select a different Activity Type as appropriate. The Activity Type for Mini proposals is inherited from the Composite proposal.
Fields & Buttons
Proposal Activity

Indicate the type of activity involved in the proposal:

- Research
- Fellowship
- Institutional Training Program
- Clinical Trial
- Public Service
- Institutional Support
- Construction/Renovation
- Equipment
- Conference

It is important to select the appropriate activity because this information is used throughout SPS; for example, the default Indirect Cost Rate used in the Budget Notebook will be determined partly by the activity type chosen here. If no selection is made, you will receive an error upon save.

Does your proposed research include a Clinical Trial?

Indicate whether or not the proposed research includes a Clinical Trial. If the Activity Type is set to Clinical Trial and you have answered No to this question, you will receive an error upon Save. If left blank, you will receive an error upon completion.

Clinical Trial Phase(s)

Indicate the appropriate Clinical Trial Phases. This check box will be enabled whenever the Clinical Trial question is set to Yes. If Phase III is checked, the 'Yes' box in Item 4d of the PHS 398 Face Page and Item 6c of the PHS 2590 Face Page will be checked.

Does the study involve the use of a CRO?

Indicate whether or not a Contract Research Organization will be involved in the study. This question would normally only apply to a Clinical Trial.

If yes, please specify the CRO

Enter all or part of the name of the Contract Research Organization to initiate a search (see Procedures below). If a non-standard CRO is entered, you will receive a warning upon completion indicating that you need to send documentation to the Pre-Award Office before the proposal can be advance to a state of Awaiting Submission. This field is enabled when you answer Yes to the question about the study involving the use of a CRO; if left blank, you will receive an error upon completion.

This research predominantly involves the use of:

Wet Lab (Bench Research) or Dry Lab (Computer, Data Analysis, Clinical Research)

Select Wet Lab research if the research involves the use of microscopes, lab benches, piped gases, cold rooms, centrifuges, and other typical lab equipment. Select Dry Lab if the research involves outcome studies, clinical trials,
epidemiological studies, and research using computers to process large amounts of research results. This field will be enabled whenever the proposal activity is Research, Clinical Trial, Fellowship or Institutional Training Grant. If left blank when enabled, you will receive an error upon completion.

**Note:** For Institutional Training Grants, you can indicate that the research includes both wet lab and dry lab research.

**Program Project Grant Note:** The indication of wet lab or dry lab research usage is entered for each associated mini proposal, rather than being entered at the composite level.

Will space, services, and/or procedures from other departments be used? Indicate whether or not space, services, or procedures from other departments will be used in the research.

If yes, please specify Describe any space, services, or procedures from other departments that will be used in the research. This field is enabled when you answer Yes to the question about space, services, or procedures from other departments being used in the research; if left blank, you will receive a warning upon completion.

Will a new degree program or curriculum be developed? Indicate whether or not a new degree program or curriculum will result from this proposal.

Will the use of Summer University Housing be required? Indicate whether or not this proposal requires the use of summer university housing.

Will any part of the project take place in the Duke Forest? Indicate whether or not any part of the project work will take place in the Duke Forest.

Will this proposal have any international aspect requiring large scale or multi-unit efforts? Indicate whether or not this proposal involves any international aspects requiring large scale or multi-unit efforts.

**Procedures**

**To initiate a CRO search:**

1. Enter all or part of the CRO’s name or acronym into the CRO Name field.
2. Press Tab. SPS will open the Organization Selection screen and display a list of items that include the entered string. If no matches exist, SPS will bring up a dialog box informing you that no matches were found before opening the Organization Selection screen.
3. Highlight the appropriate organization, or press the Add Other button to enter an organization name that is not listed.

Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.

Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
4. Press the Select button. The name will be displayed in the CRO Name field.

**Please note:** If SPS finds only a single match for the entered string, it will automatically return the information and *will not* open up a Selection screen. If you wish to see a list of all items set up in SPS for that type of search, you can enter a percent sign into the field.

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**Main Notebook--Sponsor Materials Page**

**Purpose**

To enter information regarding sponsor materials used in the study. These questions would normally apply to a Clinical Trial, but may need to be answered for other activity types as well. This page is part of the Main/Admin section.

**Fields & Buttons**

- **Sponsor Provided Materials**
  
  Describe any materials, equipment, drugs or devices, provided by the sponsor.

- **Sponsor Rights**
  
  Specify who will own the equipment at the end of the award, if the sponsor provides equipment.

- **Save**
  
  Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.
Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Example of Main Notebook – Sponsor Materials Page

Main Notebook--Renewal Page

Purpose
To enter required information for Renewals about inventions and patents as well as changes in the use of human subjects and/or the use of vertebrate animals. The Inventions and Patents information prints on the NIH Checklist. The response to the changes in human subjects and vertebrate animals questions print on the PHS 2590 Progress Report Summary page. This page appears for Competing Renewals and Non-competing Renewals only.

Fields & Buttons
Inventions or Patents Indicator Indicate whether or not any patents or inventions were conceived or reduced to practice during the course of work under this project. This field appears for both Competing and Non-competing Renewals.

Report of Information Indicator Indicate whether or not this information has been previously reported to the Office of Science & Technology at Duke or to the sponsor; enabled when you answer Yes to the question about
patents or inventions being conceived or reduced to practice during the project.

Change in Use of Human Subjects Indicator
Indicate whether or not the use of human subjects has changed since the submission of the previous proposal. This field appears only for Non-competing Renewals.

Change in Use of Vertebrate Animals Indicator
Indicate whether or not the use of vertebrate animals has changed since the submission of the previous proposal. This field appears only for Non-competing Renewals.

Save
Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.

Close
Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Competing Renewal and Non-Competing Renewal Example

Example of Main Notebook – Competing Renewal Page
Main Notebook--Summary of Work Page

Purpose
To describe the proposed work. The Summary of Work is also called the Abstract. This page comprises the Summary of Work section.

Renewals Note: For Non-competing Renewals, the Summary of Work page is replaced by the Progress Report page.

Fields & Buttons
Summary of Work
Enter a short description of the proposed work, including your broad, long-term objectives, as well as specific aims. Please see About Rich Text for information regarding formatting. This field prints in the Description area of the PHS 398 form, and in the Project Summary area of the NSF form. This field is required for New Proposals and Competing Renewals; if blank, you will receive an error upon completion.

Save
Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.

Close
Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
**Personnel Roster Notebook--Roster Page**

**Purpose**
To enter information about project personnel. The list of personnel should include both named and To Be Determined (TBD) Duke personnel, as well as any subcontractors who will be involved in the work and any consultants who are either key or other significant contributors. This page is part of the Roster section.

**Please note:** The PI and the Fellow, Resident or Graduate Assistant entered on the Main page of the Main Notebook, as well as any Co-PIs entered on the Admin page of the Main Notebook, will be automatically listed on the Duke Personnel Roster.

NIH does not accept a project role of Co-PI. If a faculty member would like to be noted as a Co-PI, enter them as such on the Admin page of the Main Notebook, then change their Project Role on the Roster Page to Co-investigator so that it prints on the NIH application instead of Co-PI.

If fellows are participating in the research as part of another person's proposal, as opposed to them submitting the proposal in their own name, then that fellow's name should be entered in the Duke Personnel roster directly rather than being added to the Fellow area in the Main Notebook.

Any non-Duke personnel (i.e., subcontractors or consultants) whose names you would like to print in the Key Personnel or Other Significant Contributor areas of the sponsor forms should be entered in the Subcontractor Roster. Please see help on the Subcontractor Detail screen for more information regarding requesting costs for subcontractors and consultants.
**Program Project Grant Note:** You cannot add Duke personnel or consultants to the Composite proposal; instead information will be compiled for the Key Personnel and Other Significant Contributor lists from the personnel rosters of the Mini proposals.

Subcontractors added to a Composite proposal must not be associated with any mini proposal, rather, they make up a component project in their own right.

**Fields & Buttons**

**Duke Personnel Roster**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Last Name</strong></td>
<td>Enter all or part of the person's last name to initiate a person search (see Procedures below). If a row has been added to this dataset, you will receive an error upon save if this field is left blank. If entering information for a To Be Determined person, simply enter TBD; SPS will not initiate a person search. Multiple rows of TBD information can be entered.</td>
</tr>
<tr>
<td><strong>First Name</strong></td>
<td>Displays the person's first and middle names.</td>
</tr>
<tr>
<td><strong>Duke Org</strong></td>
<td>Displays the name of the Duke Org responsible for approving the person's participation in the research. The default is the primary appointment defined in the Person table; however, other Duke Orgs will be available for selection if this person has been entered as having a non-primary appointment in another Duke Org in the Duke Org Profile.</td>
</tr>
<tr>
<td><strong>Key</strong></td>
<td>Check if the person is key to the project. The default for the PI, PI-Fellow, and Co-PIs is checked, and in these cases, this field cannot be modified. All persons who are indicated as being key personnel will print as such on Form Page 2-continued of the PHS 398.</td>
</tr>
<tr>
<td><strong>OSC</strong></td>
<td>Check if the person is contributing to the scientific development or execution of the project but is not committing to any specified measurable effort. All persons who are indicated as being other significant contributors will print as such on Form Page 2-continued of the PHS 398.</td>
</tr>
<tr>
<td><strong>VA</strong></td>
<td>Check if the person has a joint appointment with Duke and the Veterans Administration. When checked the VA Appointment Matrix on the VA Appt page becomes enabled for that person. If you uncheck this box, you will delete the VA Appointment Matrix for that person.</td>
</tr>
<tr>
<td><strong>Project Role</strong></td>
<td>Select the role that the person will play on the project. This role is not necessarily the same as their position title. The PI, PI-Fellow, or any Co-PIs that were included from the Main Notebook will automatically be assigned to the corresponding project role; however, you can modify the project role as necessary (see above). You cannot assign a project role of PI, PI-Fellow, or Co-PI to people who were not included in the</td>
</tr>
<tr>
<td>Field</td>
<td>Description</td>
</tr>
<tr>
<td>-----------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>PI/Co-PI Role</td>
<td>Displays PI, PI-Fellow, or Co-PI to indicate that these people were added as such in the Main Notebook. This field cannot be modified.</td>
</tr>
<tr>
<td>Non-Duke Roster</td>
<td>Enter the subcontractor or consultant's full last name. Please note that these individuals are not included in the Person Profile and no search will be initiated when you leave the field.</td>
</tr>
<tr>
<td>Last Name</td>
<td>Enter the subcontractor or consultant's full last name. Please note that these individuals are not included in the Person Profile and no search will be initiated when you leave the field.</td>
</tr>
<tr>
<td>Type</td>
<td>Select 'Subcon' if this person is a Subcontractor or 'Consult' if this person is a Consultant who is either key or an other significant contributor.</td>
</tr>
<tr>
<td>First Name</td>
<td>Enter the subcontractor's first name.</td>
</tr>
<tr>
<td>Organization</td>
<td>Enter all or part of the name of the subcontracting or consulting organization or institution name to initiate a search (see Procedures below).</td>
</tr>
<tr>
<td>Key</td>
<td>Check if the person is key to the project. If the Type is set to 'Subcon' and this box is not checked, you will receive an error upon save (as subcontractors should always be key).</td>
</tr>
<tr>
<td>OSC</td>
<td>Check if the person is contributing to the scientific development or execution of the project but is not committing to any specified measurable effort. If the Type is set to 'Consult' and neither this box nor the Key box are checked, you will receive an error upon save.</td>
</tr>
<tr>
<td>Project Role</td>
<td>Select the role that the subcontractor will play on the project. Usually the role should be Subcontractor PI.</td>
</tr>
<tr>
<td>Date of Birth</td>
<td>Enter the subcontractor's date of birth (Non-competing Renewals only).</td>
</tr>
<tr>
<td>Project/Core Name</td>
<td>Enter the project or core name of the subcontractor (PPG Composite Proposals only).</td>
</tr>
</tbody>
</table>

Insert Row

Opens a blank row into the dataset above the button, in which the person's name and information can be entered. If you have first selected an existing row, the new row will be
added immediately below it; otherwise, the new row will be added to the bottom of the dataset.

Deletes the selected row from the dataset above the button. You cannot use this button to delete the rows that were added for the PI, PI-Fellow, or any Co-PIs; these persons must be deleted in the Main Notebook.

Opens the Personnel Profile Detail screen, which displays detailed information about the selected named Duke person, including their Duke Org, title, Duke ID, and contact information. On this screen, certain fields can be modified for this specific proposal. See the Personnel Profile Detail Screen for more information. This button is disabled for TBD's.

Saves all of the information contained in the Personnel Roster Notebook and leaves the notebook open for further changes.

Closes the Personnel Roster Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Procedures

To initiate a person search:

1. Enter all or part of the person's last name into the Last Name field.
2. Press Tab. SPS will open the Person Selection screen and display a list of names that begin with the entered string. If searching for a PI, only those persons who have faculty or special PI status will have their names displayed in this list.
3. Select the appropriate name. The person's information will be displayed in the appropriate area.

To initiate an organization search:

1. Enter all or part of the organization's name or acronym into the Subcontract Org field.
2. Press Tab. SPS will open the Organization Selection screen and display a list of items that include the entered string. If no matches exist, SPS will bring up a dialog box informing you that no matches were found before opening the Organization Selection screen.
3. Highlight the appropriate organization, or press the Add Other button to enter an organization name that is not listed.
4. Select the appropriate organization. The name will be displayed in the Subcontract Org field.

Please note: For the PI search, SPS appends a wildcard only to the end of your entry. For example, entering michael would return Michaels but not McMichael. For an organization search, SPS appends a wildcard to the beginning and end of your entry. For example, entering Alabama would return Alabama Quality Assurance Foundation or University of Alabama.

If SPS finds only a single match for the entered string, it will automatically return the information and will not open up a Selection screen. If you wish to see a list of all items set up in SPS, you can enter a percent sign into the field.
Purpose
To enter information about a person's current funding as well as any pending funding. Each key person listed on the Personnel Roster table should have Other Support information included on the proposal, unless the proposal is subject to Just In Time or Modular Grant rules, or if it is an Institutional Training Program. This page consists of a Personnel Roster table for selecting the person and a Current and Pending Support area for entering a textual description about the selected person's current and pending support. This page comprises the Other Support section.

Please note: Although SPS will not require you to enter Other Support in Phase I, please note that NIH requires Other Support (refer to funding opportunity guidance to determine when Other Support is required) for all key personnel, including the PI. Other support includes both active and pending support. If a key person has no active or pending support, 'None' must be entered in this field.

NIH has a suggested format for this page. Please select the PHS 398 link from the NIH web site and then navigate to the link on Other Support for more information.

Program Project Grant Note: On Composite proposals, you can only add Other Support information for Subcontractors. Any Other Support information for the PPD should be entered on the Mini proposal on which they are identified.

Fields & Buttons
Personnel Roster Table
Displays information about each person listed on the Roster page, including their name, their type (i.e., Duke, subcontractor or consultant), their organization, their key person, other significant contributor (OSC) and VA appointment.
designations and their project role. Select a person to view and modify the current and pending support for that person.

Enter the current and pending support for each key person

Enter the current and pending funding for the selected person. For NIH, also include a brief description of the major goals for each project, any potential overlap, and any adjustments that will be made if the proposal is funded. Please see About Rich Text for information regarding formatting.

Saves all of the information contained in the Personnel Roster Notebook and leaves the notebook open for further changes.

Closes the Personnel Roster Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Personnel Roster Notebook--Workload Page

Purpose
To display the workload assignment information entered on the Salary Worksheet page of the Budget notebook, including the percent of effort and number of person months. This page consists of a Personnel Roster table for selecting the person, and a Workload area. This page is part of the Roster section. The Workload Assignment information is displayed here so that departmental reviewers in areas other than the owning Duke Org and the PI's Duke Org can review and approve the expected workload for personnel in their Duke Org without being given access to confidential salary information.

Please Note: If a departmental administrator or chair clicks on a person who belongs to their area, they will see the salary information that has been entered for that person on the Salary Worksheet page. If they click on a person who does not belong to their area, then no Salary information will be displayed. It is important to note that department administrators and chairs will only be able to view Salary information on the Workload page if they have been given the rights to do so in their SPS User record. Please see How do I create a new SPS user with departmental access? for information on how to assign such rights.

Program Project Grant Note: This page is not displayed for Composite proposals.

Fields & Buttons
Personnel Roster Table Displays information about each Duke person listed on the Roster page, including their name, their type (i.e., Duke), their Duke Org, their key person, other significant contributor and VA appointment designations and their project role. Select a person to view the workload for that person.

Workload
Period Displays the budget period for which this row of workload assignment information applies.
Effort Start Date Displays the date on which this assignment begins.
Effort End Date Displays the date on which this assignment ends.
% Effort Displays the percent of effort to be spent on the proposed project for this assignment.
Person Months Displays the person-months to be worked for this assignment, rounded to the nearest hundredth of a month. The person-months are calculated by taking the number of months defined by the Effort Start and End Dates, and multiplying by the % Effort.

Appt. Type Displays the type of appointment for which salary support is requested for this specific assignment line. For example, an academic appointment is considered to be a 9-month appointment. A calendar appointment is considered to be a 12-month appointment. A summer appointment is one for which the PI is requesting a summer supplement. Summer supplements are only valid for faculty having academic appointments.

Cost Sharing Displays a checked box if this assignment line is cost-shared; displays an unchecked box if this assignment row is not cost-shared.
<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Salary</td>
<td>Displays the entered base salary for the selected individual. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
<tr>
<td>&gt;</td>
<td>Displays an &quot;O&quot; if Prj. Salary was modified, to indicate that the default value was overridden. Otherwise, this field is blank. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
<tr>
<td>Prj. Salary</td>
<td>Displays the calculated projected salary for the appointment type. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
<tr>
<td>&gt;</td>
<td>Displays an &quot;O&quot; if F/B% was modified, to indicate that the default value was overridden. Otherwise, this field is blank. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
<tr>
<td>F/B%</td>
<td>Displays the applicable pro-rated fringe benefit rate based on whether the individual is exempt, monthly, bi-weekly or house staff. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
<tr>
<td>F/B Amount</td>
<td>Displays the calculated fringe benefit amount. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
<tr>
<td>Total Salary/FB</td>
<td>Displays the sum of the Prj. Salary and the F/B Amount. This column is only visible to the department administrator and/or chair of the area to which the selected individual belongs. It will not be displayed for any other user.</td>
</tr>
</tbody>
</table>

**Buttons**

- **Save**
  - Saves all of the information contained in the Personnel Roster Notebook and leaves the notebook open for further changes.

- **Close**
  - Closes the Personnel Roster Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Facilities Notebook--Sites/Facilities Page

Purpose
To enter information about the performance sites and facilities which will be used to perform the research. This page is part of the Sites/Facilities section.

The Location and % Used fields indicated in the Performance Sites dataset at the top of the page will be used to determine the applicable Duke Indirect Cost Rate on the Rules page of the Budget Notebook. When multiple locations have been indicated here, the location with the greatest percentage of use will be used to determine the Indirect Cost Rate.

The Facilities dataset at the bottom of the page should only be used if the research will be performed in a facility that requires approval for its use. When a Facility Name is selected, the person responsible for approving research in that facility will either be automatically included in the routing chain or will be included in the signature area of the DPAF. You must include all facilities requiring approval in this dataset before declaring the proposal Complete.

Program Project Grant Note: All performance sites entered on the Mini proposal(s) should also be entered on the Composite proposal. Otherwise, they will not be included in the Composite’s list of performance sites for NIH printing purposes. Facility approval information, on the other hand, is not entered on Composite proposals; rather, this information should be entered on the individual Mini proposals.

Fields & Buttons
Performance Site
Name  Enter the name of the performance site where
the planned research will be conducted. The
default for the first row is Duke University, but
can be modified. If blank, you will receive an
error upon save.

<table>
<thead>
<tr>
<th>City</th>
<th>Enter the city of the performance site. The default for the first row is Durham, but can be modified. If blank, you will receive an error upon save.</th>
</tr>
</thead>
<tbody>
<tr>
<td>State</td>
<td>Enter the state of the performance site. The default for the first row is NC, but can be modified.</td>
</tr>
<tr>
<td>Country</td>
<td>Enter the country of the performance site. The default is US, but the field can be modified. If blank, you will receive an error.</td>
</tr>
<tr>
<td>Location</td>
<td>Select whether the work is being done at a location off-campus but less than 50 miles away, at a location off-campus and more than 50 miles away, on-campus, or at a special facility such as the Phytotron Building or a research vessel. The default is on-campus, but can be modified.</td>
</tr>
<tr>
<td>% Used</td>
<td>Enter the percentage of use for this performance site. The default for the first row is 100.00%, but can be modified.</td>
</tr>
</tbody>
</table>

**Facilities Requiring Approval**

<table>
<thead>
<tr>
<th>Facility Name</th>
<th>Select the name of the facility where the research will be performed, if the facility that will be used for the research requires approval. If you enter a row into this dataset, you must select a Facility Name or you will receive an error upon save.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building</td>
<td>Enter the name of the building where the research will be performed.</td>
</tr>
<tr>
<td>Room</td>
<td>Enter the room number where the research will be performed.</td>
</tr>
</tbody>
</table>

**Insert Row**

Inserts a blank row in the dataset above the button. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the dataset.

**Delete Row**

Deletes the selected row in the dataset above the button. This button remains disabled until you have selected a row in the dataset. Please note that you must always have at least one row of Performance Site information; therefore, if only one row exists, the Delete Row button for that dataset will not enable.

**Save**

Saves all of the information contained in the Facilities Notebook and leaves the notebook open for further changes.
Closes the Facilities Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

**Facilities Notebook--Facilities Description Page**

**Purpose**
To enter descriptive information about the facilities which will be used to perform the research. This page is part of the Facilities Description section.

Categories to be included in the facilities description for NIH include Laboratory, Clinical, Animal, Computer, Office, Other, and Major Equipment. NSF uses the same categories as NIH, but also includes an Other Resources section. Please use the Facilities, Equipment, and Other Resources Description text.
box for entry of all this information. If you want the category headers to appear on the printed form, the headers should be entered in the body of the textual description.

**Program Project Grant Note:** This page is not available on Composite proposals; rather, the facilities description should be entered on the individual Mini proposals.

**Non-Competing Renewals Note:** This page does not appear for Non-competing Renewals of any type.

### Fields & Buttons

**Facilities, Equipment, and Other Resources Description**

Enter a description of the facilities to be used for the proposed research, the most important equipment already available, and any other resources or services that are available for this project. Be sure to include any category headers that you would like to appear on the printed form. Please see [About Rich Text](#) for information regarding formatting.

Saves all of the information contained in the Facilities Notebook and leaves the notebook open for further changes.

Closes the Facilities Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

---

**Example of Facilities Notebook - Facilities Description Page**
### Budget Notebook--Rules Page

#### Purpose

To define the specific budget periods for which money is requested, the indirect cost rate and base to be used in calculating indirect costs for each budget period, and the personnel and operations inflators to be used in calculating budget amounts for future years. Much of this information will be retrieved from Standard Reference Data and used to facilitate the budget building process. This page is part of the Budget section.

The Period Definition dataset will be used to determine how many budget periods to include in the proposal budget. SPS will automatically generate budget periods based on the dates entered on the Admin page of the Main Notebook; however, you can modify these budget periods as needed.

The columns that have a "->" as the heading are Override columns. Override columns appear in front of those columns that can have their values overridden. When such a field is modified, an "O" appears in the Override column as a visual cue to the reviewers to let them know that the field has been changed. If the IDC rate is overridden, you should enter an explanation in the Indirect Cost Waiver text box at the bottom of the screen. If either of the Inflators are overridden, you must enter an explanation on the Budget Notes screen. You can access the Budget Notes screen by selecting Create Notes or Show Notes from the Actions menu at the top of the screen.

Please note: The Indirect Cost Information area in the middle of the page is for display purposes only and cannot be modified. The data shown there is taken from Standard Reference Data. If you need to change the Indirect Cost Base or Rate for a budget period, you must do so in the Period Definition dataset at the top of the page.

**Program Project Grant Note:** The Period Definitions on Mini proposals are inherited from the Composite, but may be modified.

#### Fields & Buttons

**Period Definition**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Period</td>
<td>Displays the system-generated budget period number.</td>
</tr>
<tr>
<td>Start Date</td>
<td>Displays the Budget Period Start Date based on the dates entered on the Admin page of the Main Notebook but can be modified. If the entered date does not fall within the Project Period Start and End Dates entered on the Admin Page of the Main Notebook, you will receive an error upon completion.</td>
</tr>
<tr>
<td>End Date</td>
<td>Displays the Budget Period End Date based on the dates entered on the Admin page of the Main Notebook but can be modified. If the entered date does not fall within the Project Period Start and End Dates, you will receive an error upon completion.</td>
</tr>
<tr>
<td>Period Name</td>
<td>Enter a textual description of the budget period. For example, you may want to refer to the first budget period as &quot;Year01&quot; if this proposal is New, or &quot;Year06&quot; if this proposal is a Renewal. The period name will print at the top of each budget page of the NSF forms.</td>
</tr>
<tr>
<td>&gt;</td>
<td>Displays an &quot;O&quot; if Prop IDC Rate is modified, to indicate that the default rate was overridden. Otherwise, this field will be blank.</td>
</tr>
<tr>
<td>Prop IDC Rate</td>
<td>Displays the Indirect Cost Rate to be used for</td>
</tr>
</tbody>
</table>
calculating indirect costs for this proposal. The default is the rate shown as the Sponsor IDC Rate in the Indirect Cost Information table in the middle of the screen. If that field is blank, then the default is the Duke rate shown in the Indirect Cost Information table. You can use a different Indirect Cost Rate on the proposal by modifying this field; if you do, then an explanation for the change should be entered in the text box at the bottom of this page.

> Displays an "O" if Prop IDC Base is modified, to indicate that the default base was overridden. Otherwise, this field will be blank.

Prop IDC Base
Displays the Indirect Cost Base to be used for calculating indirect costs for this proposal. The default is the base shown as the Sponsor IDC Base in the Indirect Cost Information table in the middle of the screen. If that field is blank, then the default is the Duke base shown in the Indirect Cost Information table. You can use a different Indirect Cost Base on the proposal by selecting a different base.

> Displays an "O" if Personnel Infl. is modified, to indicate that the default inflator was overridden. Otherwise, this field will be blank.

Personnel Infl.
Displays the percentage by which salaries and fringe benefits will be inflated for outlying years when the Inflate Sum Budget button is pressed on the Summary Budget page. This figure is retrieved from the Standard Reference Data based on the Start Date for the period, but can be modified. You can use a different Personnel Inflator on the proposal by modifying this field; if you do, then an explanation must be entered on the Budget Notes screen.

> Displays an "O" if Operations Infl. is modified, to indicate that the default inflator was overridden. Otherwise, this field will be blank.

Operations Infl.
Displays the percentage by which budget categories other than salary and fringe will be inflated for outlying years when the Inflate Sum Budget button is pressed on the Summary Budget page. This figure is retrieved from the Standard Reference Data based on the Start Date for the period. You can use a different Operations Inflator on the proposal by modifying this field; if you do, then an explanation must be entered on the Budget Notes screen.

Indirect Cost Information
Duke Displays the default indirect cost rate and base for Duke. These figures are retrieved from the Standard Reference Data based on the Proposal
Activity, Location of work, and Current Budget Period Start Date; if any of this information is unavailable, these fields will be left blank.

**Sponsor**

Displays the default indirect cost rate and base for the program or the sponsor. SPS will first attempt to retrieve the program's rate and base from the Program Profile, if a standard program was selected on the Sponsor page of the Main Notebook. SPS will attempt to retrieve the sponsor's rate and base from the Organization Profile, if the rate field on the Program Profile is blank, if a non-standard program was selected on the Sponsor page, or if a program was not entered on the Sponsor page. If the rate is blank on both the Program and Organization Profile, these fields will be left blank.

**Internal Use Only - Please justify if you plan to use an indirect cost rate with differs from the Sponsor rate (or from the Duke rate, if Sponsor rate is blank)**

Enter an explanation of why a non-standard indirect cost rate is being used on this proposal. This field is used for internal review purposes only; it will not print on any of the sponsor forms. If this field is blank when the Prop IDC Rate listed in the Period Definition table differs from that listed in the Indirect Cost Information table, you will receive a warning upon save.

**Insert Row**

Opens a blank row into which information about a budget period can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the dataset.

**Delete Row**

Deletes the selected row of budget period information. You must always have at least one budget period; therefore, if only one row exists in the dataset, the Delete Row button will be disabled.

**Save**

Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

**Close**

Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
**Budget Notebook--Rules II Page**

**Purpose**
To display program-specific or sponsor-specific information, including whether or not the sponsor requires cost sharing. The Sponsor Allowed Maximums and Cost-Share Requirement amounts are used in the validations that are run when the Budget Notebook is completed. This page is part of the Budget section.

**Program Project Grant Note:** The Sponsor Allowed Maximums on a Mini proposal are inherited from the Composite. The Cost Sharing indicator will be disabled on Mini proposals if the indicator is set to No on the Composite.

**Fields & Buttons**

**Sponsor Allowed Maximums**
- **Period Maximum**
  - Displays the maximum dollar amount for direct, indirect, and total costs which the sponsor or
program will fund for a single budget period. If these figures are retrieved from the Standard Reference Data, then they cannot be modified; however, if no data is retrieved, then you can enter the period maximums.

**Project Maximum**
Displays the maximum dollar amount for direct, indirect, and total costs for all periods for which funding is requested. If these figures are retrieved from the Standard Reference Data, then they cannot be modified; however, if no data is retrieved, then you can enter the project maximums.

**Mini Project Maximum Direct Costs**
Displays the maximum direct costs for this Core, as indicated on the Mini Proposals screen. This field is only displayed on Mini proposals.

**Does the sponsor require cost sharing?**
Indicate whether or not the program or sponsor requires Duke to absorb a percentage of the total project costs. The default value of this indicator will be Yes if Cost-Sharing is indicated for the sponsor in the Standard Reference Data. Selecting Yes for this question enables Cost Sharing related fields throughout the Budget Notebook. If cost share amounts exist on the Summary Budget page, you will be prompted to delete those amounts before selecting No.

**If yes, enter the cost sharing requirement**
Displays the percentage of total costs that the program or sponsor requires Duke to absorb. This field is enabled when you answer Yes to the question about cost sharing being required. If this figure is retrieved from the Standard Reference Data, then it cannot be modified; however, if no data is retrieved, then you should enter the cost sharing requirement.

**For NSF only, if participant support costs will be requested, please specify the total number of participants**
Enter the number of participants or trainees (but not employees) in connection with NSF-sponsored activities. This field will print in Section F of the NSF Budget Pages.

**Save**
Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

**Close**
Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Purpose
To specify the budget categories that will be used on the Summary Budget page. This page is part of the Budget section.

When a template is selected, all of the budget categories belonging to the selected template are automatically added to the Selected Budget Categories list in a pre-defined order, as specified in the Standard Reference Data. This list can be customized for a specific proposal by adding and removing budget categories. When you press the Create Budget button, the Selected Budget Categories will be added to the Summary Budget page.

To move a category from one list to another, highlight the category and press the appropriate arrow button. To highlight multiple consecutive categories for moving, click your mouse on the first category you would like to move and hold down the Shift key while you click on the last category that you would like to move. All of the categories from the first through the last should be highlighted. If you would like to highlight multiple non-consecutive categories for moving, click you mouse on the first category that you would like to move, and then hold down the Ctrl key while you click on each of the other categories that
you would like to move. Please note that the Salary and Fringe Benefits categories are linked; therefore, if you move the Salary category row, then the Fringe Benefits row will also be moved, and vice versa.

**Please Note:** When building a budget for a proposal, you should begin by using a Budget Template whenever possible. For example, if you will be using the Modular Grant format, you should select the NIH Modular Grant template. Selecting the appropriate template will help to ensure that the budget category amounts are printed in the proper place on the forms.

**Program Project Grant Note:** This page is not displayed for Composite proposals. The only budget dollars that should be entered on the Composite are those consortium dollars belonging to subcontractors that are not associated with any of the Mini proposal(s). Enter salary and fringe benefit information for the PPD on the Mini Proposal on which they are identified as the Principal Investigator. For Mini proposals, the Restricted Categories and Sponsor Budget Restrictions are inherited from the Composite and cannot be changed for the Minis.

**Fields & Buttons**

**Budget Templates**
Select a template to begin specifying which budget categories are going to be included on the proposal. A template is a pre-defined list of budget categories typically associated with a particular type of proposal activity such as a Clinical Trial, or with a particular sponsor such as NIH. When a template is selected, the associated budget categories will appear in the Selected Budget Categories list. Once the budget has been created, this drop-down menu will become disabled.

**Available Budget Categories**
Displays all of the possible budget categories that are not already on the Selected Budget Categories list. Categories can be moved from this list to the Selected list (see the **Purpose** above).

**Selected Budget Categories**
Displays the budget categories that will be included on the Summary Budget page. Categories can be added or removed from this list (see the **Purpose** above).

**Restricted Categories**
Displays the categories that are restricted by the program or by the sponsor. This information is retrieved from the Standard Reference Data and cannot be modified.

**Sponsor Budget Restrictions**
Displays any budget restrictions that are imposed by the sponsor. This information is retrieved from the Standard Reference Data; however, you can add information to this text box. **Note:** This field is disabled for Mini proposals since it is inherited from the Composite.

**Moves the budget category or categories highlighted in the Available Budget Categories list to the Selected Budget Categories list.**

**Moves the budget category or categories highlighted in the Selected Budget Categories list to the Available Budget Categories list. Once the Summary Budget has been created, this button will be disabled, and you will need to delete**
Generates the skeleton budget displayed on the Summary Budget page using the categories included in the Selected Budget Categories list. Once the Summary Budget page has been generated for the first time, the Create Budget button changes into a Modify Budget button to indicate that budget categories can only be added and not removed by using the Templates page. The budget must be created, or you will receive an error upon completion.

Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Purpose
To generate the detailed salary budget for Duke personnel, including TBDs. This page consists of two areas: a Salary Roster at the top of the screen for selecting a person and an Individual Salary Worksheet at the bottom of the screen for entering detailed salary information for the person. This page is part of the Budget section.

The Salary Roster will automatically contain an entry for each person listed on the Duke Personnel Roster. Each person listed on the Salary Roster should have at least one row of workload assignment information for the first budget period. A person may have more than one row of workload assignment information if their percent of effort or pay rate changes within the budget period, if cost sharing is involved, or if there is a summer supplement. For example, a person may be assigned to the proposed project for 50% effort for nine months of the budget period, but then be assigned to the project for 100% effort during the summer months of the budget period. In such a case, you may have two rows of workload assignment information for the individual. To add a workload assignment row to the Individual Salary Worksheet, select a row in the Salary Roster, select a Budget Period, and then press the Insert Row button.

You can also copy rows of salary information and paste them in the worksheets of other individuals listed on the Salary Roster or to other budget periods. Be careful if you use this feature as each field will be copied and pasted exactly, and you may have to make modifications to the pasted row. For example, if you copy and paste between budget periods, you will have to modify the dates and you may have to modify the salary or fringe benefit rate.

The columns that have a "->" as the heading are Override columns. Override columns appear in front of columns that can have their values overridden. When such a field is modified, an "O" appears in the Override column as a visual cue to the reviewers to let them know that the field has been changed. Furthermore, when any of the values on this page is overridden, you must enter an explanation for the change on the Budget Notes screen. You can access the Budget Notes screen by selecting Create Notes or Show Notes from the Actions menu at the top of the screen.

Given the sensitive nature of the salary information, access to the Salary Worksheet page has been restricted to the PI and to the departmental reviewers associated with the PI's Duke Org and the Owning Duke Org. Some of the information entered here will also be displayed on the Workload page in the Personnel Roster notebook. Reviewers who have access to the proposal can view the Workload page to see the percent of effort specified for each Duke person, even though they do not have access to the salary information. In the future, SPS will provide limited salary access for reviewers outside the PI's Duke Org and Owning Duke Org.

Please Note: Subcontractors are not included on the Salary Worksheet. Salary reimbursements for subcontractors should be included in the Consortium/Contractual Costs budget category.

Program Project Grant Note: This page is unavailable on Composite proposals. Instead, enter salary and fringe benefit information for the PPD on the Mini Proposal(s) on which they are identified.

Fields & Buttons
Salary Roster

Person
Displays the full name of each person listed in the Duke Personnel table on the Roster page of the Personnel Roster Notebook.

Project Role
Displays the role that the person will play on the project.

VA Appt
Indicates whether or not the person holds a joint appointment with Duke and the Veteran's Administration.

NSF Personnel Category
Select the category in which to place this person on the NSF budget form. The default is based on
the project role and is defined in the Standard Reference Data but you can modify this field by selecting another NSF category from the list.

Fringe Category Displays the person's fringe benefit category (i.e., exempt, non-exempt, house staff or student). For Duke personnel, the fringe benefit category is derived from their job code. For TBDs, the fringe benefit category is selected by the user using the Fringe Category drop down displayed to the right of the budget period.

**Individual Salary Worksheet**

**Budget Period**
Select the budget period for which workload assignment information is to be entered.

**Fringe Category**
Select the fringe category to be used for the TBD. The drop down will be hidden unless you have selected a TBD from the Salary Roster. For TBDs, you will not be able to insert a Salary row unless you have first selected a fringe benefit category from the drop down. The selected fringe benefit category will be used to retrieve the appropriate fringe rate from the Standard Reference Data.

**Effort Start Date**
Enter the date on which the effort begins. The default value is the start date of the selected budget period; however, you may need to modify this date. If the entered date does not fall within the Budget Period Start and End Dates, you will receive a warning upon completion.

**Effort End Date**
Enter the date on which the effort ends. The default value is the end date of the selected budget period; however, you may need to modify this date. If the entered date does not fall within the Budget Period Start and End Dates, you will receive a warning upon completion.

**% Effort**
Enter the percent of effort to be spent on this project for this assignment.

**Person Months**
Displays the calculated number of person months, rounded to two digits after the decimal point, to be worked during this budget period. Person months are calculated by taking the number of months indicated by the Effort Start and End Dates and multiplying by the % Effort.

**Appt. Type**
Enter the type of appointment for which salary support is requested for this specific assignment line. The appointment type selected here will be used in the Projected Salary calculation. Academic appointments are nine months. Calendar appointments are twelve months. Summer appointments are one, two, or three months; however, because they are always associated with an Academic appointment, SPS will use nine months in the calculation used to
determine the Projected Salary.

**Base Salary** Enter the base annual salary for the individual.

**Cost Share** Check if the line is to be cost shared. This field is only displayed if Cost Sharing is indicated on the Rules II page.

Displays an "O" if Prj. Salary is modified, to indicate that the default value was overridden. Otherwise, this field will be blank.

**Prj. Salary** Displays the calculated projected salary for the appointment type. Projected Salary is calculated by first taking the base salary and dividing it by the number of months indicated by the appointment type to determine the monthly salary, and then multiplying the monthly salary by the person months. The calculated amount can be overridden; however, each time you change any of the fields used for the calculation, the projected salary will be recalculated and displayed, and you will have to reapply any modifications. Furthermore, you must enter an explanation on the Budget Notes screen if this field is modified, or you will receive an error upon save.

Displays an "O" if F/B % is modified, to indicate that the default rate was overridden. Otherwise, this field will be blank.

**F/B %** Displays the pro-rated fringe benefit rate applicable to the assignment line, as determined by the Standard Reference Data, based on the exempt, monthly, bi-weekly, or house staff status of the individual and on the start date of the assignment. This field can be overridden. If the fringe benefit rate is 0%, you will receive a warning upon completion. Furthermore, you must enter an explanation on the Budget Notes screen if this field is modified, or you will receive an error upon save.

**F/B Amount** Displays the calculated fringe benefit amount, by multiplying the Prj. Salary by the F/B %.

**Total Sal/FB** Displays the sum of the Prj. Salary and the F/B Amount for the assignment line.

**Copy Row** Copies the selected row of salary information. This button remains disabled until you select an existing row.

**Paste Row** Pastes the copied row of salary information into the worksheet for the selected person and budget period. If you have first selected and existing row, the copied row will be pasted immediately below it; otherwise, the new row will be added to the bottom of the dataset. This
button remains disabled until you have copied a row.

Inserts a blank row into which salary information for the selected person can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the dataset. This button remains disabled until you have indicated that Salary is a Selected Budget Category and pressed the Create/Modify Budget button on the Templates page.

Deletes the selected work assignment row.

Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Budget Notebook--Summary Budget Page

Purpose
To present a specialized table view of the budget data summarized at the budget category level. This page is part of the Budget section.

The names of the categories to be included on the budget are displayed down the left-hand side of the table. The number of columns included in the table will vary based on the number of budget periods defined on the Rules page. For example, if three budget periods are defined on the Rules page, then three sponsor amount columns will be included in the table, as well as an additional column to show the total sponsor amount for each budget category. Additionally, if cost sharing is specified on the Rules II page as being required by the sponsor, then a cost sharing amount column for each budget period will also be included in the table, along with a column to show the total cost sharing amount for each budget category.

There will be one row for each category that was on the Selected Budget Category list when the Create/Modify Budget button was pressed on the Templates Page. Subtotal rows will be located at the end of each budget category group, as defined in the Standard Reference Data. For example, after the Salary and the Fringe Benefits categories, there will be an indented subtotal row called Salary and Fringe Benefits. Subtotal and Total rows are re-calculated automatically as the associated budget data is changed.

When you press the Budget Detail button, a Budget Category Detail screen appears where you can enter detailed budget line items for the selected category. These budget line items are summed, and the totals are displayed for each budget category on the Summary Budget Page. As detailed budget line items for a specific budget category are modified, the totals displayed on this page will be re-calculated and re-displayed.

Budget Details must be entered for the first budget period. Budget category totals for most categories for the remaining budget periods can be modified directly from the Summary Budget page by using the override field at the bottom of the screen.

Some sponsors, such as NIH, do not require a detailed budget beyond the first budget period. In such cases, you may want to use the Inflate Sum Budget button to automatically determine amounts for outlying years. SPS will multiply the amounts for the first budget period by the inflators entered on the Rules page. SPS will not dynamically update the inflated amounts, but rather will only re-calculate and re-display them when the Inflate Sum Budget button is pressed.

Indirect Costs can be calculated by pressing the Calculate Indirect Costs button. Indirect Costs for each budget period will be determined using the appropriate IDC rate and base entered on the Rules page. SPS will not dynamically update the indirect cost amounts, but rather will only re-calculate and re-display them when the Calculate Indirect Costs button is pressed.

Note regarding Subcontractors and Consultants: To ensure that costs for subcontractors and consultants print in the correct place on the printed forms, please be sure to include their costs in the correct budget category. Include costs for subcontractors under the Consortium/Subaward category; do NOT include costs for consultants here. Instead, include costs for consultants under the Consultant Costs category.

Program Project Grant Note: This page is not displayed for Composite proposals; instead they have a Stand-Alone Consortium page. This page is displayed for Mini proposals. The budget for each Mini proposal should be entered on that Mini's Summary Budget page. The budget amounts entered on each Mini's Summary Budget page, as well as the Consortium amounts entered on the Composite's Stand-Alone Consortium page are then rolled up and displayed on the Composite Budget page of the Composite proposal.
**Fields & Buttons**

**Category Name column**
Displays the budget categories that were included in the Selected Budget Categories list when the Create/Modify Budget button was pressed on the Templates page. These categories are in a pre-defined order specified in the Standard Reference Data.

**1- Spon. Amt. Column**
Displays the sum of the sponsor amounts entered for the respective budget category for the first budget period. Additional sponsor amount columns will appear if additional periods are defined on the Rules page. See the Budget Detail button description below for information on viewing and modifying the detail for this column.

**1- Cost Share column**
Displays the sum of the cost share amounts entered for the respective budget category for the first budget period. Additional cost share columns will appear if additional periods are defined. Cost Share columns will only appear if the Cost Sharing Requirement Indicator on the Rules II page is marked Yes. See the Budget Detail button description below for information on viewing and modifying the detail for this column.

**Total Spon. Amt. Column**
Displays the sum of the individual period sponsor amounts for each budget category.

**Total Cost Share column**
Displays the sum of the individual period cost share amounts for each budget category.

**Total Direct Costs row**
Displays the sum of the budget category amounts for each period.

**Total Indirect Costs row**
Displays the F&A (e.g., indirect costs) for each column that were calculated when the Calculate Indirect Costs button was pressed, or that was entered in the Override field.

**Total Project Costs row**
Displays the sum of the total direct costs plus the total F&A costs for each period.

**Override**
Enter the total amount to be requested for the highlighted budget category and period without opening a Budget Detail screen. This field will be disabled for the first budget period, except in the case of Indirect Costs. It is also always disabled for the Consortium/Contractual Costs category. If detailed budget line items exist for the selected category and period, you will be warned that those line items will be deleted if you continue.

**Inflate Sum Budget**
Calculates the summary amounts for outlying budget periods using the inflators specified on the Rules page.

**Calc Mod Grant Offsets**
Opens the Modular Grant Offset screen where you can automatically round your Direct Costs...
according to Modular Grant rules. **Note:** This button appears only if you have indicated that this proposal uses the Modular Grant application format on the Sponsor page of the Main Notebook. See [Main Notebook--Sponsor Page](#) for more information.

Calculates the indirect cost amount for each column using the indirect cost rate and base specified on the Rules page.

Opens the Budget Detail screen for the selected Budget Category. For regular proposals of all types, this button is disabled if the selected category is Salaries or Fringe Benefits; you must edit the Salary Worksheet page if you wish to modify the detailed information for either of these categories. 

**Note:** There are four different types of budget detail screens. See [Budget Detail Screen](#), [Patient Care Cost Detail Screen](#), [Rate Volume Detail Screen](#), [Subcontractor Detail Screen](#), for more information about each.

Deletes the highlighted budget category row from the Summary Budget and from the Selected Budget Categories list on the Templates page. If a dollar amount is associated with the category, you will be asked to confirm the deletion. Please note that the Salary and Fringe Benefits categories are linked; therefore, if you delete the Salary category row, then the Fringe Benefits row will also be deleted, and vice versa.

Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Example of Budget Notebook – Summary Budget Page

Budget Notebook--Income Page

Purpose
To capture information about any anticipated Program Income for NIH. Also, you can enter the Revenue Budget, if this proposal involves a Clinical Trial. This page is part of the Budget section.

The Program Income dataset will contain a fixed number of lines and columns. The columns will be used to identify each of the five periods of support allowed by NIH on any one application. Each period represents one grant year. Please note that the periods specified here are not necessarily the same as the defined budget periods shown on the Rules page. The information entered here prints on the NIH Checklist.

The Revenue Budget will be used to forecast the amount of revenue anticipated from the performance of a clinical trial. The revenue budget takes the reimbursement amount and multiplies it by the quantity to
arrive at the revenue amount. This dataset only appears if Clinical Trial is selected as the Proposal Activity on the Activity page of the Main Notebook.

**Program Project Grant Note:** This page is unavailable on Composite proposals. Instead, enter any income information on the Mini proposals.

### Fields & Buttons

**Program Income**

**Source of Income**

Enter the general category of program income; for example, sale of materials.

**Period 1 Amt**

Enter the expected amount of program income for period one. Enter the amount for period two in the column labeled Period 2 Amt, and so on.

### Clinical Trial Revenue Budget

**Budget Period**

Select the budget period for which the Revenue Budget is being prepared.

**Description**

Enter the basis on which the sponsor's reimbursement will be made.

**Reimb. Amount**

Enter the amount of reimbursement that the institution can expect to receive.

**Quantity**

Enter the number of units to be applied to the reimbursement amount.

**Total**

Displays the calculated total revenue, which is the reimbursement amount times the quantity.

**Insert Row**

Inserts a blank row into which additional revenue items can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the table.

**Delete Row**

Deletes the selected row from the revenue budget.

**Save**

Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

**Close**

Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Budget Notebook--Justification Page

Purpose
To enter any required budget justification for each budget period. This page is part of the Budget section. **Please note (NIH only):** NIH has a single area for printing the justification for all budget periods included in the entire project period. Therefore, you should enter the justification for the entire project with Budget Period 1 selected and leave the justification boxes for all subsequent budget periods blank. If you choose to use the Justification text box for the other budget periods, the information entered there will be appended to the end of the Period 1 Justification on the sponsor form.

**Program Project Grant Note:** A Budget Justification is never required for the Composite proposal. It is required for each Mini proposal, unless the PPG is a Non-competing Renewal for which SNAP rules apply.

**Non-competing Renewal Note:** A Budget Justification is not required for Non-competing Renewals where SNAP rules apply.
Fields & Buttons

Budget Period
Select the budget period for which the justification is to be entered.

Budget Justification
Enter a description for each budget item that must be justified; for example, for travel you would need to enter the purpose and destination of each trip as well as the number of individuals for whom funds are requested. Please see About Rich Text for information regarding formatting. If a justification is not entered for at least one budget period, then you will receive an error upon completion, except as noted above.

Save
Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

Close
Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Example of Budget Notebook – Justification Page
**Purpose**
To provide information about the use of human subjects or the use of human embryonic stem cells in the project. If you answer ‘Yes’ to the question about human subjects being used, you must either select one or more Exemption Categories or enter Protocol Information. Often, the protocol is pending approval at time of proposal creation; if so, enter a status of Pending and select a Review Board, but leave the other fields in the row blank. Likewise, if you answer ‘Yes’ to the question about human embryonic stems cells, you must either specify the registration number(s) of the specific cell line(s) or enter a statement that one from the Registry will be used. This page is part of the Protocol section.

**Program Project Grant Note:** All protocol information included on the Minis should also be included on the Composite proposal. Information about the Cell Line(s) to be used can only be entered on the Minis. The Cell Line information for all associated Minis will then be combined and printed on the Composite's Summary of Work page.

**Fields & Buttons**

**Will human subjects be used at any time during the project period?**
Indicate whether or not human subjects will be used at any time during the proposed project period. If left blank, you will receive an error upon completion.

**Exemption Categories**
Check one or more of the exemption categories if you believe your research is exempt from federal regulations. For further information, refer to the PHS 398 instructions on the NIH web site. This field is enabled when you answer Yes to the question about human subjects being used.

**Protocol Information**

**Registry #**
Enter the unique identifier assigned by Duke to the approved Human Subjects Protocol or Administrative Protocol that covers the proposed research.

**IRB Approval Date**
Enter the date on which the protocol was approved by the IRB.

**Status**
Enter the status of the protocol, such as Pending or Approved. You must enter a status into a row that has been added to this dataset; if left blank, you will receive an error upon completion.

**Review Type**
Select whether the protocol was subject to a full board review or to an expedited review.

**Review Board**
Select the review board that reviews this protocol. This selection will determine which institutional assurance number will print on the proposal: that of the Campus or the Medical Center.

**Will human embryonic stem cells be used at any time during the project period?**
Indicate whether or not human embryonic stem cells will be used at any time during the proposed project period. If left blank, you will receive an error upon completion.

**If yes, list the registration number(s) of the specific cell line(s).**
Enter the registration number(s) of the specific cell line(s) or if specific cell lines cannot be referenced, enter a statement that one from the
Registry will be used. This field is enabled when you have answered Yes to the question about human embryonic stem cells; if left blank, you will receive an error upon completion. **Note:** The entered text will be printed *exactly as entered here* on the PHS 398 Summary of Work page (form page 2 - continued). **Program Project Grant Note:** This field is never displayed for a Composite; instead, information about the Cell Line(s) should be entered on the associated Mini proposals. The Cell Line information for all the Minis will be combined and printed on the Composite’s Summary of Work page.

Inserts a blank row into which additional protocol information can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the table. This button is enabled when you answer Yes to the question about human subjects being used.

Deletes the selected row of protocol information.

Saves all of the information contained in the Protocol Notebook and leaves the notebook open for further changes.

Closes the Protocol Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

**Example of Protocol Info Notebook – IRB Page**
Purpose
To provide information about the use of vertebrate animals in the project, in accordance with the Institutional Animal Care & Use Committee guidelines. If you answer 'Yes' to the question about vertebrate animals being used, you must enter at least one row of Protocol Information. Often, the protocol is pending approval at time of proposal creation; if so, enter a status of Pending and select an OLAW number, but leave the other fields in the row blank. This page is part of the Protocol section.

Program Project Grant Note: All protocol information included on the Minis should also be included on the Composite proposal.

Fields & Buttons
Will vertebrate animals be used at any time during the program project? Indicate whether or not vertebrate animals will be used at any time during the proposed project period. If left blank, you will receive an error upon completion.

Protocol Information
Registry # Enter the unique identifier assigned by Duke to the approved Animal Care and Use Protocol or the Administrative Protocol that covers the proposed research.

IACUC Approval Date Enter the date on which the protocol was approved by the IACUC.

Status Enter the status of the protocol, such as Pending or Approved. You must enter a status into a row that has been added to this dataset; if left blank, you will receive an error upon completion.

OLAW Number Select the review board that reviews this protocol. This selection will determine which institutional assurance number will be printed on the proposal: IACUC's or the Primate Center's.

Insert Row Inserts a blank row into which additional protocol information can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the table. This button is enabled when you answer Yes to the question about vertebrate animals being used.

Delete Row Deletes the selected line of protocol information.

Save Saves all of the information contained in the Protocol Notebook and leaves the notebook open for further changes.

Close Closes the Protocol Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Example of Protocol Info Notebook -- IACUC Page

**Protocol Info Notebook--IBC Page**

**Purpose**
To provide information about the use of recombinant DNA or carcinogenic/biohazardous materials in the project, in accordance with the Institutional Biosafety Committee guidelines. If you answer 'Yes' to the question regarding recombinant DNA, you must enter at least one row of Protocol Information. Likewise, if you select Yes to the question regarding carcinogenic and biohazardous materials, you must enter a description of those materials. This page is part of the Protocol section.

When a question is answered Yes, the person responsible for approving research using recombinant DNA or hazardous materials will either be automatically included in the routing chain or will be included in the signature area of the DPAF.

**Program Project Grant Note:** All protocol information included on the Minis should also be included on the Composite proposal.
### Fields & Buttons

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will Recombinant DNA be used at any time</td>
<td>Indicate whether or not recombinant DNA will be used at any time during the proposed project period. If left blank, you will receive an error upon completion.</td>
</tr>
<tr>
<td>during the project period?</td>
<td></td>
</tr>
<tr>
<td>Registry #</td>
<td>Enter the unique identifier assigned by Duke to the approved IBC Protocol or the Administrative Protocol that covers the proposed research.</td>
</tr>
<tr>
<td>IBC Approval Date</td>
<td>Enter the date on which the protocol was approved by the IBC.</td>
</tr>
<tr>
<td>Status</td>
<td>Select the status of the protocol. The default status is Pending.</td>
</tr>
<tr>
<td>Will carcinogenic or biohazardous materials</td>
<td>Indicate whether or not carcinogenic or biohazardous materials will be used at any time during the proposed project period. If left blank, you will receive an error upon completion.</td>
</tr>
<tr>
<td>used at any time during the project period?</td>
<td></td>
</tr>
<tr>
<td>If yes, please specify the type of</td>
<td>Enter a description of all carcinogenic or biohazardous materials to be used in the research. This field is enabled when you have answered Yes to the question about carcinogenic or biohazardous materials being used; if left blank, you will receive an error upon completion.</td>
</tr>
<tr>
<td>carcinogenic or biohazardous materials</td>
<td></td>
</tr>
<tr>
<td>below</td>
<td></td>
</tr>
</tbody>
</table>

- **Insert Row**: Inserts a blank row into which additional protocol information can be entered. If you have first selected an existing row, the new row will be added immediately below it; otherwise, the new row will be added to the bottom of the table. This button is enabled when you answer Yes to the question regarding recombinant DNA.

- **Delete Row**: Deletes the selected line of protocol information.

- **Save**: Saves all of the information contained in the Protocol Notebook and leaves the notebook open for further changes.

- **Close**: Closes the Protocol Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.
Example of Protocol Info Notebook –
IBC Page

<table>
<thead>
<tr>
<th>Registry #</th>
<th>IBC Approval Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Institutional Biosafety Committee

Will recombinant DNA be used at any time during the project period?  
☐ Yes  ☐ No

Protocol Information:
Please provide the following information if recombinant DNA will be used.

Will carcinogenic or biohazardous materials be used at any time during the project period?  
☐ Yes  ☐ No

If yes, please specify the type of carcinogenic or biohazardous materials below:

- [ ] Carcinogens
- [ ] Biohazardous

<table>
<thead>
<tr>
<th>HIB</th>
<th>Planned Enrollment</th>
<th>IACOB</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Modular Grant Offset Screen

Purpose
To assist you with rounding your total direct costs in accordance with Modular Grant rules. This screen appears when you press the Calc Mod Grant Offsets button on the Summary Budget page of the Budget notebook.

Please Note: The Calc Mod Grant Offsets button will only be available if you have indicated that this proposal will use the Modular Grant application format on the Sponsor page of the Main notebook. Be sure that your Total Direct Costs after rounding for the entire project is greater than the Total Direct Costs before rounding. The Pre-Award Offices will not generally approve a proposal that does not request enough money to meet its budget.

For more information on Modular Grants, please see the NIH Modular Research Grant Applications Page.

Fields & Buttons

<table>
<thead>
<tr>
<th>DC Less Consortium F&amp;A (Before Offset)</th>
<th>Displays the current Total Direct Costs minus the Total Consortium F&amp;A minus the Modular Grant Offset amount for each budget period. Note: It is the original starting point before any rounding is done. It is this figure that is being rounded up or down.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modular Grant Offset</td>
<td>Displays the Modular Grant Offset amount for each budget period.</td>
</tr>
<tr>
<td>Round Down/Round Up</td>
<td>Select round up or round down for each budget period. Usually, you will want to round up; however, you may need to round down occasionally in order to keep modules at the same amount for all budget periods.</td>
</tr>
<tr>
<td>Target DC Less Consortium F&amp;A</td>
<td>Displays the Total Direct Costs minus the Total Consortium F&amp;A, rounded to the nearest 25,000.</td>
</tr>
<tr>
<td>Current DC Less Consortium F&amp;A Plus Offset (Items 7a/8a)</td>
<td>Displays the current Total Direct Costs minus the Total Consortium F&amp;A. This is the amount that will print in Items 7a and 8a of the PHS 398 Face Page and on the Modular Grant Budget Justification page. Note: It will match the amount shown in the Target DC Less Consortium F&amp;A column unless you have made further revisions to your budget since last pressing the Recalculate button.</td>
</tr>
<tr>
<td>Recalculate</td>
<td>Recalculates the amount displayed in the Current DC Less Consortium F&amp;A Plus Offset (Items 7a/8a) column based on whether you opted to round up or down.</td>
</tr>
<tr>
<td>Close</td>
<td>Closes the window and returns you to the Summary Budget page. Also updates the Modular Grant Offset category and the Total Direct Costs if the Recalculate button has been pressed at any point while the window was open. These changed amounts will be saved when you save the Budget notebook.</td>
</tr>
</tbody>
</table>
Example of Budget Notebook –

Summary Budget Page

Modular Grant

Offset Screen

If you have modified your budget and/or wish to Round Up or Down, please press the Recalculate button to adjust your Modular Grant Offset amounts.
How do I create a modular grant?

Special steps necessary for creating a Modular Grant

Please see the NIH Modular Research Grant Applications Page for more information on Modular Grants.

Main Notebook

1. On the Sponsor page, select Yes in response to the question "Will this proposal use the Modular Grant application format?"

   Answering Yes enables special Modular Grant validations, the Modular Grant Offset screen, and Modular Grant printing.

Personnel Roster Notebook

2. On the Experience page, be sure to include information about research projects ongoing or completed during the last three years.

   You can skip this step if you do not enter your Bio-Sketches in SPS.

Budget Notebook

3. On the Templates page, select the Template called "NIH Modular Grant."

   This template includes the category called "Modular Grant Offset," which you must have in order to use the Modular Grant Offset screen. If you have already chosen a different template, select "Modular Grant Offset" from the Available Budget Categories list and move it to the Selected Budget Categories list, then press the Modify Budget button.

4. After filling out the Salary Worksheet, turn to the Summary Budget page.

   The "Modular Grant Offset" is in a new subtotal group for Modular Grant Offsets, and displays after the Consortium/Subaward subtotal group.

5. Enter the detailed budget for the first period.

   The Pre-Award Offices still needs to review a detailed budget for the first year, even though NIH does not require this budget for Modular Grant applications.

6. Enter budget information for the remaining periods using the Inflate Sum Budget button, the override field, or by entering detailed information. Be sure that Consortium/Subaward costs are divisible by 1,000 for each subcontractor.

7. Press the Calc Mod Grant Offsets button to bring up the Modular Grant Offset screen.

8. Select Round Down or Round Up for each period as appropriate, to round each period to the nearest 25,000.

   In general, you will want your TDC After Rounding to be the same for each budget period. Any discrepancies will have to be explained in the Budget Justification. Please make sure that your TDC After Rounding for the entire project is greater than the TDC Before Rounding.

9. Press the OK button to return to the Summary Budget page.

   The offset amount used to round the Total Direct Costs will appear in the Modular Grant Offset category. You can also make adjustments by entering positive or negative numbers directly into the override field at the bottom of the screen.

10. Press the Calculate Indirect Costs button.

    The IDC Rate and Base indicated on the Rules page will apply. For example, if MTDC is your base, then equipment as well as amounts above 25,000 for each subcontractor will be excluded.

Printing

11. On the Forms Generation screen, be sure that the PHS 398 Form is selected and the Use Modular Grant Format check box is checked.

   When Use Modular Grant Format is checked, the following printing rules apply:
Budget - Internal and Budget Justification pages replace the Budget - Initial and Budget - Summary pages.

Other Support pages do not display.

The Bio-Sketch prints up to four pages.

The Checklist prints IDC calculations for each budget period.

How do I create a basic proposal?

Please keep in mind that the steps necessary for creating a proposal in SPS will vary depending on the sponsor, the activity type, etc. The steps here are the bare minimum: what is necessary just to get the proposal in the system and route it through the Duke Orgs that need to see it. More steps may be necessary, especially if you plan to print your proposal using SPS. Please see the help on the individual notebook pages for detailed information.

These steps are written assuming that it is the PI entering the proposal. Other people, such as the PI Assistant or Departmental Administrator, may also enter proposals for a department.

Proposal Browser

1. Press the New button at the bottom of the screen.

   If you are creating a Program Project Grant, Renewal/Continuation, Resubmission, or Supplemental, this step will vary. Please see the help on these types of proposals for more information.

Main Notebook

2. On the Main page, type the Short Title of the proposal.

3. In the Principal Investigator area, type your Last Name and press the Tab key.

   If you have a unique name, then your information will automatically appear in the Principal Investigator area. If not, then a Person Selection screen will appear. Highlight your name and press the Select button. All searchable fields will work in this manner.

4. On the Sponsor page, type the Sponsor's name or acronym and press the Tab key.

5. Type the Agency Due Date.

6. On the Admin page, type the Project Period and Current Budget Period Start and End Dates.

7. Make sure the Owning Duke Org is correct.

8. Select the appropriate Face Page from the NIH Face Page Organization drop-down.

9. If your proposal includes any Co-PIs, add them on the Admin page:

   To add items to datasets, start by pressing the Insert Row button. The Last Name of this dataset is a searchable field.

10. On the Activity page, select the appropriate Activity Type.

11. If the Activity Type is Research, Fellowship or Clinical Trial, check either the Wet Lab or the Dry Lab indicator. If the Activity Type is Inst. Training Prgm, check Wet Lab, Dry Lab or both.

12. On the Summary of Work page, enter the abstract.

13. The remaining fields in this notebook are not required by SPS; however, we encourage you to fill out as much of the information as possible.
**Personnel Roster Notebook**

14. If you have additional Duke Personnel to add to your proposal, add them to the Duke Personnel Roster at the top of the Roster page.

*Again, the Last Name field is searchable. Be sure to check the Key field if necessary, and adjust the Project Role.*

15. If you have Subcontractors to add to your proposal, add them to the Subcontractor Roster at the bottom of the Roster page.

*The Last Name field is not searchable in this dataset; therefore, type the Last Name, First Name, SSN (optional) into those fields. The Subcontracting Org field is searchable. Be sure to select appropriate Project Role (usually Subcontractor PI).*

*Entering subcontractors and consultants names into the Subcontractor Roster enables you to print their names in the Key Personnel area of the Sponsor forms. Please see the Budget Notebook area below for information on requesting costs for subcontractors and consultants.*

16. If you intend to print degree information on the cover sheet, be sure to include it on the Education page. Also, don’t forget to check the Incl. on Face checkbox (you need to scroll over to the right to see the checkbox), or the degree information will not print!

17. None of the remaining fields in this notebook are required by SPS; however, we encourage you to fill out as much of the information as possible.

**Facilities Notebook**

18. If you are using a site other than Duke On-Campus at 100%, adjust the information in the Performance Site dataset on the Sites/Facilities page.

19. If your research will use any of the following: Vivarium, Hyperbaric Chamber, Free Electron Laser Lab, Duke Forest, Marine Lab, Cancer Center, VA Hospital, or the Clinical Research Unit (Rankin Lab), then fill out the Facilities dataset at the bottom of the Sites/Facilities page.

20. The remaining field in this notebook is not required; however, we encourage you to fill out as much of the information as possible.

**Budget Notebook**

21. On the Templates page, select the preferred Template and press the Create Budget button.

22. On the Salary Worksheet page, enter salary information as necessary.

23. On the Summary Budget page:
   a. Enter detail for at least the first budget period.

*For subcontractors, enter amounts in the Consortium/Subaward category. For consultants, enter names and amounts in the Consultant Costs category.*

   b. For outlying years, use the Inflate Sum Budget to inflate, then use the override field at the bottom of the screen to adjust your budget as necessary. You can also enter detail for outlying years.

   c. Press the Calculate Indirect Costs button to automatically figure Indirect Costs based on the IDC Rate and Base indicated on the Rules page.

24. On the Justification page, enter the budget justification.

25. The remaining fields in this notebook are not required; however, we encourage you to fill out as much of the information as possible.
Protocol Info Notebook

26. On the IRB, IACUC and IBC pages, select the appropriate answer regarding the use of human subjects, animals, recombinant DNA, and hazardous materials. *If you select Yes to any of these questions, be sure to fill out any protocol or other information as necessary.*

How do I route a proposal?

Once you have finished filling out the required sections of a proposal, you can indicate that the proposal is complete and ready for routing. These steps are written assuming that it is the PI entering the proposal. Other people, such as the Departmental Administrator may also complete proposals. PI Assistants do not have rights to complete proposals due to the certification statement (see step 5).

**First, Complete the Required Sections**

1. From the Proposal Management screen, select Actions, Show Section Status.
2. Check each section that you have finished; if you have finished all of the sections, you can go to the Actions menu and select Mark All Sections Complete.

   *Sections noted with an asterisk must be marked as complete before you can perform step 4. All sections must be marked as complete before the final institutional approval can be made.*
3. Press the Save button.
   a. When SPS detects potential problems, you will receive a Complete Failed dialog.
      i. If any Errors exist, you will not be able to continue. Read the dialog to find out what errors exist. Correct any problems then re-try this process.
      ii. If only Warnings exist, you can choose whether or nor to make any corrections. If you choose to leave the proposal in its current state, press the Save Anyway button.
   b. When you receive a Save Successful dialog, press the OK button, then Close the Section Status screen.

**Second, Complete and Route the Proposal**


   *PI Assistants cannot press the Complete button given that they do not have the authorization to acknowledge the certification or to answer the question about significant financial interests. Therefore, the Complete button is only enabled for PIs and for Department Administrators.*
5. On the dialog asking you to certify that you will adhere to institutional policies, press OK.
6. If the sponsor is PHS or NSF, then you will receive an additional dialog asking you if you have significant financial interests that could influence this project. Press Yes or No.

   *If you press Yes, then you should send a disclosure to the Provost Office (Campus) or your Department Chair (Medical Center).*
7. Press OK when you receive a dialog indicating that your proposal was successfully completed.

**Third, Find Out To Whom the Proposal Was Sent**

8. From the Proposal Management screen, select Actions, Show History.

   *In the upper left corner of the Document History screen is a Status History area, which lists the proposal’s status in reverse chronological order. The current state of the proposal will be listed at the top (usually Pending Non-Central Approval) and will be highlighted. The route(s) for this state are*
9. In the Routing History area, select one of the routing reasons to see its specific route in the Routed To area at the bottom of the screen.

10. Select a person in the Routed To list to view their Role at the bottom of the screen.

**Budget Notebook--Composite Budget Page**

**Purpose**
To display the rolled-up Program Project Grant budget compiled from the Stand-Alone Consortium page of the Composite and the Summary Budget pages of the Mini proposals. This page is only displayed on Composite proposals, and is part of the Budget section.

**Fields & Buttons**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category Name column</td>
<td>Displays the budget categories that were included on the Stand-Alone Consortium page of the Composite and the Summary Budget pages of the Minis.</td>
</tr>
<tr>
<td>1- Spon. Amt. Column</td>
<td>Displays the sum of the sponsor amounts entered on the Stand-Alone Consortium page of the Composite and the Summary Budget pages of the Minis for the respective budget category for the first budget period. Additional sponsor amount columns will appear if additional periods are defined on the Rules page. See the Budget Detail button description below for information on viewing the detail for this column.</td>
</tr>
<tr>
<td>1- Cost Share column</td>
<td>Displays the sum of the cost share amounts entered on the Stand-Alone Consortium page of the Composite and the Summary Budget pages of the Minis for the respective budget category for the first budget period. Additional cost share columns will appear if additional periods are defined. See the Budget Detail button description below for information on viewing the detail for this column.</td>
</tr>
<tr>
<td>Total Spon. Amt. column</td>
<td>Displays the sum of the individual period sponsor amounts for each budget category.</td>
</tr>
<tr>
<td>Total Cost Share column</td>
<td>Displays the sum of the individual period cost share amounts for each budget category.</td>
</tr>
<tr>
<td>Total Direct Costs row</td>
<td>Displays the sum of the budget category amounts for each period.</td>
</tr>
<tr>
<td>Total Indirect Costs row</td>
<td>Displays the F&amp;A costs (e.g., indirect costs) for each period.</td>
</tr>
<tr>
<td>Total Project Costs row</td>
<td>Displays the sum of the total direct costs plus the total F&amp;A costs for each period.</td>
</tr>
<tr>
<td>Budget Detail...</td>
<td>Opens the Budget Detail screen for the selected category and displays the sums entered on the Stand-Alone Consortium page of the Composite</td>
</tr>
</tbody>
</table>
and/or Mini Summary Budget pages.
Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.
Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Example of PPG Budget Notebook - Composite Budget Page
Maintain Minis Screen

**Purpose**
To create and access Mini proposals for the open Composite proposal. This screen appears when you select the Maintain Minis option from the Actions menu of the Proposal Management screen for a Composite proposal.

**Fields and Buttons**

- **Mini ID**
  Displays the Proposal ID assigned to the Mini Proposal.

- **Order #**
  Displays the sequential order of the Mini proposals for printing and display purposes. To change the order of the proposals, modify the values in this field and press the Re-Sort Rows button.

- **Project/Core Name**
  Enter the name by which this mini proposal should be referenced. This name will be used in validations, on the PPG Budget page in the Budget notebook of the Composite proposal, and in any printed documents.

- **PI Last Name**
  Enter all or part of the last name of the PI of this component, then press the Tab key to initiate a person search (see **Procedures** below).

- **PI First Name**
  Displays the PI's first name.

- **Duke Org**
  Displays the name of the Duke Org responsible for approving the PI's participation in the research. The default is the primary appointment defined in the Person table. However, if this person has a non-primary appointment in another Duke Org, you can change this once you open the Mini proposal; press the Person Details button on the Main page of the Main notebook of the Mini Proposal and make your modifications as necessary.

- **Max Project Direct Costs**
  Enter the Total Direct Costs allowed for this Project/Core. The value entered here will be used in warning messages for the Mini proposal's budget.

- **State**
  Displays the status of the Mini proposal. All Mini proposals are created with a state of Pre-Initialized; they become Initialized once you save the Main notebook.

- **Open Row**
  Opens the Proposal Management screen of the selected Mini proposal. If this Mini is still in a Pre-Initialized state, then SPS will automatically open the Main Notebook. Note that you must press the Save button on this screen before you can open a newly created Mini proposal.

- **Insert Row**
  Creates a new Mini proposal.
Deletes the Mini proposal. If the Mini has never been saved (i.e., you have not pressed the Save button on this screen), then the proposal is actually deleted. If the Mini has been saved, then the proposal's state is changed to Inactive and it is no longer associated with the Composite. You can no longer open the Mini; however, you can retrieve it in the Proposal Browser and perform a Copy As New.

Re-sorts the rows based on the Order #’s entered.

Saves the information entered on the Mini Proposals screen. You must save this screen before you can open any newly created Mini proposals.

Closes the screen without modifying any Mini Proposal information and returns you to the Proposal Management screen of the Composite proposal. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

Procedures

To initiate a PI search:

1. Enter all or part of the PI's last name into the Last Name field.
2. Press Tab. SPS will open the Person Selection screen and display a list of those with faculty or special PI status that begin with the entered string.
3. Select the appropriate name. The person's first name and primary Duke Org will be displayed.

Please note: SPS appends a wildcard only to the end of your entry. For example, entering michael would return Michaels but not McMichael.

If SPS finds only a single match for the entered string, it will automatically return the person's information and will not open up a Selection screen.
Example of PPG Actions Menu –
Maintain Minis Screen

Subcontracts that are not associated with a Duke mini should be entered in the Personnel Roster notebook of the composite proposal. The associated costs of the subcontracts should be entered on the Stand-Alone Consortium Budget page of the composite.
Composite Information Screen

Purpose
To provide the PI of the Mini proposal with access to basic information about the Composite proposal. The information on this screen is read-only. This screen appears when you select Show Composite Information from the Actions menu on the Proposal Management screen of a Mini proposal.

Fields & Buttons

Project/Core Name Displays the Project/Core name for the open Mini proposal, as entered on the Mini Proposals screen.

Composite ID Displays the Proposal ID of the Composite.

Document State Code Displays the current status of the Composite.

Principal Investigator Displays the Program Project Director's name, as entered as the Principal Investigator on the Main page of the Main Notebook of the Composite.

Owning Duke Org Displays the name of the Duke Org that owns the PPG, as entered on the Admin page of the Main notebook of the Composite.

Project Period Displays the start and end dates of the Project Period, as indicated on the Admin page of the Main Notebook of the Composite.

Current Budget Period Displays the start and end dates of the Current Budget Period, as indicated on the Admin page of the Main Notebook of the Composite.

Composite Budget Periods Displays the Period Definition dataset from the Rules page of the Budget notebook of the Composite.

Closes the Composite Information screen and returns you to the Proposal Management screen of the open Mini proposal.
Proposal Memo Screen

Purpose
To add comments or notes about the proposal. For example, you may want to add a memo indicating that sub-codes will be needed if awarded. You can enter a memo on this screen by selecting Create Proposal Memo on the Actions menu on the Proposal Management screen. Once a memo has been entered, the option on the Actions menu becomes Show Proposal Memo to let others know that a memo has been entered.

Fields and Buttons
Proposal Memo Enter any notes about the proposal.

Save Saves the information entered on the Proposal Memo screen.

Close Closes the screen without modifying the memo and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the screen.

Example of Proposal Memo Screen
### Purpose

To provide answers to the SNAP-related questions and the unobligated balance question as well as to enter a brief description of the accomplishments on the research project during the last reporting period.

**Note:** If you answer 'Yes' to any of the questions on this page, you must press the associated Explain button to bring up a screen on which you can enter the detailed explanation for your response.

**Renewals Note:** This page appears only for Non-competing Renewals. It replaces the Summary of Work page.

### Fields & Buttons

#### SNAP Questions

##### Change in Other Support Indicator

Indicate whether or not there has been a change in other support of key personnel since the last reporting period. This question is enabled and must be answered for any proposal that is subject to SNAP. If 'Yes', then an explanation of the change in other support must be provided, using the associated Explain button. Please see help on the Main Notebook-Sponsor Page for more information.

(Explain button)

Opens the Change in Other Support Explanation screen, where you can enter details about the change in other support of key personnel. Please see help on the Change in Other Support Explanation Screen for more information.

##### Change in Level of Effort Indicator

Indicate whether or not there will be a change in the level of effort for key personnel from what was approved for this project. This question is enabled and must be answered for any proposal that is subject to SNAP. If 'Yes', then an explanation of the change in the level of effort must be provided, using the associated Explain button. Please see help on the Main Notebook-Sponsor Page for more information.

(Explain button)

Opens the Change in Level of Effort Explanation screen, where you can enter details about the change in level of effort for key personnel. Please see help on the Change in Level of Effort Explanation Screen for more information.

#### Unobligated Balance

##### Unobligated Balance Indicator

Indicate whether or not you expect to have an estimated unobligated balance that will be greater than 25% of the current year's total budget. If 'Yes', then an explanation of the Unobligated Balance must be provided, using either the associated Explain button on this page or the text field that is on the Unobligated Balance Page of the Budget Notebook.

(Explain button)

Opens the Unobligated Balance Explanation screen, where you can enter details about the unobligated balance. Please see help on
the Unobligated Balance Explanation Screen for more information.

Description
Accomplishments of the last reporting period
Enter a description of the accomplishments of the last reporting period. Please see About Rich Text for information regarding formatting. This field prints in the Description area of the Progress Report page of the PHS 2590 form. If this field is left blank, you will receive an error upon completion.

Save
Saves all of the information contained in the Main Notebook and leaves the notebook open for further changes.

Close
Closes the Main Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Example of Main Notebook – Progress Report Page
Tab accessed by arrow button
Personnel Roster Notebook--Personnel Report Page

Purpose
To enter information about all key personnel who participated in the project during the reporting period. This page is only displayed for Non-competing Renewals that are not Institutional Training Programs. It is part of the Roster section. The information entered here prints on the PHS 2590 Personnel Report form page.

Program Project Grant Note: This page is not displayed for Composite proposals. Information about key personnel who participated in the project during the reporting period should be entered on the applicable Mini proposal(s). The Personnel Report information from the Minis will be used during forms generation to generate a rolled-up Personnel Report form page for the Composite.

Fields & Buttons

Order # Displays the sequential order of the personnel, for printing and display purposes. To change the order of the personnel, modify the values in this field and press the Re-Sort Rows button.

Last Name Enter all or part of the person's last name to initiate a person search (see Procedures below). If a row has been added to this dataset, you will receive an error upon save if this field is left blank.

First Name Displays the person's first and middle names. This information is inserted from master SPS data, but can be edited for the Personnel Report.

Degrees Enter the person's degrees.

Role Enter the role that the person played on the project.

Date of Birth Displays the person's date of birth. This data is inserted from master SPS data, but can be edited for the Personnel Report.

% Effort Enter the person's percentage of effort.

Insert Row Inserts a blank row into the dataset into which the person's name and other information can be entered. If you have first selected an existing row, the new row will be added immediately below the selected row; otherwise, the new row will be added to the bottom of the dataset.

Delete Row Deletes the selected row from the dataset.

Re-Sort Rows Re-sorts the rows based on the Order #’s entered.

Save Saves all of the information contained in the Personnel Roster Notebook and leaves the notebook open for further changes.
Closes the Personnel Roster Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

**Procedures**

**To initiate a person search:**

1. Enter all or part of the person's last name into the Last Name field.
2. Press Tab. SPS will open the Person Selection screen and display a list of names (for both active and inactive Duke personnel) that begin with the entered string. If no matches exist, SPS will bring up a dialog box informing you that no matches were found before opening the Person Selection screen.
3. Highlight the appropriate name, or press the Add Other button to enter a name that is not listed (such as that of a Subcontractor) and press the Select button. The person's information will then be displayed in the appropriate area of the dataset.

**To add a non-Duke person:**

1. Enter a dummy string into the Last Name field.
2. Press Tab to initiate a person search. SPS will bring up the dialog box informing you that no matches were found.
3. Press OK. SPS will then display the Person Selection screen.
4. Press the Add Other button. SPS will display the entered string in the Add Other input field.
5. Type in the desired Last Name and press the Select button. The entered Last Name will be displayed in the Last Name field of the dataset. You can then enter the First Name and other pertinent information.

**Please Note:** For the person search, SPS appends a wildcard only to the end of your entry. For example, entering michael would return Michaels but not McMichael.

If SPS finds only a single match for the entered name, it will automatically return the information and will not open up a Selection screen. If you wish to see a list of all names set up in SPS, you can enter a percent sign into the field.

---

**Example of Personnel Roster Notebook – Personnel Report Page**

Tab accessed by arrow button
Budget Notebook--Unobligated Balance Page

Purpose
To enter any required details about an estimated unobligated balance. This page appears only for Non-competing Renewals.

Program Project Grant Note: This page does is not displayed for Mini proposals. Details about any estimated obligated balance for a Mini should be entered on the Composite proposal.

Note: These are the same fields as those that appear on the Progress Report page and the Unobligated Balance Explanation screen of the Main Notebook. Information can be entered in either notebook.

Fields & Buttons

Unobligated Balance indicator
Indicate whether or not an estimated unobligated balance exists which meets the sponsor’s criteria. If the response to this field is “Yes” (on this page or on the Progress Report Page of the Main Notebook), the Unobligated Balance description is required.

Unobligated Balance description
Enter a description of the anticipated estimated unobligated balance. Please see About Rich Text for information regarding formatting. This field is required if you have indicated that an estimated Unobligated Balance exists.

Save
Saves all of the information contained in the Budget Notebook and leaves the notebook open for further changes.

Close
Closes the Budget Notebook and returns you to the Proposal Management screen. If unsaved changes exist, SPS will prompt you to save changes prior to closing the notebook.

Example of Budget Notebook – Unobligated Balance Page

[Image of Budget Notebook interface with circled Unobligated Balance field and Save and Close buttons]
Change in Other Support Explanation Screen

Purpose
To enter an explanation for the change in other support of key personnel. To enter information on this screen, press the Explain button that appears to the right of the Change in Other Support indicator on the Progress Report page of the Main Notebook.

Fields and Buttons

Change in Other Support Details
Enter a detailed explanation of the change in other support of key personnel. Please see About Rich Text for information regarding formatting.

Apply the information contained in the Change in Other Support Explanation screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Main Notebook.

Closes this screen without applying changes and returns you to the Main Notebook. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.

Example of Change in Other Support Explanation Screen
Change in Level of Effort Explanation Screen

Purpose
To enter an explanation for the change in level of effort of key personnel. To enter information on this screen, press the Explain button that appears to the right of the Change in Level of Effort indicator on the Progress Report page of the Main Notebook.

Fields and Buttons
Change in Level of Effort Detail

Enter a detailed explanation of the change in level of effort of key personnel. Please see About Rich Text for information regarding formatting.

OK

Applies the information contained in the Change in Level of Effort Explanation screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Main Notebook.

Cancel

Closes this screen without applying changes and returns you to the Main Notebook. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.

Example of Change in Level of Effort Explanation Screen
Unobligated Balance Explanation Screen

Purpose
To enter an explanation for the unobligated balance. To enter details on this screen, press the Explain button that appears to the right of the Unobligated Balance indicator on the Progress Report page of the Main Notebook.

Note: This is the same field as the Unobligated Balance description on the Unobligated Balance page of the Budget Notebook. Information can be entered on either page.

Fields and Buttons

Unobligated Balance Detail Enter a detailed explanation of the unobligated balance. Please see About Rich Text for information regarding formatting.

OK Applies the information contained in the Unobligated Balance Explanation screen to the proposal and closes the screen. The information applied here will be saved to the SPS database when you save the Main Notebook.

Cancel Closes this screen without applying changes and returns you to the Main Notebook. If unapplied changes exist, SPS will prompt you to apply changes prior to closing the screen.

Example of Unobligated Balance Explanation

Please enter details about the unobligated balance. This information will appear on the PHS2583's Budget Justification page and not in the Progress Report.
In-Box Screen

Purpose
Allows you to manage the proposals that have been routed to you for review and approval. This screen appears when you press the In-Box button on the SPS Main Menu screen.

File Menu
Print

Selected Document
Opens the Forms Generation screen so you can print or preview a highlighted proposal.

All Documents
Opens the Multiple Document Forms Generation screen so you can print or preview all of the proposals listed in your In-Box.

Result Table
Type
Displays the proposal type (i.e., New, Competing Renewal or Non-competing Renewal).

Routed
Displays the date on which the proposal was routed to your In-Box.

PI
Displays the PI of the proposal.

Owning Duke Org
Displays the name of the owning Duke Org.

ID #
Displays the proposal number.

Agency Due
Displays the date by which the proposal must be submitted to the sponsor.

Title
Displays the proposal title.

Reason
Displays the reason the proposal was routed to you for approval.

Buttons
Open
Opens the highlighted proposal and advances you to the Proposal Management screen.

Approve
Approve the proposal and send it to the next reviewer in the routing chain. This button is displayed when a proposal is selected. Note: The Approve button will be disabled if all required sections are not marked as 'Complete' on the Section Status screen. If the button is disabled, you will either need to complete all the required sections (if you have the appropriate rights to do so) or call the department administrator of the PI Duke Org or the Owning Duke Org and ask that they complete all required sections for you.

Return
Return the proposal to the PI/Department for revision. This button is displayed when a proposal is selected.

Delegator(s)
Switches to the In-Box of the person for whom you have been assigned as a Delegate.
Returns to your In-Box.

Closes the In-Box screen and returns you to the Main Menu.
How do I set someone up as my delegate?

You may want to set up a delegate in SPS so that a co-worker can take care of your review and approval responsibilities when you are away, whether it is a planned vacation or an unexpected absence.

To set up a delegate in SPS:
1. Login to the SPS system.
2. On the SPS Main Menu, select Assign Delegates from the Options menu.
3. In the Last Name field under Delegates Review Responsibilities to, type the last name of the SPS user that you would like to have take over your responsibilities in your absence, and then press the Tab key. If a single match occurs, SPS will fill in the user's last and first names. If multiple matches occur, SPS will return a list of users; in such a case, highlight the appropriate user and press the Select button.
4. If you would like the delegate to receive the email notifications sent by SPS, then check the "Route e-mail notifications to the delegate" checkbox.
5. Press the Save button.

Helpful Hints
- Be sure to set up as your delegate a user who has rights that are similar to yours.
- You may always want to have a delegate set up to cover for you in case you are out of the office unexpectedly. Then, just turn check the "Route e-mail notifications to the delegate" checkbox when you are planning to be out of the office for an extended period of time, such as for a vacation. Just remember to uncheck this box when you get back!
- To remove a delegate, delete their last name and press the Save button.

Delegation Screen

Purpose
To assign a user who can act on your behalf in SPS. This screen appears when you select Assign Delegates from the Options menu on the SPS Main Menu screen.

You may always want to have a delegate set up to cover for you in case you are out of the office unexpectedly. Then, just turn check the "Route e-mail notifications to the delegate" checkbox when you are planning to be out of the office for an extended period of time, such as for a vacation. Just remember to uncheck this box when you get back!

Fields & Buttons
User
Last Name: Displays the last name of the delegator; in other words, the user for whom you are setting up a delegate. The default is your last name. If you are an SPS Security Officer, then you can set up a delegate for another user by typing that user's last name and pressing Tab to initiate a search (see Procedures below).

First name: Displays the first name of the user for whom you are creating a delegate.

Delegates Review Responsibilities to:
Last Name: Enter the last name of the user whom you are setting up as a delegate and press Tab to initiate a search (see Procedures below). To remove a
delegate, highlight the last name and press Tab.

First name Displays the first name of the user whom you are setting up as a delegate.

Route e-mail notifications to the delegate Check this box if you would like any e-mail notifications to be sent to the delegate instead of to the delegator.

Saves the information on the Delegation screen.

Closes the Delegation screen without changing the user's delegation information and returns you to the SPS Main Menu screen. If unsaved changes exist, SPS will prompt you to save the new password prior to closing the screen.

Procedures
To initiate a User search:
1. Enter all or part of the person's last name into the Last Name field.
2. Press Tab. SPS will open the User Selection screen and display a list of SPS users that begin with the entered string.
3. Select the appropriate name. The person's name will be displayed in the appropriate area.

Please note: For the User search, SPS appends a wildcard only to the end of your entry. For example, entering michael would return Michaels but not McMichael.

Example of Delegation Screen
**How do I act as a delegate in SPS?**

One or more SPS users may set you up as their Delegate in SPS. You may also be receiving emails on their behalf.

**To act as a delegate:**

1. Login to the SPS system.
2. Press the In-Box button. Your In-box will open.
3. Press the Delegator(s) button. If you are set up as the Delegate for only one user, then your In-Box will be replaced by the Delegator(s) in-box. If you are set up as the Delegate for multiple users, then SPS will return a list of users for which you are a delegate; in such a case, highlight the desired Delegators and press the Select button to view that user's In-box. You can then perform actions on any of the documents in that user's In-box.
4. To switch back to your own In-box, press the 'Return to My Own In-Box' button.

**How do I create a Program Project Grant?**

The general process of creating a Program Project Grant (PPG) begins by filling out the Composite proposal, which is the overall proposal used to consolidate all of the pieces of the application. Then, you will create Mini proposals, which are the component projects of the PPG. The first Mini proposal will generally be the PPD's component. Then, the additional Mini's can be added by you or by the PI for that Mini (or their staff).

**Note:** If you are using SPS for the first time, we strongly recommend that you do not attempt to create a PPG. Instead, use SPS to enter a regular proposal, and wait until you are comfortable with the process before entering a PPG.

**Proposal Browser**

1. Press the New PPG button at the bottom of the screen.

**PPG Type Screen**

2. Press the Create button.

*If you are creating a Renewal, then select either Competing or Non-Competing before pressing the Create button. Furthermore, some of the information given in the following steps may not apply.*

**Composite Main Notebook**

3. On the Main page, if this is a Renewal, enter the proposal ID of the PPG for which this one is a Renewal in the Originating Proposal ID field.

4. If this is a Supplement to a currently Awarded PPG, select Yes in response to the question "Is this proposal a Supplement to an existing proposal?" Then enter the proposal ID of the PPG for which this one is a Supplement in the Originating Proposal ID field.

5. If this is a Resubmission of a currently Unfunded PPG, select Yes in response to the question "Is this proposal a Resubmission of an existing proposal?" Then enter the proposal ID of the PPG for which this one is a Resubmission in the Originating Proposal ID field.

6. On the Main page, type the Short Title of the Program Project Grant.

*This title will print on the Face Page of the PPG.*

7. In the Principal Investigator area, type the Program Project Director's (PPD's) Last Name and press the Tab key.

*If it is a unique name, then the information will automatically appear in the Principal Investigator area. If not, then a Person Selection screen will appear. Highlight the appropriate name and press the Select button. All searchable fields will work in this manner.*

8. On the Sponsor page, type the Sponsor's name or acronym and press the Tab key.
9. Type the Agency Due Date.

10. On the Admin page, type the Project Period and Current Budget Period Start and End Dates.

11. Make sure the Owning Duke Org is correct.

12. Select the appropriate Face Page from the NIH Face Page Organization drop-down.

13. On the Activity page, make sure the appropriate Activity Type is selected.

14. On the Summary of Work page, enter the abstract for the PPG as a whole.

15. The remaining fields in this notebook are not required; however, we encourage you to fill out as much of the information as possible.

**Composite Personnel Roster Notebook**

16. You cannot add additional Duke personnel to the composite; instead, Key Personnel for the PPG will be compiled from the mini proposals. However, if you have Subcontractors that make up a component project in their own right, add them to the Subcontractor Roster at the bottom of the Roster page.

*The Last Name field is not searchable in this dataset; therefore, type the Last Name, First Name, into those fields. The Subcontracting Org field is searchable. Be sure to select appropriate Project Role (usually Subcontractor PI). Reminder: subcontractors added to a Composite proposal must not be associated with any mini proposal, rather, they make up a distinct project of their own.*

17. The remaining fields in this notebook are not required; however, you can enter Bio-Sketch information for any Subcontractors, if you wish.

*Note that Bio-Sketch information for the PPD can be added on the Mini proposal for which the PPD is listed as the PI.*

**Composite Facilities Notebook**

18. If you are using a site other than Duke On-Campus at 100%, adjust the information in the Performance Site dataset on the Sites/Facilities page.

*Note that all performance sites entered on the Mini(s) should also be entered on the Composite proposal. Otherwise, they will not be included in the Composite’s list of performance sites for NIH printing purposes.*

**Composite Budget Notebook**

19. On the Stand-alone Consortium page, enter just the budget for any stand-alone subcontractors that are not associated with any of the minis (each mini will have its own budget):

a. Enter detail for all applicable budget periods.

b. Press the Calculate Indirect Costs button to automatically figure Indirect Costs based on the IDC Rate and Base indicated on the Rules page.

20. The remaining fields in this notebook are not required; however, we encourage you to fill out as much of the information as possible.

**Composite Protocol Info Notebook**

21. On the IRB, IACUC and IBC pages, select the appropriate answer regarding the use of human subjects, animals, recombinant DNA, and hazardous materials.

*If a Mini proposal will be using human subjects, animals, recombinant DNA, or hazardous materials, be sure to include the protocol information on the Composite too. If you select Yes to any of these questions, be sure to fill out all protocol or other information as necessary.*

**Proposal Management Screen**

22. From the Actions menu, select Maintain Minis.
Maintain Minis Screen
23. Press the Insert Row button.
24. Type Project/Core Name for the first component project.
This name also prints on the top of this mini's budget pages.
25. Type the Last Name of the PI for this Mini.
26. Type the maximum total direct costs allowed for this Mini, if applicable.
27. Press the Save button.
28. Press the Open Row button.

Mini Proposal Notebooks
29. The notebooks of the Mini proposal should be filled out in the same manner as you would for a regular proposal. Please see "How do I create a basic proposal?" for more information.

Creating Additional Mini Proposals
30. Repeat steps 22 through 29 as necessary.

Printing
31. Please see help on the Forms Generation screen for information.

Routing
32. Please see "How do I route a proposal?" for more information. Also, please see About Routing and About Routing for Program Project Grants.

How do I export proposal information?

Steps for exporting data from SPS:
You can create basic reports from SPS by using the Export feature.
1. Using the Proposal Browser, search for the proposals for which you would like to create a report.
For example, to create a report on a PI's pending proposals enter the PI's name into the Person Last and First name fields and select Pending from the Status drop-down menu, then press the Search button.
2. From the File menu, select Export.
3. If necessary, change the path and/or filename of the report and press OK.
By default, SPS will place the report in the same subdirectory in which SPS resides (e.g., c:\prod\sps), and will name the file using your system date and a csv extension. This extension indicates that it is a comma-delimited file; spreadsheet programs such as Microsoft Excel can read these files.
4. (PC users) Press Yes on the dialog asking you if you would like to open Microsoft Excel. The file will automatically open in Excel, where you can format it as desired.
(Mac users) Press OK on the dialog informing you that the file has been placed on your desktop. Double-click on this file's icon to open it in Excel, where you can format it as desired.

Tip: To quickly format Excel columns, select all of the cells by clicking on the gray rectangle in the upper-left corner of the worksheet where the column and row headings meet. Then, from the Format menu, select Column, AutoFit Selection.
Glossary of SPS Terms

Glossary

Here is a list of some commonly used terms in SPS and/or in the Help System. Please see About Proposal States for additional definitions.


Co-PI - An individual having faculty or PI status and acting as the co-principal investigator of a research project. This individual is identified in the Co-PI area of the Admin page of the Main notebook.

Co-PI Dept. Rights - The rights of those users having a Dept. Admin or Dept. Chair role in Security for the selected Duke Org or the primary Duke Org for the Co-PIs listed on a proposal. An example: a proposal where a Co-PI has a primary appointment in Neurology and a secondary appointment in Genetics, and Genetics has been selected as that faculty member's Duke Org for that particular proposal. Then, the Dept. Admins and Dept. Chairs of Neurology and Genetics would have Co-PI Dept. Admin/Chair Rights to the proposal.

Composite Proposal - The Composite proposal is used to associate all of the mini proposals named as a part of the Program Project Grant. The composite proposal consolidates key information for the mini proposals and allows for the printing of the entire Program Project Grant application.

CSOI - Consortium Statement of Intent. Generated for each Subcontractor listed on the Roster page of the Personnel Roster Notebook.

Direct Costs - Any costs directly attributable to research projects.

DPAF - Duke Proposal Approval Form. Replaced the SOI in the Medical Center, and the ATF on the Campus side.

Duke Org - Any Duke administrative organization such as a department, division, school, or center. Each Duke Org is assigned a BFR.

Indirect Cost Base - Direct costs minus any excluded costs that are not applicable to indirect costs. Sponsors may have different rules for which categories of expense are not applicable, and/or they may have caps for any given budget category.

Indirect Costs - Overhead calculated by taking a percentage of the base.

Master Route - A route that must be finished last before the proposal can advance to the next state. For example, all standard Non-Central approvals must be given before the last person on the Non-Central Master Route can approve the proposal. Also, all approvals, standard and non-standard, must be given before the last person on the Central Master Route can grant institutional approval.

Mini Proposal - The mini proposals make up the components of the Program Project Grant. According to the NIH guidelines, each of these projects should represent an independent as well as an interdependent research effort, and should be prepared in the format of an individual research grant application. In the context of SPS, each mini is an individual proposal with a connection to its composite.

MOU - Memorandum of Understanding. Generated for each person having a joint appointment with the Veterans Administration.
**Non-Standard Routing** - Special routes generated for reviewing proposals meeting certain conditions, such as cancer center membership or facility use. These routes are generated during Non-Central or Central Routing, but approval can be given at any time before the final Central Approver grants institutional approval.

**Owning Duke Org** - The Duke Org that will bear fiscal responsibility if the proposal should be awarded. This Duke Org is identified on the Admin page of the Main Notebook.

**Owning/PI Dept. Rights** - The rights of those users who are setup with a Dept. Admin or Dept. Chair role in User Security for those departments listed as the Owning Duke Org, the selected PI Duke Org, or for the primary Duke Org of the PI listed on the proposal. An example: a proposal has an Owning Duke Org of Comprehensive Cancer Center, a PI with a primary appointment in Neurology, and a secondary appointment in Genetics where they have selected Genetics as the PI Duke Org. In such a case, the Dept Admins and Dept Chairs of the Comprehensive Cancer Center, Neurology, and Genetics would all have Owning/PI Dept. Rights to the proposal.

**Participant** - Any person or TBD involved in the project.

**PI Status** - A specialized status granted to an individual who does not have faculty status, but who has been authorized to act as a PI (for proposal purposes only) by the department chair or dean. The Pre-Award offices maintain the PI status information in SPS.

**PI** - An individual having faculty or PI status acting as the principal investigator for a particular proposal. This individual is identified in the Principal Investigator area of the Main page of the Main notebook.

**PI Assistant** - A person set up in User Security as an assistant for a faculty member. PI Assistants generally have the same view and edit rights as the PI except that they cannot press the Complete button (which routes the proposal for non-central review and approval).

**PI Duke Org** - The Duke Org that is responsible for approving the PI's participation in the research. Usually, the PI Duke Org is the PI's primary appointment; however, a secondary appointment may be selected as the PI Duke Org for a particular proposal.

**PI-Fellow** - An individual not having faculty or PI status but who is applying for a grant in their own name. This individual is identified in the Fellow area of the Main page of the Main notebook.

**PPG Budget** - A Program Project Grant's budget, consolidated using the amounts listed on the summary budget of the composite proposal and each of its associated mini proposals.

**Program Project Director (PPD)** - The person who bears responsibility for the overall scientific leadership and fiscal management of a PPG. This individual is identified as the Principal Investigator on the Composite Proposal.

**Program Project Grant (PPG)** - A mechanism designed to support research in which the funding of several projects as a group offers significant scientific advantages over support of these same projects as individual research grants. In SPS, PPG's consist of a Composite proposal and several associated Mini proposals.

**Programmatic Content** - Specific scientific content and project procedures (e.g., a research plan). This piece is not entered in SPS.
Routing - The way that SPS controls the review and approval process. SPS sends notification to a pre-defined list of reviewers, and places each item in the reviewer's in-box. The routing chain is the proposal's path through the SPS system, and can also refer to the sequence of reviewers.

Special Approvers - Users granted access to a proposal based on that proposal needing special approval due to facility use, materials use, etc. Special approvers do not have rights to view or edit salary.

Standard Central Routes - Standard routes for the Pre-Award Office or the Office of Sponsored Projects. These routes are generated when a proposal enters Central Approval. All approvals, standard and non-standard, must be given before the last person on the Standard Central Master Route can grant institutional approval and advance the proposal to Awaiting Submission.

Standard Non-Central Routes - Standard routes outside of the Pre-Award Office or the Office of Sponsored Projects, such as a department or center's route. These routes are generated when a proposal enters Non-Central Approval and must be approved before the proposal can advance to Pending Central Approval.

To Be Determined (TBD) - An unnamed person to be used as a placeholder for purposes of requesting salary when a specific person has not yet been identified for that role.

About Security Rights

Anyone can create a proposal in SPS. Once a proposal has been created, those who have access to view or edit that proposal varies based on the state of the proposal, and that user's association with the proposal. The exception is the Central Office personnel, who have full access to all proposals.

Please see the Glossary of SPS Terms for definitions of special terms (e.g., Owning/PI Dept. Rights).

Special security exists for Program Project Grants. Please see About Security Rights for Program Project Grants for information.

A few general notes:

- PI Assistants generally have the same view and edit rights as the PI except that they cannot press the Complete button (which routes the proposal for non-central review and approval).
- Co-PI's do not have rights to view or edit salary.
- Those users having a Dept. Admin or Dept. Chair role in User Security for the selected Duke Org or the primary Duke Org for the non-PI, non-Co-PI faculty members listed on the Duke Personnel Roster are not given general rights to a proposal. In other words, they can never see these proposals in their Proposal Browser. However, if these administrators are on the routing chain, then they will be given temporary access via the In-Box so that they can review the proposal. Note that these reviewers are not given access to view the budget, nor can they edit any part of the proposal.
- All editing rights to a section are revoked when that section is marked Complete. If you should have editing rights to a proposal but the proposal appears to be read-only, then go to the Section Status screen and uncheck the Complete box. Remember to re-check sections after making your modifications.

Proposal States

Initialized, Returned for Changes, or Returned for Sponsor Changes *

Owning/PI Dept., PI, and PI Fellow - Full access
PI Assistant - Full access except they cannot complete the proposal due to the certification step
Co-PI - Full access except they cannot view or edit salary and they cannot complete the proposal
Co-PI Dept. and Special Approvers - Can view proposal except salary; no editing rights
* In the Returned for Sponsor Changes state, rights to edit or complete the proposal are only conferred if the proposal was sent back to the PI to make changes.

**Pending Non-Central Approval**
Owning/ PI Dept. - Full access
PI, PI Fellow, and PI Assistant - Can view full proposal and can edit those sections not marked complete
Co-PI - Can view proposal except salary and can edit those sections not marked complete
Co-PI Dept. and Special Approvers - Can view proposal except salary; no editing rights

**Pending Central Approval**
Owning/PI Dept., PI, PI Fellow, and PI Assistant - Can view full proposal and can edit those sections not yet marked complete
Co-PI - Can view proposal except salary and can edit those sections not yet marked complete
Co-PI Dept. and Special Approvers - Can view proposal except salary; no editing rights

**Awaiting Submission**
Owning/PI Dept., PI, and PI Fellow - Can view full proposal; no editing rights; can submit the proposal
PI Assistant - Can view full proposal; no editing rights or submission rights
Co-PI, Co-PI Dept., and Special Approvers- Can view proposal except salary; no editing or submission rights

All other states
Owning/PI Dept., PI, PI Fellow, and PI Assistant - Can view full proposal; no editing rights
Co-PI, Co-PI Dept., and Special Approvers - Can view proposal except salary; no editing rights

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**About Security Rights for Program Project Grants**

Security for a PPG is based on security for regular proposals; however, due to the nature of Composite and Mini proposals, some individuals have special access. Note that the Program Project Director (PPD) is the PI of the Composite proposal; the PIs of the Mini proposals are simply noted as PIs.

Please see [About Security Rights](#) for detailed information regarding rights to proposals.

**Access to Composite and all associated Mini Proposals:**
Program Project Director (PPD)
PPD's Assistant
Owning/PPD Dept.
Central Offices

**Read-Only Access to Composite and any Mini Proposal requiring review by that role:**
Special Approvers

**Access to Mini Proposal on which they are identified:**
PI
PI Assistant
Co-PI
Co-PI Dept.
About Routing

SPS uses routing to control the review and approval process. Please see About Proposal States and Glossary of SPS Terms for definitions of terminology used here.

Notes:

- Whenever a proposal is routed to someone, that person will receive an email notification through their regular email channels. Then in SPS, they can go to their In-Box and quickly access the proposal. Buttons for routing (Approve, Return, Submit, etc.) appear both on the In-Box screen itself as well as the Proposal Management screen.
- Routes will go up the BFR chain. For example, if the Owning Duke Org is Medicine-Neurology, then the proposal will route first through the Neurology Division, and then through the Department of Medicine.
- SPS will only send a proposal to a route once; for example, if the Owning Duke Org and the PI Duke Org are the same, then the proposal will only go through that Duke Org’s route one time.
- In cases where the proposal is routed to the PI but the PI is not an SPS user, the proposal will be sent to the Departmental Administrator of the PI Duke Org.
- Keep in mind that many departments and reviewers are not using SPS yet. If a routing chain is not set up for an area, then manual signature lines will be added to the DPAF in lieu of a route being generated for that area.

Initialized State

Once all of the required sections of a proposal have been filled out, the PI or Departmental Administrator can mark the sections as Complete, and then press the Complete button on the Proposal Management screen to begin the routing process (Please see How do I route a proposal? for detailed steps).

Pending Non-Central Approval State

At this point, SPS determines all of the Non-Central routes through which the proposal needs to route. You can see these routes on the Document History screen.

Standard Non-Central routes include:

- Owning Duke Org (Master Route)
- PI Duke Org
- PI's Primary Appointment
- The Duke Org selected for any other faculty listed on the proposal (including Co-PI's)
- The Primary Appointment of any other faculty listed on the proposal (including Co-PI's)

Non-Standard routes include:

- Facility Manager
- Recombinant DNA Approver
- Biohazardous Approver
- Cancer Center Approver

Pending Central Approval State

Once the last person in the Owning Duke Org routing chain approves the proposal, then the Central routes are generated.

Standard Non-Central routes include:

- Office of Grants & Contracts if Owning Duke Org is in Medical Center (Master Route)
Office of Research Support if Owning Duke Org is on Campus (Master Route) or if a campus faculty member is listed in the Personnel Roster

Non-Standard routes include:
- NCBC Approver
- Institutional Training Grant Approver (Medical Center only)
- Alterations Approver (Medical Center only)
- Corporation Approver (Campus only)
- Foundation Approver (Campus only)
- Fiscal Officer Approver (must be manually initiated by Pre-Award Office)

Returned for Changes State
Should a proposal be returned for changes, the proposal will be routed back to the PI. Once the proposal has been modified and Completed, the proposal will re-enter the Pending Non-Central State and all Standard Non-Central Routes will be regenerated. Any Non-Standard routes that had not yet been approved will remain; however, the proposal will not be re-sent through any Non-Standard routes that have already been approved.

Awaiting Submission State
When the last person on the Central Office Master Route approves a proposal, a snapshot of the proposal is taken and the proposal is routed back to the PI for submission. The PI should then Submit the proposal to ensure that it is in the proper state for reporting purposes.

Returned for Sponsor Changes State
If changes need to be made during award negotiations or due to a sponsor's request for additional information, then the Pre-Award Office may place the proposal in a Returned for Sponsor Changes state. The Pre-Award Office has four options:
- Route to Pre-Award Administrator to make changes and have no additional re-routing.
- Route to Pre-Award Administrator to make changes and then regenerate all Standard Non-Central routes.
- Route proposal to PI and then regenerate all Standard Non-Central routes.
- Route proposal to PI and have no additional re-routing.

About Routing for Program Project Grants
Routing for a PPG is based on routing for regular proposals. The most significant variation is in whether an approver receives access to the Mini proposal only, or to the Program Project Grant as a whole. Note that the Program Project Director (PPD) is the PI of the Composite proposal; the PIs of the Mini proposals are simply noted as PIs.

Please see About Routing for detailed information regarding routing for proposals.

Mini Proposal - Pending Non-Central Approval State
Upon Completion of a Mini Proposal, that mini will be routed to:
- Program Project Director (PPD)
As well as to any of the following Standard Non-Central Routes, if different from the PPD Duke Org or Owning Duke Org:
- PI Duke Org (Master Route)
• PI's Primary Appointment
• The Duke Org selected for any other faculty listed on the Mini (including Co-PI's)
• The Primary Appointment of any other faculty listed on the Mini (including Co-PI's)

**Mini Proposal - Returned for Changes State**

Should a mini proposal be returned for changes, the mini will be routed back to the PI. Once the proposal has been modified and Completed, the proposal will re-enter the Pending Non-Central State and all Standard Non-Central Routes will be regenerated.

Once a Mini proposal has been approved through Non-Central Routing, the state of that mini will change to Pending Central Approval. However, no Central routes will be generated for a Mini proposal; instead, all Central routing will occur for the PPG as a whole.

Once all of the Mini proposals have completed Non-Central Routing, then the Composite can be Completed. Completing a Composite essentially routes the PPG, as those who can access the Composite can access all of the Mini proposals associated with it.

**PPG - Pending Non-Central Approval State**

Upon Completion of the Composite Proposal, the PPG will be routed to the following Standard Non-Central Routes:

- Owning Duke Org (Master Route)
- PPD Duke Org
- PPD's Primary Appointment

As well as to any applicable Non-Standard Non-Central Routes:

- Facility Manager
- Recombinant DNA Approver
- Biohazardous Approver
- Cancer Center Approver

**PPG - Pending Central Approval State**

Once the Standard Non-Central Routes have been approved, the PPG will enter a state of Pending Central Approval. From this point forward, the PPG will follow the same rules as for a regular proposal.

**PPG - Returned for Changes State**

Should a PPG be returned for changes, the PPG will be routed back to the PPD, and any Mini proposal selected for return will be routed to its PI. Once a returned Mini proposal has been modified and Completed, the Mini will re-enter the Pending Non-Central State and all Standard Non-Central Routes will be regenerated. Any Non-Standard routes that had not yet been approved will remain; however, the proposal will not be re-sent through any Non-Standard routes that have already been approved. Once all Mini's have completed Non-Central Routing, then the Composite can be Completed and the PPG will be re-routed for Non-Central Approval.

**Awaiting Submission State**

When the last person on the Central Office Master Route approves a proposal, a snapshot of the proposal is taken and the PPG is routed back to the PPD for submission. The PPD should then Submit the PPD to ensure that it is in the proper state for reporting purposes.
Returned for Sponsor Changes State
If changes need to be made during award negotiations or due to a sponsor's request for additional information, then the Pre-Award Office may place the Composite, and also selected Mini proposals, in a Returned for Sponsor Changes state. The Pre-Award Office has four options:

- Route to Pre-Award Administrator to make changes and have no additional re-routing.
- Route to Pre-Award Administrator to make changes and then regenerate all Standard Non-Central routes.
- Route proposal to PPD and any PIs, and then regenerate all Standard Non-Central routes.
- Route proposal to PPD and any PIs, and have no additional re-routing.

About Copy and Paste
There are some known issues with cut, copy, and paste in SPS.

- To cut, copy, and paste, either use the keyboard shortcuts (Ctrl-X, Ctrl-C, and Ctrl-V, respectively) or use your right mouse button.
- If you do not see the cut, copy, and paste options when you click on your right mouse button, please adjust your SPS User Preferences: on the SPS Main Menu screen, select the Options menu, then select Preferences. Check the Swap Mouse Buttons checkbox and then press Save. Note that this preference only affects SPS; your other applications will be unaffected.
- You will lose formatting and special characters if you copy from a rich-text field (such as the Summary of Work) to a non-rich text field (such as the Full Title).
- You can paste from MS Word into rich text fields in SPS, and much of your formatting and special characters will be retained. However, please be sure to PROOFREAD YOUR PASTED SELECTIONS CAREFULLY!
- There are several known issues with pasting from SPS into MS Word. First, you will NOT retain formatting (e.g., bolded text will be pasted as plain text). Second, if your selection includes certain special characters (primarily Greek or Math characters), then the entire selection may not paste at all. This functionality will be provided in a future release of SPS.

If you notice severe problems with cut, copy, and paste in SPS, please report the problems to the SPS development team. To report problems, click on the Contact Us link on the SPS Web Site.