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Zero Dollar Collaborations

Unfunded Collaborations
The PACUR questions are no longer required for unfunded collaborations.

In order to provide a project summary to reviewers, please upload an abstract in field 11.15, “Proposal Attachments” (May be a .doc, .docx, .pdf).

In addition, a feasibility review is not required for unfunded collaborations.

However, when you complete the Proposal Form, it will indicate that “You have successfully completed the Proposal Form. Go to budget & PACUR.” This is a standard sentence that doesn’t apply to unfunded collaborations.

Budget and PACUR are not required for unfunded collaborations, this is just a standard sentence that does not apply to unfunded collaborations.

Unfunded Collaborations with co-sponsored efforts
Generally speaking all unfunded collaborations have a component of co-sponsored efforts from base or other grants because we are doing the work and not receiving funding for it.

When creating the proposal in PandA, please select the option of "Unfunded Collaboration". This will send the proposal through the zero dollar workflow.

The Unfunded Collaboration (Zero Dollar Proposal) can accommodate a co-sponsorship budget, but that is only needed if you want to track that internally or if the sponsor requires it. For example, in the past the European Union wanted a letter confirming that we had the resources available to participate. In that instance we did prepare a co-sponsorship budget.

PACUR is NOT required.

Export Control Review - Required for Unfunded Collaborations?
The Export Compliance questions are required for the unfunded collaborations.

Until these questions are answered, you will receive an error message that some required fields have are incomplete when you try to submit for review.
Budgets

I can't see the salary of someone who should be on my budget...why?
Every UCAR/NCAR staff person who appears on the budget must be named on Proposal Form field 3.1

How do I add co-sponsorship?
1st, go to proposal smartform page 7, field 7.1, and make sure there is at least one budget period set up...
click on "add" and then you'll get a row with fields you can adjust.

Then, Exit from there. You should "land at" the proposal overview, with a blue panel on the left.

Look under "Create/New budget" click on that.

This will take you to the 1st budget smartform page. You can use the "Jump To:" menu near the top to go to
General Budget Info, or you can click "continue" from the "budget/title" page.

Budget form 1.2 asks about co-sponsorship - and you will indicate "YES".

This will enable you to create a co-spons. budget.

Now, click "exit," get back to the blue screen, and now go to the "Budgets" tab.

You will see a budget name/hyperlink about halfway down the page, click on the name of the budget or the
"Smartform" to "jump to" Salary & Benefits (even if that's not what you plan to cosponsor.)

Near the top left, just beneath "Salary & Benefits: Calculated by FTE", there is the word Budget next to a
drop down window.

In that drop down, choose "Co-sponsorship budget"

Doing this will cause a change in the drop down list, when “co-sponsorship budget” is showing in the top
left corner, you can use the "jump to" find High Performance Computing...

Then you can "add" rows, choose the appropriate allocation type, and continue budgeting.

Why can’t I edit the co-sponsor budget?
If you are listed as the PA and you cannot edit a co-sponsorship budget, add yourself as an AST and edit
access will be granted.

How do I view budgets that include co-sponsorship?
Once you have created a co-sponsorship budget, you may view the co-sponsorship budget, the request-to-sponsor budget, or both of these combined into one.
To view these budgets, click on the Budget Report tab (it’s to the right of the Budgets tab).

Look for the words “Budget Report Type” in bold font about halfway down the page.

Beneath this heading, there is a drop down window, which (if you created a co-sponsorship budget) will show options for the “UCAR Budget,” the “UCAR Budget w/Cosponsorship or Cost Share,” and the “Cosponsorship or Cost Share Budget.” Choose whichever you want to view, and hit the “Refresh” button that’s above “Budget Report Type,” and you can view and/or export the budget you have chosen to view.

**To add a subaward in PandA**

In the Budget Form, mark 1.3 “YES,” in response to “Does the budget include sub-award of sub-contract activities to another organization?”

Then, still in the Budget Form, 3.1: Enter the name of the subawardee(s) or subcontractor(s) if known.

If the subcontracting institution is not known at time of Proposal, in Budget Form 3.2, enter a brief description of the intent of the sub-activities.

Next, in the Budget Grids, jump to “Purchased Services,” in the “add a row” area, choose a Subaward/Subcontract row from the dropdown options

Now, enter the subaward amount for each year. The system will automatically apply indirects to only the first $25K of the subaward each year.

**Subaward Institution not listed**

Click “Add Organization” from Budget or Proposal main pages and Contracts will be notified to add within a few hours.

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Remove Blank Rows in the Budget Forms
When building a budget it is easy to add another row and then for one reason or another leave the row blank (meaning you do not enter any cost in the row).

It is best practice to remove these blank rows as it could impact the budget reporting.

Multi-Lab (e.g., EOL and CISL) and Multi-Entity (e.g., NCAR and UCP; CGD and COSMIC) Budgets
Multi-lab: In this case, it is up to the labs to decide when to create separate or combined budgets, but keep in mind the sponsor will want only one budget. One consideration is where would the funding reside if it is awarded? If CISL is the lead and CISL plans to have EOL charge to the CISL key, just one budget makes sense.

If instead it’s anticipated that each lab will want to book the funds in separate keys, create two budgets.

Another consideration is the relative level of effort for each lab; for example, if the tasks will be split 50/50, two budgets would probably be preferable; if the tasks will be split 80/20, one budget might be more appropriate.

PandA easily combines the budgets to submit to the sponsor.

Multi-entity (an NCAR Program, Division, or Lab and a UCP Program): Under this scenario, separate NCAR and UCP budgets will be preferred the majority of the time.

Given tight budgets and the need to generate MTDC, it is preferred that separate budgets be created so that NCAR can track and charge against the funding that is in direct support of NCAR activities.

If the percentage of effort is more than 10% of a staff person’s time or more than 10% of the cumulative time of all staff to be charged in a given fiscal year, then separate budgets are required. If less than 10% we will evaluate on a case by case basis.

If NCAR is collaborating with UCP in an unfunded capacity, the system cannot handle a complex (multi entity) proposal with a zero dollar workflow. In that scenario, NCAR should create a separate, zero dollar proposal.

Rates and Fees
Rates and fee percentages used in PandA are the latest that have been submitted and approved by NSF.

Fee will automatically calculate in PandA. If a fee waiver is required, B&P will make the request and upload the approval in PandA.
**UCAR Fee – How do I override the UCAR Management Fee?**
The system is currently set to calculate the UCAR fee for NSF proposals to 0%.

Because a fee waiver request is currently required for DOE proposals, the system automatically defaults the UCAR fee to 3%.

To override this, on the budget smartform, field 2.1, answer "Yes" (override necessary) and then set the UCAR fee to 0%.

**Does this require a fee waiver? (Budget Form field 2.2)**
Fee will automatically calculate in PandA. If a fee waiver is required, B&P will make the request and upload the approval in PandA.

**DOE & EPA:** DOE and EPA usually do not pay the UCAR fee, and a fee waiver is required for proposals to these sponsors. Please select yes in Budget Form field 2.2, and Budget and Planning will request a Fee Waiver from Katy Schmoll, VP of Finance & Administration.

If the sponsor is NSF, a waiver is never required.

If the sponsor is NOAA, and our policy requires we don't include fee, a waiver is not required (Fee Waiver policy is posted here (See FY2014 NCAR Provision Rates & Fees (pdf)): [https://ncar.ucar.edu/budget-and-planning/proposals/proposal-and-budget-development/rates/](https://ncar.ucar.edu/budget-and-planning/proposals/proposal-and-budget-development/rates/)

**Target Direct Amount**
Please disregard the 'direct' portion of this title; this number may include an estimate of both “direct” and “indirect” costs. The intention is that this field be used as a guide when building a budget, to remind you of the general annual cost you are trying to meet, for example $200k per year.

**Inflation Rates**
Salary: If crossing fiscal years, PandA uses a blended salary that assumes an annual inflation/raise of 4%. The budget office does NOT have override capability. However, all users are able to adjust annual salary amounts, initially provided from iVantage.

Non-labor: If crossing fiscal years, PandA uses a standardized inflation rate of 3% but this can be overridden.

**How does B&P know when the budget is ready to review?**
Even though it is not required by the PandA system, B&P would like to see a budget (draft is okay) in the
system when we review the PACUR forms. If multiple budgets have been created to track budget versions, it would be nice if the latest budget is selected as the budget to include in the proposal so B&P knows which one to review, but this can be changed at any time.

The PACUR forms should be approved by the DIR and PA and submitted for Budget Office review at the two week deadline, which is similar to our current process. As B&P reviews the PACUR form, we will look at the draft budget in the system to confirm various things (i.e. if the proposal is 3b and the sponsor is NASA, does the budget include a university subaward).

2. Then, when the Proposal is in the state "Draft Proposal in Development", and the PA or PI is ready to "Submit Proposal for Director (LAB) and Administrative Approval", the budget that is part of the final proposal package must be checked to "Include in Proposal". The LAB and PA will be approving the final proposal package in this portion of the workflow approval process and this step should take place 3-4 days prior to the sponsor deadline.

**Can DIR approve Proposal before budget is final, or will workspace be locked down?**

DIR can approve proposal. Then state becomes “awaiting BO approval.” If Admin needs to make changes, the budget office can return this to lab, with a note that says “I’m returning this to you to enable budget updates.”

**Budget Periods, Start and End dates**

The budget periods are defined in Proposal Smartform field 7.1, "Budget Periods." The system automatically populates the "Date Project Starts" date at 6 months out from the date you started the proposal. To override this start date, use the calendar feature next to the field. If you select a date earlier than 6 months, you will notice a negative number in the "Project Length" field.

Just ignore for the moment. Then to acquire your end date, use the "Add" button to add periods. This will automatically fill in the end date based on the number of periods you add.

**Domestic vs Foreign Travel?**

On the Travel Grid (both detail and no detail rows) there is a box on the left side that says "Foreign".

If you check that box, the travel amount will appear in the Foreign section of the budget reports.

**Clarification regarding “in transit” per diem for foreign travel**

The calculation for .75 of a transit day is already built into the calculation in PandA. When the user enters 2...
(two) “In transit” days, the system will automatically calculate this as .75 + .75 =1.5.

**Attachments**

**Letters of collaboration for over $300K, “3c,” Collaborative without Funding, proposals?**

If you are working on an over $300K “3c” proposal, PACUR will prompt you to describe in detail the nature of the collaboration including letters of collaboration. You will attach collaboration letters in the field below the 3c PACUR over $300K text box, not on the Proposal attachments page.

**Subawards and Sole Source Justifications – Where do they belong?**

When Contracts approves a Sole Source Justification (SSJ) request, the lab will post the approved SSJ on the proposal attachments page, field 11.15. Additionally, the lab will post the subaward budget and SOW in the same place.

**Final Proposal Packages - Where to Upload in the System**

If a hard copy submission, please upload it in the section: Final Hard Copy / Email Submission Package.

If there’s an email that you received from a sponsor or another participant, please attach in the section Corresponding Submission Documents.

The user will designate the final submission package utilizing the activity "Designate Final Submission Package". This will prompt the system of the package that should be accessible to NSF in the NSF workspace.

The user also needs to upload a copy of the final budget report utilizing the activity "Upload Budget Report".

And finally, initiate the activity "Designate Final Budget Report". This will prompt the system to save a copy of the budget that should be accessible to NSF in the NSF workspace.

If you want to make a change to this proposal, you can access the proposal under the Proposals Tab and then the Submitted to Sponsor Tab. Then execute the activity "Submission Package Update". This would allow you to attach the final proposal in the Hardcopy section and the email in the corresponding documents section.

The documents that have been uploaded will be viewable under the tab "Submitted to Sponsor".

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FIDs?
FIDs are currently only required prior to proposal submission for proposals submitted to NSF or NIH.

All other FIDs will be collected by UCAR Contracts at time of award.

FIDs are required for the PI, Co-PIs and Co-Is (not collaborators).

Pop Up Boxes
Throughout the data entry forms in Proposal, Budget, and PACUR you will receive a Pop Up Box when entering a team member, sponsor contact, subaward, etc. If you leave the pop up box to go a website or email, or any other document, the Pop Up Box seems to disappear when you go back into the PANDA screen. The Pop Up Box is still "there", it's just hiding behind your other open windows. You'll need to reduce your other windows in order to see the Pop Up Box. You also may see an unusual icon at the bottom of your computer screen indicating a Pop Up Box is awaiting a response from you.

NASA/China Forms
Where do I find a blank form?
https://www.fin.ucar.edu/forms/internal/sponsored_agreements/nasa_china_fundingstriction_form/nasa_china_fundingstriction_pi_questionnaire.shtml

Purpose: This form is required at time of proposal and may be required at time of award for supplemental funding requests, award modifications, etc. to confirm the NASA project does not involve collaboration, coordination, or participation with China, a Chinese-owned company, any company incorporated under the laws of China, or individuals in any way affiliated with the Chinese government.

Who Should Use the Form: This form should be initiated by the lab/division/program and signed by the Principal Investigator and a separate form by each UCAR named Co-PI’s (excludes Co-I) for all funded NASA proposals where UCAR is the lead institution. In situations where UCAR is not the lead institution, the form will only be required for funded and unfunded proposals if requested by the lead institution. In this case, the lead institution will probably provide its own form, which may need to be signed by a Contract Administrator in UCAR Contracts.

Where do I attach these forms in Panda? Complete the form, have PI sign (and Contracts, if required when NCAR is not the lead), then upload in the proposal attachments area of PandA, field 11.15.
**Miscellaneous**

**Importance of Updating PandA with Accurate Due Dates**
(once a pre-proposal is submitted, for example)

Please keep in mind that it is important that everything in PandA is kept up to date (such as actual due dates, updating final budgets, and loading final proposal packages). With the signing of the new cooperative agreement with NSF we must make sure that all submitted proposals are viewable by NSF otherwise we are in breach of our contract. Each proposal also affects monthly and yearly report that we create internally and for NSF.

**Navigating the SmartForms when you may not have all required information**

If you are entering information in a page and you do not know the answers to all of the required questions, you have to use the "jump to" menu at the top of the screen to proceed to one of the other pages. If you click on the "back" or "continue" buttons you will receive an error message.

**I can't find the agency I want to work with, how do I get that added?**

Please go into the PandA proposal you are working on. From both the Proposal and Budget workspaces, there is a General Activity to "Request to Add Organization". This will send an email to Contracts to add that sponsor, subaward, or collaborator.

**The PI doesn’t know if there are foreign persons involved, so can’t answer 3.4**

Q: Does this question only apply for NCAR staff or all collaborators in the project?

A: Question 3.4 is for all collaborators on the project and the question should be reviewed again at time of full proposal. Unknown is not an option as the PI is responsible to know if there are any foreign participants working on proposals.

**Reviewer Checklist tab (In the Proposal & PACUR Workspaces)**

The "Review Checklist" tab within the Proposal workspace identifies the roles that need to approve each section of the PandA record, and once those approvals are completed, records the date and name of the approver.

When the Proposal is still in the state "Proposal Initiation" the "Review Checklist" references the PA, DIR and LAB Approval for Feasibility Review. The approvals required for feasibility review are the PA and either the DIR or LAB.
Notifications for Request of Feasibility Review/Approval
The system is currently configured to send a notification to the following roles/individuals when Feasibility Review is requested:

PA role - to the PA that has ownership of the proposal. If the proposal does not have a PA assigned, the notification will go to all PAs in the lab (RAL);

DIR role - to all the individuals with the DIR role within the program of the proposal (WSAP);

LAB role - to all the individuals with the LAB role within the lab of the proposal (RAL);

BO role - to the BO that has ownership of the proposal. If the proposal does not have a BO assigned, the notification will go to all BOs in NCAR B&P

Feasibility Review
The feasibility review workflow is the only workflow that may be conducted before answers are provided for all required questions.

Viewability of Proposals for PIs Split Between Programs
The DIR role should be able to view proposals from another Division if that Division is named in field 7.1 of the proposal smartform.

Responding to Reviewer Notes
Please ask PIs to respond to reviewer notes within the PandA smart forms, rather than by clicking on “click here to respond” beneath the note(s).

Human Subjects Issues
The UCAR HSC, when reviewing a protocol, will make one of three determinations about the HSC approval:

1. The project does not qualify as having any human subjects issues at all.

2. The project does qualify as having any human subjects issues at all, but is exempt from a full committee review. In this case, the HSC will need to provide an exemption number.

3. The project does qualify as human subjects-related research and requires a full committee review.

The HSC webpage may be viewed here: https://ncar.ucar.edu/human-subjects-committee/hsc-procedures
PACUR over/under $100K; is it possible to change this?
If incorrect amount is estimated (over or under $100K) in 7.1 (Budget Periods), here is the solution:

1. copy/paste all PACUR info into a word doc to retain content
2. withdraw PACUR
3. in Proposal workspace, re-create PACUR, with correct budget estimate (over/under $100K)

HOWEVER, this is only necessary if the budget was underestimated. In other words, if the PACUR for over $100K props is submitted for a $1500 prop, no need to update; if the PACUR for under $100K props is submitted for a $2M budget, necessary to update PACUR so additional responses are entered.

Do I have to use PandA if I’m submitting a pre-proposal?
Yes, you need to create a rough outline of the proposal prior to submission of your pre-proposal.

However, don’t submit in PandA until it is ready for review of the full proposal submission.

At time of the Step 1/pre-proposal, B&P reviews and approves submission of these outside of the system. The proposal "shell" is created in PandA, and feasibility review is initiated, but otherwise these don't move through the PandA states.

Because a pre-proposal doesn't require DIV or LAB approvals, when a pre-proposal review is needed, please send an email to ncarprop that references the PandA record number, and it will be reviewed. Comments and/or approval to submit the pre-proposal will be communicated through email.
Once the step 1 or pre-proposal is final, the lab admin will upload the submitted pre-proposal in field 11.11. Then, when it’s time to submit the full/step 2 proposal, the PandA proposal will be completed, submitted, and approved by B&P.

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