WEB FORM DELIVERABLE INSTRUCTIONS

February 2018
Contents

Simons Foundation Award Policies ..........................................................3
proposalCENTRAL (pC) ..........................................................................4
Submission Deadlines ..........................................................................5
Accessing Awards and Web Form Deliverables ......................................6
Understanding the Web Form ..................................................................8
Text Fields Section ................................................................................8
Upload Section .....................................................................................8
Other Support Section ..........................................................................9
Publications Section ...........................................................................11
How to report if Other Support or Publications do not exist ...................11
How to update the PI’s Professional Profile if you are not the PI .............11
Submitting the Web Form Deliverable ..................................................12
Grantee Institutions That Do Not Allow Electronic Signature ...............13
Contacts & User Access .......................................................................13
How to Request Edits to the Contacts & User Access Section ...............14
Delegated SO/FO Edit Access ...............................................................14
Simons Foundation Grants Staff Contacts ..........................................14
Simons Foundation Award Policies

The terms and conditions applicable to awards funded by the Simons Foundation are set forth in the Policies and Procedures document, unless otherwise stated in the award notification. You can reference your award notification at any time in proposalCENTRAL (pC). It’s located in the Correspondence & Notes section of your award. Grantees and their institutions must abide by all applicable laws and regulations.

Simons Foundation will only accept Web Form Deliverables submitted by the Signing Official (SO) with the exception of the Electronic Fund Transfer (EFT) Payment Information web form, which can also be submitted by the Financial Officer (FO).

Who is the Signing Official?
A signing official (SO) has institutional authority to legally bind the institution in grants administration matters. The individual fulfilling this role may have any number of titles in the applicant/grantee institution. The label signing official is used in conjunction with proposalCENTRAL as a role and not necessarily the title of the individual. The SO is responsible for the proper administration of the grant, including but not limited to overseeing the submission of the grant Activation Agreements, Reallocation Requests, Progress Reports, Carry Forward Requests, No Cost Extension Requests and Electronic Fund Transfer Payment Information forms. Additionally, the SO is required to certify that all information submitted is accurate, that the terms of the award are acceptable and that the applicant/grantee institution will comply with all applicable laws and Simons Foundation policies.

Who is the Financial Officer?
The financial officer (FO) is designated by the grantee institution and is responsible for the proper accounting of grant funds. The individual fulfilling this role may have any number of titles in the applicant/grantee institution. The label financial officer is used in conjunction with proposalCENTRAL as a role and not necessarily the title of the individual. In this role, the individual is required to complete the required annual Financial Statements, any budgets and the Electronic Fund Transfer Payment Information form as needed. Additionally, the FO is required to certify that all information submitted in the Financial Statement, budget or the Electronic Fund Transfer Payment Information form is accurate, that the terms of the award are acceptable and that the applicant/grantee institution will comply with all applicable laws and Simons Foundation policies.

For most institutions, the SO and FO are located in its Office of Sponsored Research or equivalent. An individual can be assigned both an SO role and FO role on an award if applicable.
The Simons Foundation will grant Principal Investigators (PI), Signing Officials (SO), Financial Officers (FO), as well as other grantee institution staff members Edit access to pC. Edit access allows you to submit progress reports, financial statements, publications and other documents in pC to the Simons Foundation. The foundation will not accept hard copies or emailed documents unless instructed otherwise by foundation staff. If you need Edit access to prepare or submit financial statements or other required reports to the foundation, please refer to the Contacts & User Access section for further instructions.

To access pC, go to http://proposalcentral.altum.com/.
The following is a list of Web Form Deliverables and their deadlines (unless specified otherwise in the award notification). Grant payments and future grants to a PI and institution are contingent on submission of required reports.

<table>
<thead>
<tr>
<th>Web Form</th>
<th>Required?</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activation Agreement</td>
<td>Required</td>
<td>Due on or before the start date of the grant</td>
</tr>
<tr>
<td>EFT Payment Information</td>
<td>Required</td>
<td>Due on or before the start date of the grant and by the renewal date</td>
</tr>
<tr>
<td>Progress Report</td>
<td>Required, unless submitting a Carry Forward or No Cost Extension Request or stated otherwise in an award notification</td>
<td>Due 60 days following the end of each funding year</td>
</tr>
<tr>
<td>Carry Forward Request</td>
<td>See Grant Policies and Procedures section on Carry Forwards</td>
<td>Due 30 days prior to the end of the funding year</td>
</tr>
<tr>
<td>Reallocation Request</td>
<td>See Grant Policies and Procedures section on Reallocations</td>
<td>Rolling</td>
</tr>
<tr>
<td>No Cost Extension Request</td>
<td>Required to extend the end date of a grant regardless of the amount of unexpended funds</td>
<td>Due 30 days prior to the grant end date</td>
</tr>
<tr>
<td>Final Progress Report</td>
<td>Required, unless stated otherwise in an award notification</td>
<td>Due 60 days following the grant end date</td>
</tr>
</tbody>
</table>
To access an award, log in to pC using the APPLICATION LOGIN.

If you forgot your password, click the Forgot Your Username/Password? link. For technical assistance with pC, please call 800-875-2562 or email pcsupport@altum.com.

After you are logged in:

**Step 1**
Click on the MANAGE PROPOSALS tab.

**Step 2**
Click on the AWARDED tab.

**Step 3**
Click on the AWARD DETAILS link under the Status column for the appropriate award.
Step 4
The Award Details screen links to different sections of the award. To submit an online financial statement, click on the **deliverables** link.

![Award Details Table]

**Award Details**
- PI: Kenyon, Deborah
- Project Title: Test Award
- Institution: Simons Foundation

<table>
<thead>
<tr>
<th>Award Details</th>
</tr>
</thead>
</table>
| Award ID      | 703722  
| Proposal Status | Awarded  
| Cycle         | 2014  
| Original Award Amount | $100,000.00  
| Award End Date | 11/30/2017  
| Total Awarded | $573,100.00  
| Total Expenditures | $234,000.00  

**Award Details Links (click links below for additional award information)**
- Deliverables
- Correspondence
- Abstract & Keywords

![Award Deliverables Table]

**Award Deliverables**

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Deliverable Type</th>
<th>Date Submitted/ User</th>
<th>Type Description</th>
<th>Deliverable Description</th>
<th>Add</th>
<th>View</th>
<th>Delete</th>
<th>Edit Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/01/2014</td>
<td>Activation Agreement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2016</td>
<td>Financial Statement (Period 1)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/01/2016</td>
<td>Renewal Progress Report Web Form</td>
<td></td>
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<tr>
<td>08/01/2016</td>
<td>Reassignment Request</td>
<td></td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>11/01/2016</td>
<td>Carry Forward Web Form</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2017</td>
<td>Financial Statement (Period 2)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>03/01/2017</td>
<td>Renewal Progress Report Web Form</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>10/31/2017</td>
<td>New-Cost Extension</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2018</td>
<td>Financial Statement (Period 3)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>03/01/2018</td>
<td>Final Progress Report Web Form</td>
<td></td>
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</tr>
</tbody>
</table>

Step 5
The Award Deliverables screen provides a schedule and status of all your award deliverables. Find the deliverable that is due, and click on the **START** link to complete the Deliverable Web Form in the next screen. See [Understanding the Web Form](#) for next steps.
Understanding the Web Form

The information you must provide in a Web Form Deliverable will vary depending on the type of award you have. The below sections may appear in a Web Form Deliverable.

**Text Fields Section**

Most web forms will require text field responses. The questions that appear in this section of the web form may be related to the progress of the award or may be financial/administrative in nature. Be sure to read through all of the questions in this section first before entering responses. Web forms may be completed over time.

- **Note!** Save changes frequently. pC will log out a session that is idle for more than 25 minutes.

Enter all responses as text — without any formatting — and click SAVE often to avoid losing your work. To add figures, tables or other images, see the Upload Section for next steps.

- **Note!** pC text fields don’t accept most mathematical or Greek symbols.

**Upload Section**

Upload any required or supplemental files here. Be sure to read the instructions in pC to see if your web form requires a specific file or file format. The foundation will ask you to revise your web form if any required documents are missing from this section.

- **Note!** You can only upload one file in this section. If you have multiple files, you must combine them. The maximum upload file size is 50 MB.
Other Support Section

If this section appears in your web form, the PI must list all current and pending support by following the steps below.

➢ Note! If the PI doesn’t have Other Support, see How to report if Other Support or Publications do not exist.

Step 1

If you are logged in under the PI’s pC account, click EDIT PROFESSIONAL PROFILE.

If you are logged in as an administrator or someone other than the PI, see How to update the PI’s Professional Profile if you are not the PI for next steps.

Step 2
Web Form Deliverable Instructions

You must update Other Support in the PI's Professional Profile. Click **ADD** to add new Other Support entries. Click **EDIT** or **DEL** to update existing entries. Click **RETURN TO DELIVERABLE WEB FORM** after you have finished.

### Step 3

When you return to the web form, the changes you made in the Professional Profile may not appear immediately. If you updated an existing entry in the Professional Profile (e.g., you changed Pending status to Active status), you must delete the entry from the web form and then add it again.

Click **ADD NEW ENTRY** to see a list of available Other Support that you can add to the web form. Remember, if you didn’t add Other Support in the PI’s Professional Profile, you won’t see it in the web form.

### Step 4

Repeat the following process for each Other Support entry:

1) Choose an entry from the dropdown, and the details will populate on the screen.

2) If required, mark whether the Other Support has overlap with your Simons Foundation award and describe the overlap.

3) Click **SAVE**.
Publications Section

If this section appears in your web form, the PI must list all in-press or published articles that are a direct result of funding from the award, unless otherwise stated in pC’s instructions.

The Publications section collects information the same way as the Other Support section. Please see the above Other Support Section steps 1–4 for next steps on updating the Publications section.

How to report if Other Support or Publications do not exist

PIs must confirm that they do not have current or pending support or publications. To confirm the absence of these items, follow the same process as the above Other Support Section steps 3–4. You will see an option for “N/A” in the dropdown.

How to update the PI’s Professional Profile if you are not the PI

If you are not logged in under the PI’s pC account, and you are completing a web form on behalf of the PI, you will need access to the PI’s Professional Profile in pC. The PI must give you access by following these steps:

**Step 1** PI must sign in to his or her pC account.
**Step 2** Click on ENABLE OTHER USERS TO ACCESS YOUR PROFILE link.
**Step 3** Enter the other user’s email address and click ADD USER.
**Step 4** Set the permissions dropdown to Administrator and SAVE.
Step 5 The other user will now have the ability to edit the PI’s Professional Profile. To confirm this, the other user should see the EDIT PROFESSIONAL PROFILE button as shown in step 1 of the Other Support Section.

Submitting the Web Form Deliverable

Once you have completed the Web Form Deliverable, the SO (listed in the Contacts & User Access section of the award) must sign and submit it to the foundation. The SO must log in to his/her own pC account to do both actions.

Simons Foundation will not accept signatures from institutional personnel other than the SO listed in the Contacts & User Access section of the award per the foundation’s policies. If you need Edit access to prepare or submit Web Form Deliverables, please refer to the Contacts & User Access section for further instructions.

How to submit
The SO signs the Web Form Deliverable by typing his/her name in the signature box, which is located at the bottom of the web form screen. The SO must enter his/her own full name and click SAVE SIGNATURE. Finally, the SO must click SUBMIT TO GRANT MAKER AS FINAL to finish the submission process to the Simons Foundation.
Grantee Institutions That Do Not Allow Electronic Signature

If your institution prefers not to sign documents electronically OR if your institution is in a country where e-signatures are not legally binding, as noted in the award letter, you may upload a PDF copy of the financial statement with the FO’s signature.

**Step 1**
Type the phrase “See PDF Deliverable Uploaded” or “Electronic Signature Not Legally Binding,” as applicable, in the electronic signature box of the Financial Statement.

**Step 2**
Submit the deliverable by clicking **SAVE SIGNATURE AND SUBMIT**.

**Step 3**
Print the completed Financial Statement and ask the FO for a handwritten signature.

**Step 4**
Create a PDF of the signed deliverable.

**Step 5**
Upload the deliverable to the Deliverables section on pC.

- Select **ADD DELIVERABLE** on the Award Deliverables Page.
- Select the deliverable called **Signed deliverable for institutions that do not submit electronic signatures** as the Deliverable Type.
- Enter the due date of the deliverable and an appropriate Deliverable Type Description, and click **SAVE**.
- Select **UPLOAD** on the Award Deliverables page and upload the signed PDF.

**Contacts & User Access**

The Contacts & User Access section of an award in pC lists the users who have access to an award, and their relevant account information. The foundation only allows users to have Edit or View access. When the foundation initially makes an award, this section lists the individuals that you listed in your application.
After an award activates, only the foundation’s grants staff can assign roles and add/remove users to this section. pC staff cannot assign roles or add/remove users to an award. Only the SO and FO listed in this section will have the authority to sign deliverable reports.

If your institution has multiple awards with the Simons Foundation, this does not mean all relevant institutional contacts will automatically have access to all awards at the institution.

### Award Details Links (click links below for additional award information)

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Budget</th>
<th>Payments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Correspondence</td>
<td>Contacts &amp; User Access</td>
<td>Outcomes</td>
</tr>
<tr>
<td>Abstract &amp; Keywords</td>
<td>Research Subjects &amp; Assurance</td>
<td></td>
</tr>
</tbody>
</table>

### How to Request Edits to the Contacts & User Access Section

If you would like to update the contacts on an award, the foundation requires that you email a request to your Simons Foundation grants staff contact. The email must include the following information:

- Tell us if we should add or remove someone
- Provide the contact’s name
- Provide the contact’s role on the award (e.g., FO, SO, administrator)
- Provide the contact’s email address associated with the contact’s pC account. If a contact does not have a pC account, he/she must [create one](#) first before you send us a request.

➤ **Note!** Simons Foundation staff cannot make changes to pC user profiles. If you need to update any contact information in your pC profile, e.g., title, address, phone number, email, you must update this within your own pC profile. Additionally, it is the responsibility of the institution and its users to maintain up-to-date pC accounts.

### Delegated SO/FO Edit Access

If your institution needs Edit access to an award(s) for multiple users who will act as an authorized SO/FO under a single account log in (e.g., osp@university.org), you must send the foundation a letter, signed by the Director of Sponsored Projects (or equivalent department) at the institution. The letter must state the names of all individuals who have access to the account on pC.

### Simons Foundation Grants Staff Contacts

For questions about your award, contact the appropriate email address below. Please reference your award notification for your specific contact.

Math & Physical Sciences (MPS): [mps@simonsfoundation.org](mailto:mps@simonsfoundation.org)
Life Sciences: [lifegrants@simonsfoundation.org](mailto:lifegrants@simonsfoundation.org)
Autism Research (SFARI), Education & Outreach (EO), Simons Center for Data Analysis (SCDA): [postaward@simonsfoundation.org](mailto:postaward@simonsfoundation.org)