Purpose

An At-Risk increment establishes a sponsored project account for contracts and grants without Expanded Authorities (authorized under 2 CFR 200), which allows work to begin or continue prior to receiving an official award document. Expenses during the At-Risk period are limited to those authorized on the At-Risk Request form.

Data Needed to Complete this Process

The following data may be needed to successfully complete this process:

- Proposal Number
- Signed and Approved At-Risk Request form
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STEP 1: Review Budgets

Prior to setting up the At-Risk increment, compare the budget on the At-Risk form to the proposed budget to ensure accuracy.

STEP 2: Create Award Increment

2-1) Create an award increment within Proposal Tracking.

- **2-1.1** Open the **Awards** folder in Proposal Tracking. (PT > Awards)
- **2-1.2** Enter Project and Increment dates as stated on the At-Risk form. *(see Fig. 2 below)*
- **2-1.3** Click the **New Award** button.

![Fig. 1](image1)

**Enter these dates into the award increment start and end date fields.**

2-1.2 (continued)

![Fig. 2](image2)

**Enter these dates into the Awarded Project Period Dates fields.**

**Requested period of performance under At-Risk Project:**

1/1/16 to 3/31/16

**Anticipated award period to be funded by Sponsor:**

1/1/16 to 12/31/19

**Anticipated Amount:**

$5,230,136.00
In the pop-up window:
1) Check the box to select the first Budget Period.
2) Enter 0% for the amount.
3) Click Save.

The main Awards summary page will appear momentarily while InfoEd creates the increment. This should take less than a minute to process. Then the screen will refresh and display a new award detail form.
# 2-2) Input Award Details and Budget

<table>
<thead>
<tr>
<th>2-2.1</th>
<th>For <em>Type</em>, select <strong>Prespending</strong>.</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-2.2</td>
<td>In the <em>From</em> and <em>Through</em> fields, enter “Requested Period of Performance” as stated on At-Risk Request form.</td>
</tr>
<tr>
<td>2-2.3</td>
<td>For the <em>Award No.</em>, enter “At-Risk”.</td>
</tr>
</tbody>
</table>
| 2-2.4  | Enter the budget details according to the budget and account codes† listed on the At-Risk Request form.  
- All **Subcontracts** or **Participant Costs** must be inputted on this initial mod, even if they are not funded with this increment. For each, enter a placeholder amount of $1.  
  *This facilitates project set up in SPA.* |
| 2-2.5  | Click **Save**. |

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† At-Risk Request forms submitted prior to March 2016 do not contain InfoEd account codes.
### 2-3) Enter F&A

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-3.1</td>
<td>Open the <strong>F&amp;A</strong> subfolder of the Award Increment. (PT &gt; Awards &gt; [At-Risk/Mod] &gt; F&amp;A)</td>
</tr>
<tr>
<td>2-3.2</td>
<td>Select the <strong>Rate</strong>.</td>
</tr>
</tbody>
</table>
| 2-3.3 | Select the **Base**.  
  - If the Base is **Other**, some categories are excluded from F&A. Refer to the **Proposed Budget** and manually adjust the **Base** amount to $0 in the table for the excluded categories. |
| 2-3.4 | Check that the amount in the main **F&A Amount** field is correct. If it is not, manually override the calculated value with the correct amount. |
| 2-3.5 | Click **Save**. |

![Image of F&A screen with highlighted steps and notes](image-url)
# STEP 3: Attach At-Risk Request Form

**Upload the signed and approved At-Risk Request form in PT.**

<table>
<thead>
<tr>
<th>3-1</th>
<th>Open the main <strong>Attachments</strong> folder.</th>
</tr>
</thead>
<tbody>
<tr>
<td>3-2</td>
<td>Click Add Document.</td>
</tr>
</tbody>
</table>

In the pop-up window:
- Name the attachment “[Proposal #]_At-Risk”.
- Select the **Internal Approvals** category.
- Select the **Approvals** folder.
- Click on **Choose File** to locate and select the At-Risk form file.
- Click **Upload**.

![Image of attachment process](image-url)
**STEP 4: Update Workflow Status**

Update the workflow status in Award Tracking (AT).

4-1 Expand the main **Awards** folder and open the blue subfolder: “Award AWD-[proposal #]”. A new window in Award Tracking (AT) will open.

4-2 The increment just created will appear in the **Award Increments** section. Click on the **Edit** icon at the end of the line.
In the Award Increment Status History section, open the Status drop-down menu. Select WF_Prespending Ready for Setup.
### STEP 5: Award Logging Notes

<table>
<thead>
<tr>
<th>When the award is received, follow standard logging process.‡</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) A new award increment is created and logged with the <strong>full</strong> increment value.</td>
</tr>
<tr>
<td>2) The logger updates the workflow and the award will be forwarded to the Contracts or Grants team as usual.</td>
</tr>
</tbody>
</table>

### STEP 6: Award Processing Notes

<table>
<thead>
<tr>
<th>Enter the remainder in new award increment’s budget detail.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Subtract the amount dedicated in the initial at-risk mod and enter the remainder in the new increment.</td>
</tr>
</tbody>
</table>

‡ See [SOP: Award Logging](#)
Exceptions

If the project is not awarded...

Update the status of the proposal to “Not Funded”.
1) Go to Submissions > New > Status History.
2) Under the Status History section, open the Status drop-down menu and select “Not Funded”.

[Diagram showing navigation steps and status history update]
If the At-Risk period of performance or funding needs to be modified...

1) Create a new award increment (see steps outlined in Step 2: Set Up New Award Increment) using the following provisions:
   - For Type, select Internal: Other.
   - For Award No., enter “At-Risk 1”.

2) Explain reason for new mod in Award Comments.
   - Open the main Awards folder.
   - Under the Other Award Details section, type in the Award Comments box.