University of Colorado **Boulder**

SOP: Award Logging

v.13 copy 1
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Applicable cases

The Award Logging process documents the receipt of an award document (Award Letter or Contract) from a sponsor. This Process must be completed whether receipt is electronic or via mail/fax.

Data Needed to Complete this Process

The following Data are needed to successfully complete this process:

- The Project title
- The Sponsor Information: Name
- The PI information: Full Name, Assigned Department
- The Award Number: Can be found on the Award Document
- The Award Date: The date the award document was received
- The Award Type
- Anticipated Period of Performance
- Authorized Period of Performance
- OCG sequential Mod Number, plus the Mod Number as provided by the Sponsor
- The Proposal Number
- Award Specialist Information

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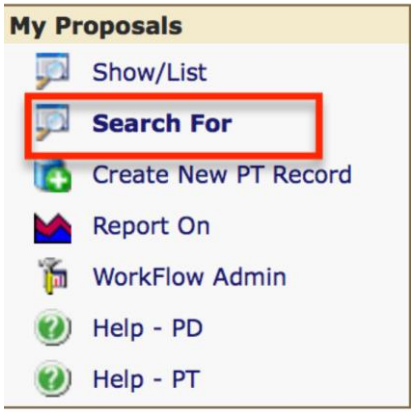
Standard Operation Procedures (SOP):

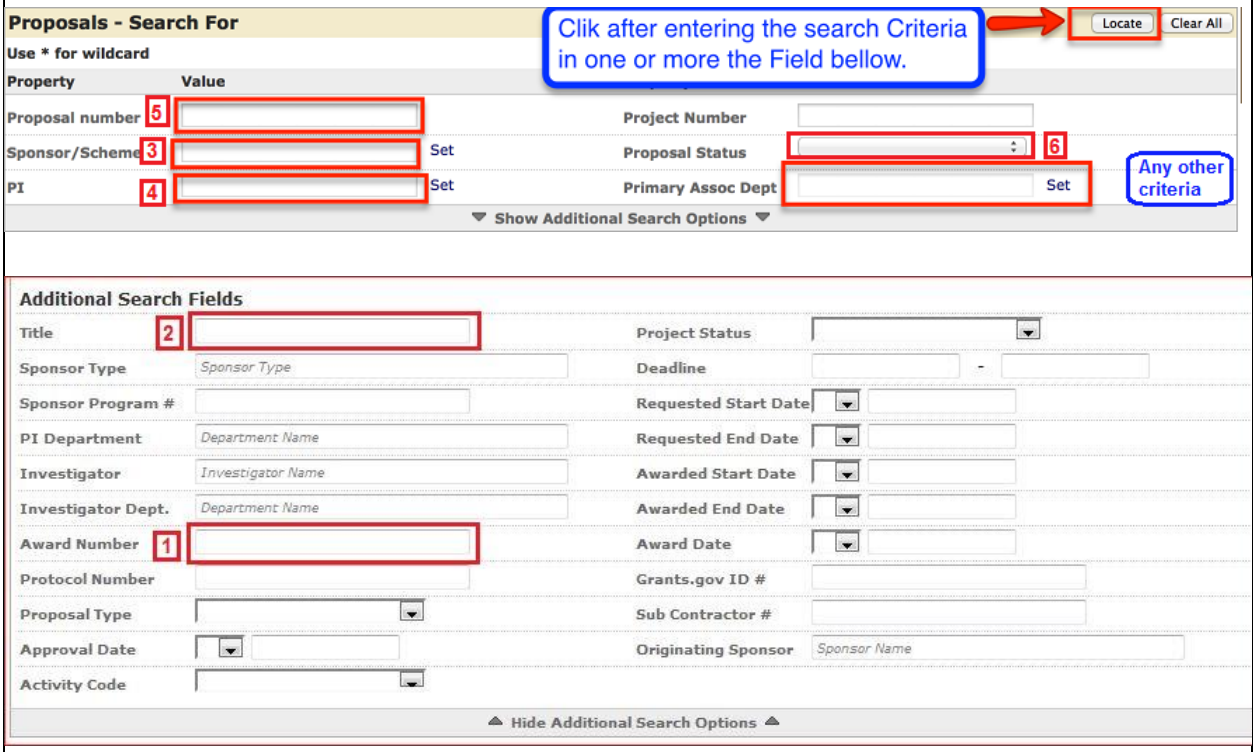
Step 1: Identify the Proposal.

Identifying the proposal submission record to which the award document belongs is crucial. This will be done using combinations of the following information on the Search Screen: (1) the award number, (2) the project title, (3) sponsor name, (4) PI name, (5) the proposal number, (6) and/or the proposal status ["Submitted" or "Award Received"], or any other defining data item.

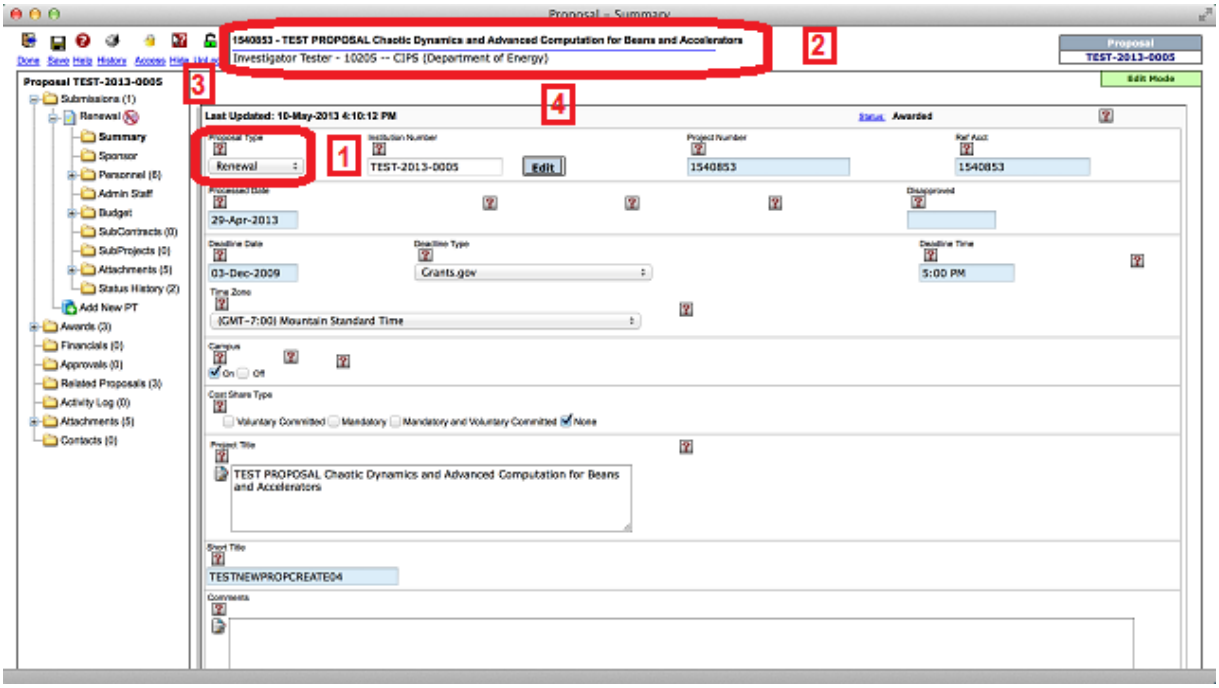
a) MATCH: Go to step 2 if a matching Proposal is found.
b) NO MATCH: If there is no match, then complete the steps for Award Without a Proposal Record (Refer to **SOP RASP Logging** on how to log a RASP proposal).

1-1	Click **My Proposals**.

1-2	Click **Search For**.
	

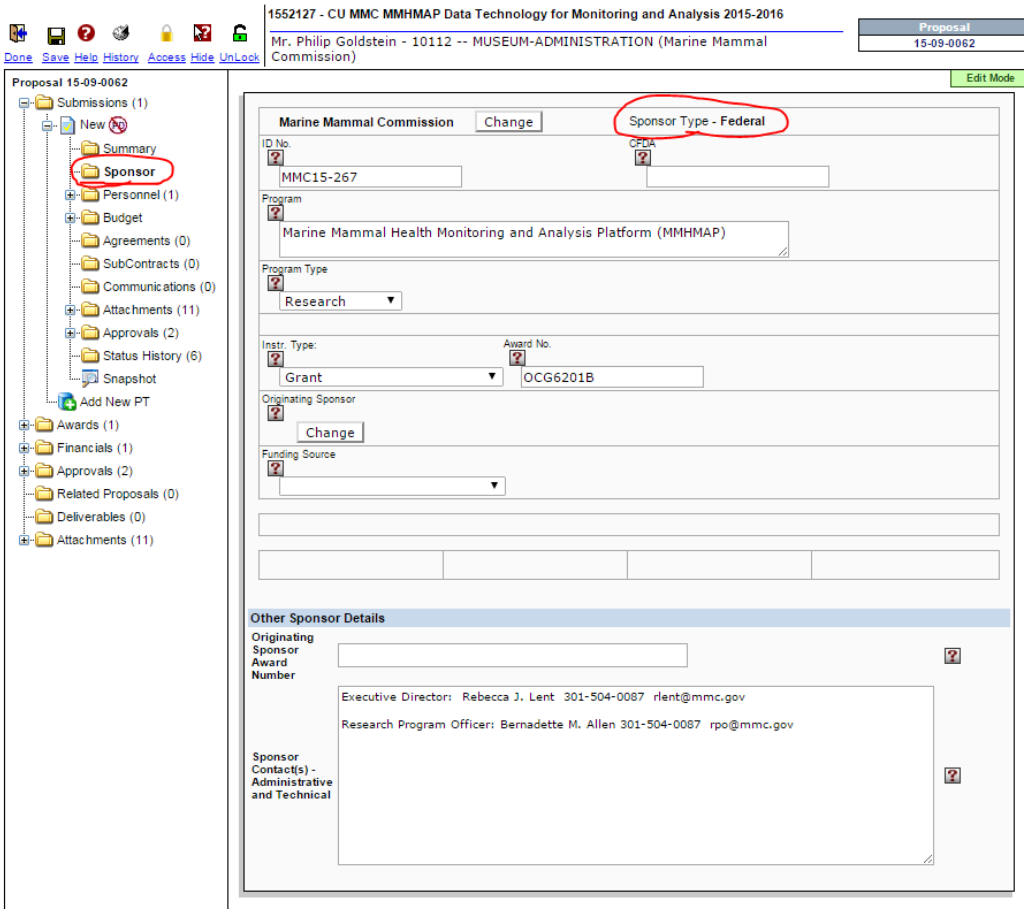
1-3	Input search criteria to locate the desired PT Record and click **Locate** button.
	
1-4	Find the matching PT Record and **Open** it in Edit mode:
	 1- On the Proposal Listing, verify that the **Project Title, PI, Sponsor, Dates** and **Award/Proposal #s** (is shown) match the information on the award document. 2- *If uncertain which record should be used, gather more information before proceeding.* See Logging Clarifications. 3- To open the record, hover the cursor over the **yellow folder** on the left (next to proposal type), until a pop up appears. 4- Click on **Edit** to open the **Summary** folder screen of the Proposal record (it will be opened in a new window).

Step 2 – VERIFY that the OPENED PROPOSAL is the RIGHT one.

2-1	On the **Summary** folder screen, verify that the **Proposal Type** (1), **Project Title** (2), **PI** (3), and **Sponsor** (4) match the information on the award document.
	

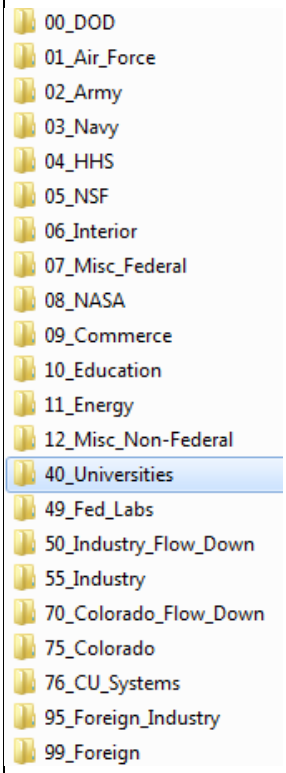
Step 3: Attach the award documents to the PROPOSAL record.

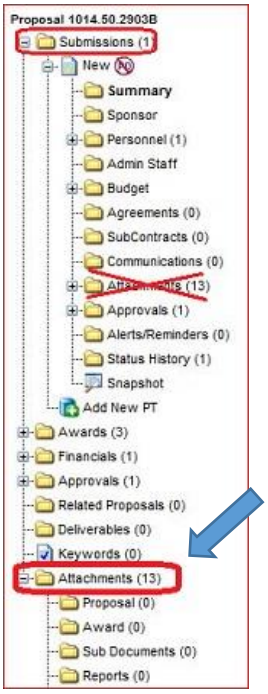
3-1	For proposal numbers automatically assigned from InfoED, determine **Sponsor Type**.

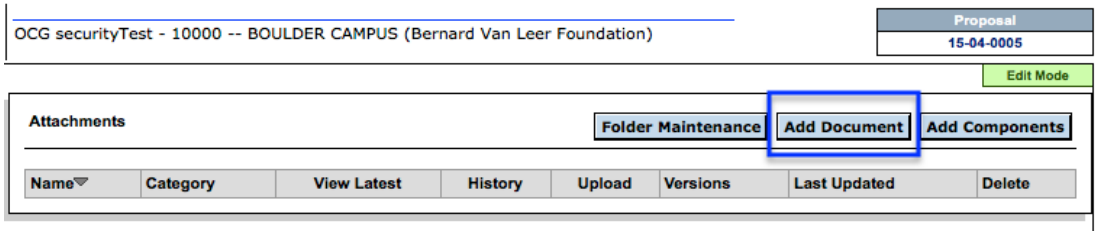
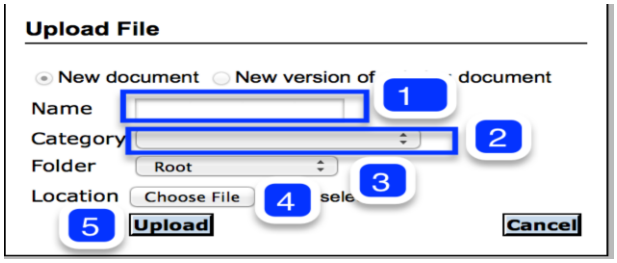
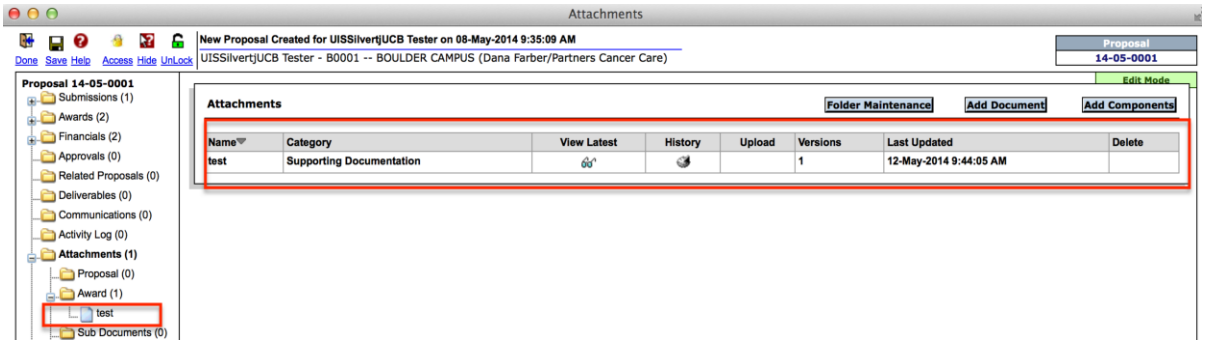


Open PT Submissions>Sponsor to determine **Sponsor type**:

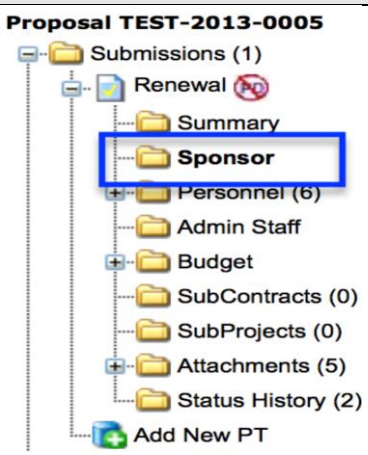
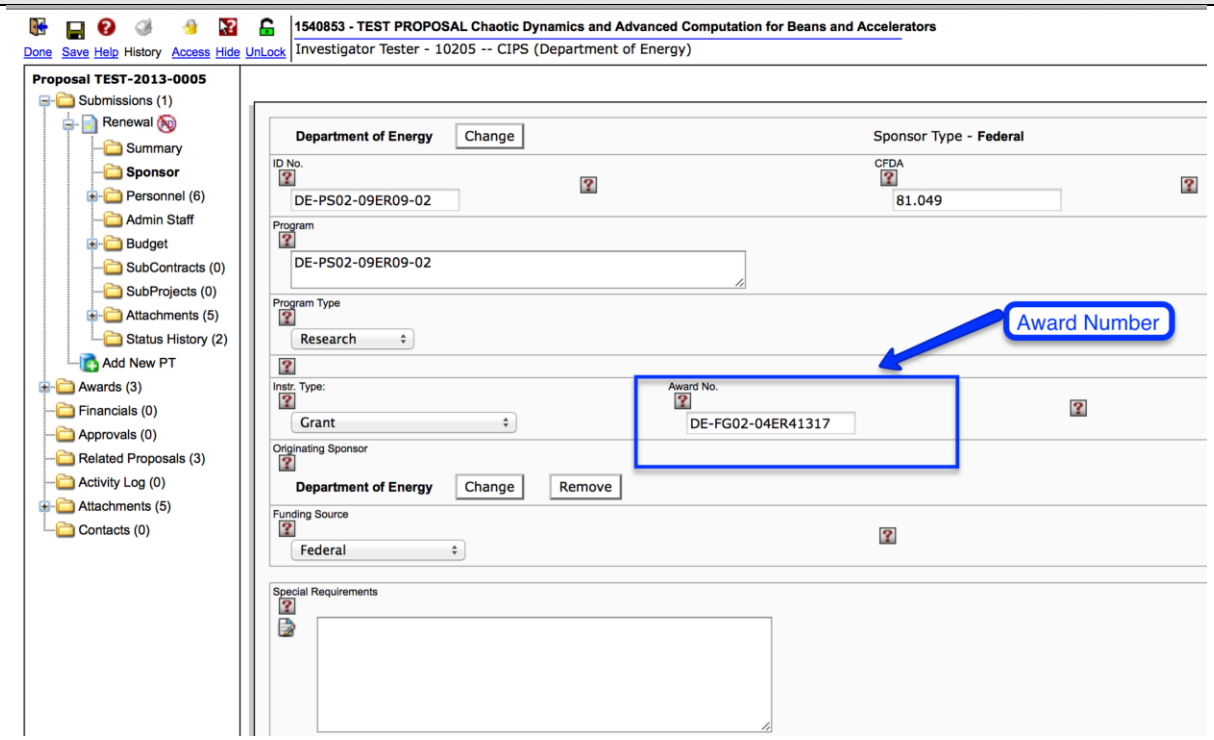
1) PT record is opened to see what **Sponsor Type** has been assigned to the sponsor.
2) If Sponsor Type is unclear, refer to the Crosswalk Spreadsheet to make the determination [X:\Sponsor_X_Walk.xlsx].

3-2	Use **Sponsor Type** to determine where files should be saved on the numbered X:/drive sponsor directory.
	 1) Double-click the numbered folder for the **Sponsor Type** on the X:/drive where the files should be saved. 2) Locate the correct proposal folder, as indicated from InfoED. 3) Create the proposal folder, if not already present.
3-3	Save award document and email to the X:/drive proposal folder
	1) Drag and drop the email from the ocg@colorado.edu email inbox into the to the correct proposal folder located within the Sponsor Type directory to which the sponsor belongs. 2) Drag and drop the award out of the email into the proposal folder. 3) Rename the award using the File Naming Conventions.

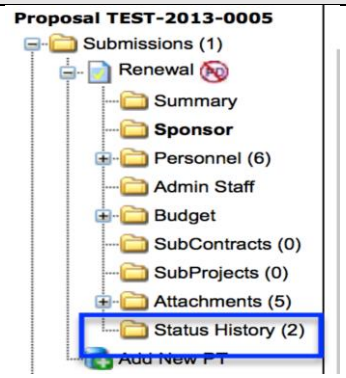
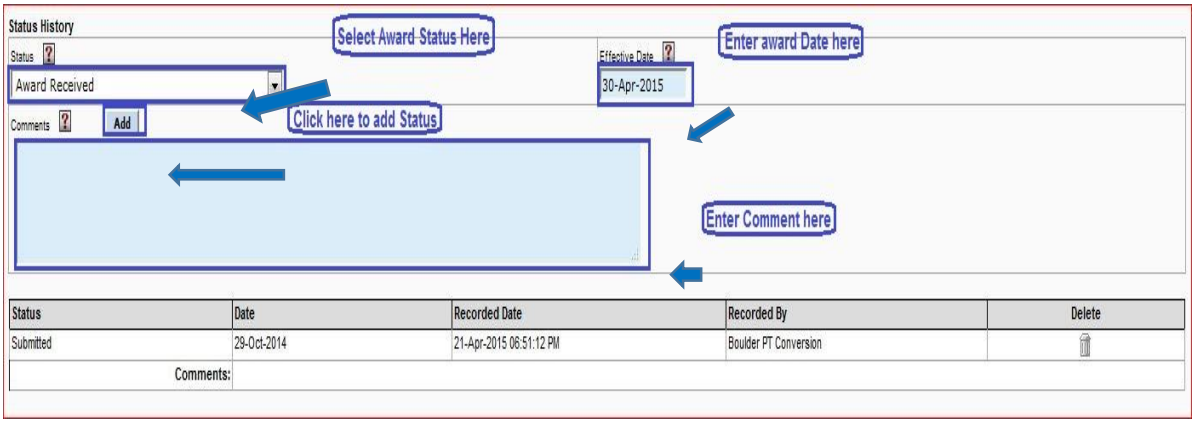
3-4	Open the **Attachments** folder (On the Sidebar, click on PT **Attachments**).
	
3-5	ONE TIME ONLY, for each award: Add the **Closeout Checklist**.
	1- Click the **Add Component**s button. 2- In the **Add Components** pop up window, check the **Add** box, and click **Add** button. 3- This will add the CloseOut CheckList, which must be attached to each award. 4- The CheckList automatically attaches at the Root level.

3-6	On the **Attachments** folder screen, add the Award document.
	1- **NEW** award: make the proposal folder in the X:\drive, if it does not already exist. 2- Drag and drop the award email from ocg@colorado.edu inbox into the X:\Drive proposal folder. 3- Drag and drop the Award document from the email into the proposal folder. 4- Rename the Award document using File Naming Conventions. 5- Click on the Add Document button. 
3-7	In the **Upload File** window that opens, do the following:
	 1- Enter the Award document **Name**, using File Naming Conventions. 2- Select "Core Documentation" from the **Category** drop down list. 3- Select "Award" from the **Folder** drop down list. 4- Click **Choose File** to browse for the saved file, and select it. 5- Click **Upload** to load the Award or "Cancel" to cancel the Upload. 6- Award and Email will be saved in original formats. They will be converted to PDF and attached if necessary as part of Processing.
3-8	Verify that the Award document is uploaded correctly.
	

Step 4: NEW AWARDS—Enter Award Information in the Sponsor Screen. *Skip to Step 6 if not an "Initial" type award.*

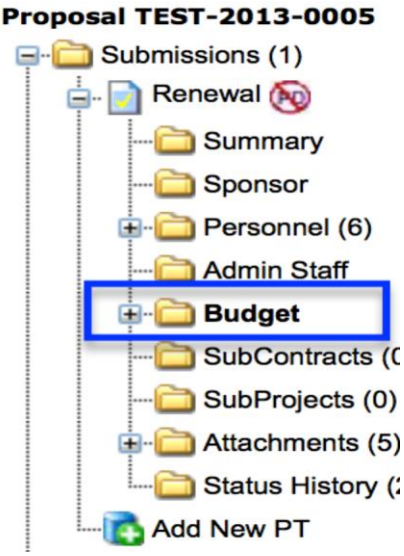
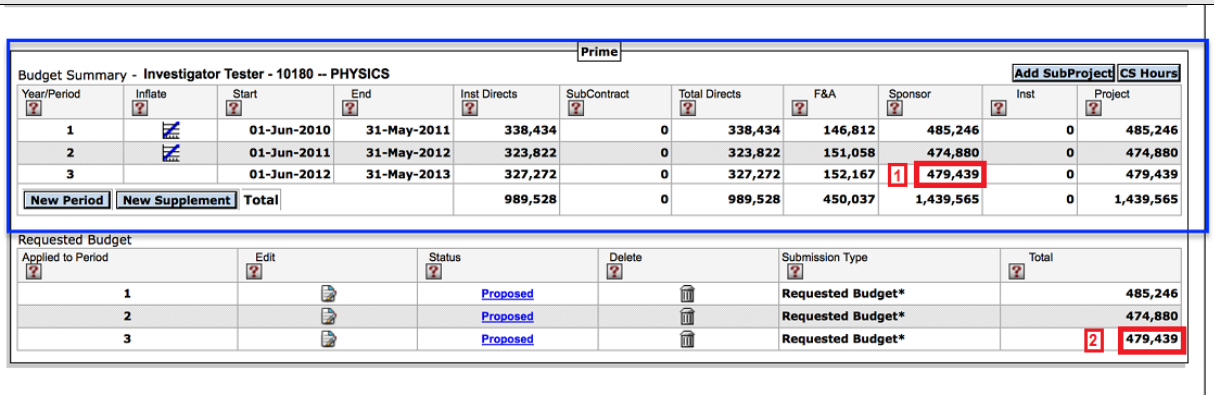
4-1	Open the **Sponsor** folder (On the Sidebar, click on PT **Submissions > Sponsor**).
	
4-2	In the **Sponsor** screen enter the Sponsor Award Number in the **Award No.** field.
	

Step 5: NEW AWARDS--Update the PT STATUS HISTORY to "Award Received". *Skip to Step 6 if not an "Initial" type award.*

5-1	Open the **Status History** folder (On the Sidebar, click on PT **Submissions > Status History**).
	
5-2	Update the Proposal Status:
	

1. If this is the "Initial" Award **Type**:
   - Select "Award Received" from the **Status** drop down list.
   - Update the **Effective Date** (date the Award Document is received, or the date of the email)-- defaults to today's date.
   - Add relevant comments in the **Comment** field, similar to FM Project Setup Status page Notes.
   - Click **Add** button to add the status to the status history.
2. If this is ANY of the other Award **Type**s:
   - Skip this step and go on to Step 6.

Step 6: View the BUDGET information.

6-1	Open the **Budget** Summary folder (On the Sidebar, click on PT **Submissions> Budget**).
	
6-2	In the **Budget Summary Detail** table, check to see if the total Sponsor amount (1) matches or closely matches the requested amount for the Authorized Period (2):
	

Prime

Budget Summary - **Investigator Tester - 10180 -- PHYSICS** | Add SubProject | CS Hours

Year/Period	Inflate	Start	End	Inst Directs	SubContract	Total Directs	F&A	Sponsor	Inst	Project
1		01-Jun-2010	31-May-2011	338,434	0	338,434	146,812	485,246	0	485,246
2		01-Jun-2011	31-May-2012	323,822	0	323,822	151,058	474,880	0	474,880
3		01-Jun-2012	31-May-2013	327,272	0	327,272	152,167	1 479,439	0	479,439
New Period / New Supplement / Total				989,528	0	989,528	450,037	1,439,565	0	1,439,565

Requested Budget

Applied to Period	Edit	Status	Delete	Submission Type	Total
1		Proposed		Requested Budget*	485,246
2		Proposed		Requested Budget*	474,880
3		Proposed		Requested Budget*	2 479,439

1 - For the Period of Performance, compare the Authorized Award funding amount from the Award document (1) to the Requested Budget (2).

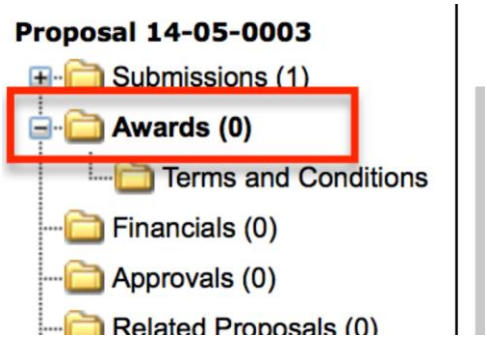
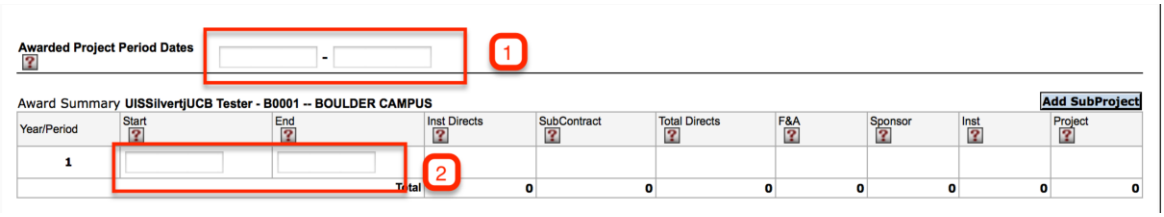
2 - Two possibilities exist:

a. The latest proposal was *fully* funded by the previous award increment received, so a new proposal is needed. This is a RASP.

b. The latest proposal was *incrementally* funded, so the newest increment received can be associated with this latest existing proposal.

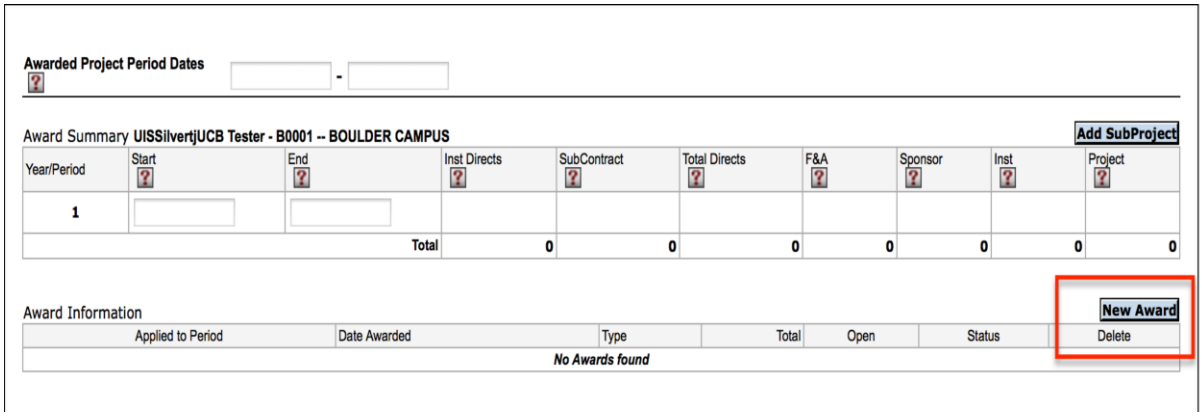
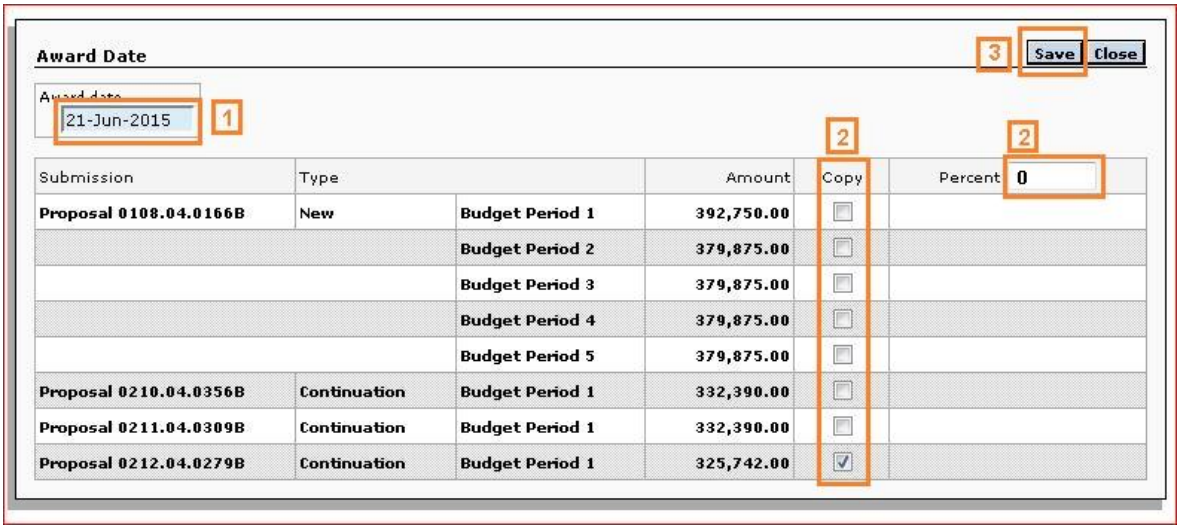
- **NOTE:** This is true if awarded amount exactly matches the budgeted amount for the authorized period, or not.

Step 7: Create the AWARD record.

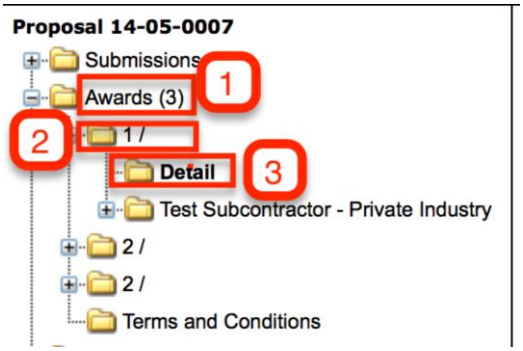
7-1	Open the **Awards** folder Summary screen (On the Sidebar, click on PT **Awards**).
	
7-2	Update the **Team** field, if not already completed.
7-3	Enter the dates associated with the Award:
	

1- Enter or Update the Start and End Date of the ANTICIPATED TIME as mentioned on the Award Document.

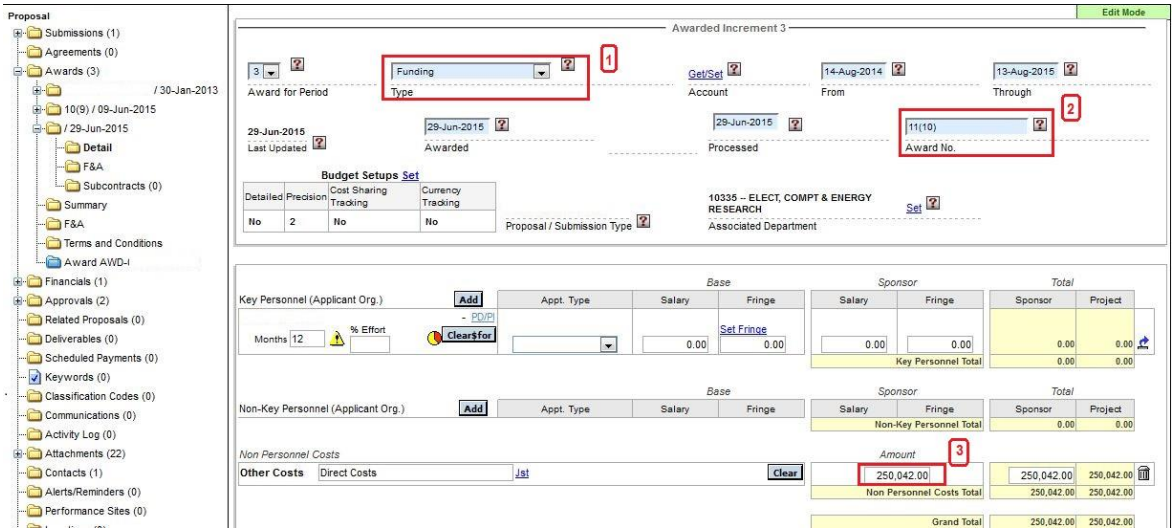
2- Enter the Authorized Period of Performance.
   - This is the budget period for which money has been allocated/awarded.

7-4	Click **New Award** to create the new award record.
	
7-5	A new **Award Date** window opens, in which the following information will be entered:
	

1. **Award Date**: The date that the Award document was received, automatically filled in with today's date.
2. **Copy**: Check the box for the first budget period of most recent Proposal (determined by proposal #)
   - If awarded amount exactly matches the authorized period's budget, copy exactly at 100%.
   - If not, copy at 0% (still brings in authorized POP).
3. Click **Save**.

7-6	The **Award Detail** window automatically opens when you clicked **Save** from the previous step.
	 **<u>Note:</u> If the Award Detail window did NOT automatically open, take the following steps to open it**: 1- On the Sidebar, click on the **Awards** Folder (1). 2- Underneath that, click on the folder that represents the Award Increment (Project/Account) that is being processed (2). 3- Click on the **Detail** folder to open the **Award Detail** window (3).

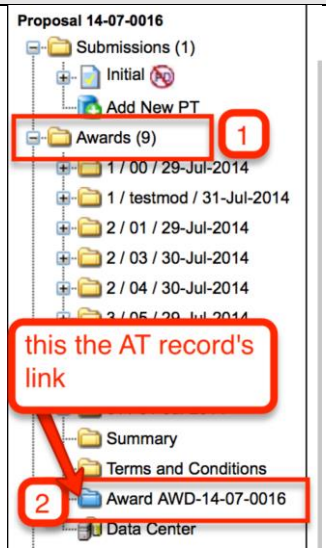
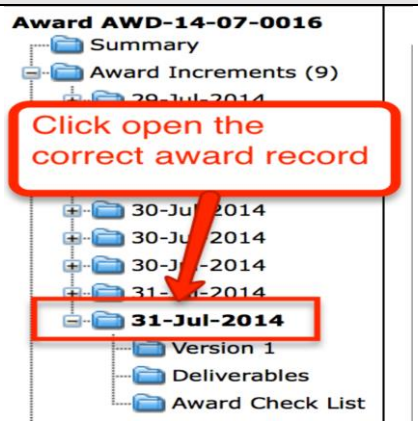
7-7	Enter the following Award Information in the **Award Detail** window:

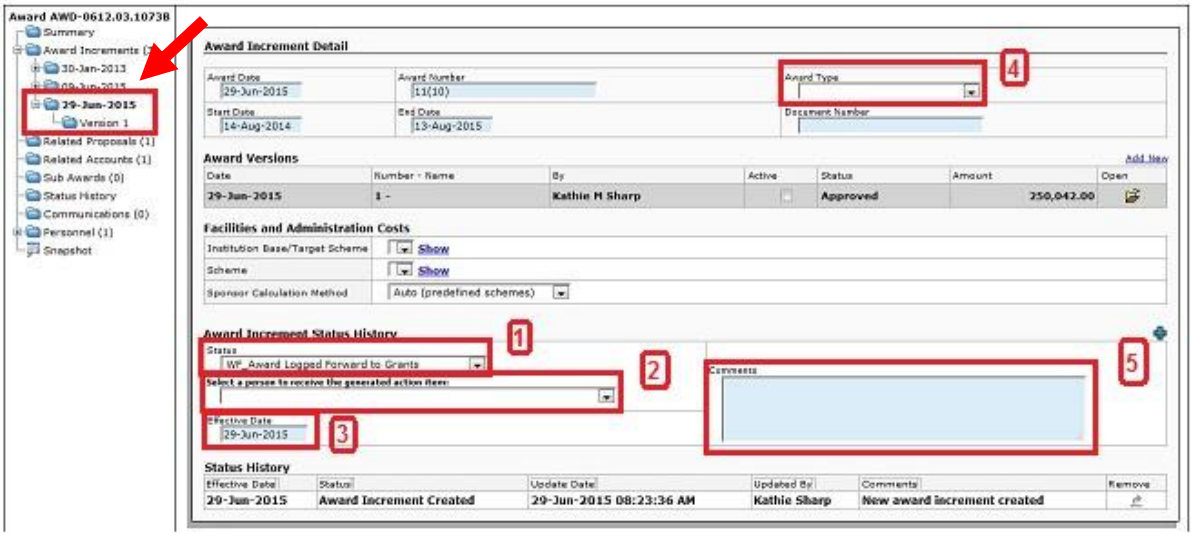


1. Select the Award **Type** from the drop down list. See the Award Type Definitions in the Business Process Documentation. (Also, in the Definitions section of this document, page 16).
2. **Award No.**: Enter the next sequential Mod Number, with the sponsor's award number in parenthesis if it differs. [*This is done the same as in Filemaker.*]
3. **Enter the Budget:**
4. Check **Rush** box at bottom of screen, if applicable.

5. Click **Save.**

Step 8. Update the AWARD INCREMENT STATUS in the AT (AWARD TRACKING) module.

8-1	Open the AT (Award Tracking) record of the award:
	 1- On the Sidebar, click the PT **Awards** folder (yellow). o For Award Type = "Initial", this is already open from the last step. 2- Under the PT **Awards** folder, click the AT Record (**the Blue folder**).
8-2	Identify and Open the Correct AT Record:
	 1) The correct **Award Increment** record should be the one with Today's Date (last one listed). 2) Click on it to open the record in a new window**.**

8-3	In the **Award Increment Detail** screen, update the **Award Increment Status History**:
	

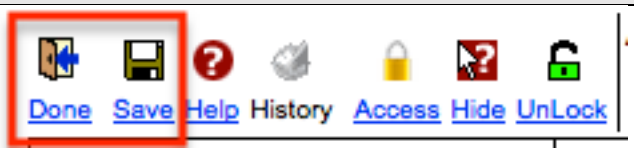
1 - Select the new Status from the drop down list:
   a. Select "WF_Award Logged_Forward to Grants", for a grant.
   b. Select "WF_Award Logged_Forward to Contracts", for a contract.

2 - Look up the Contracts or Grants Officer for the Department, and select them from the drop down list:
   a. http://www.colorado.edu/ocg/unit-directory
   b. Z:/ Administration - OCG Administration / OCG Org Charts, Work Groups, Dept Assignments / Department Assignments

3 - Keep the **Effective Date** as displayed.

4 - Enter the **Award Type**, if not autopopulated.

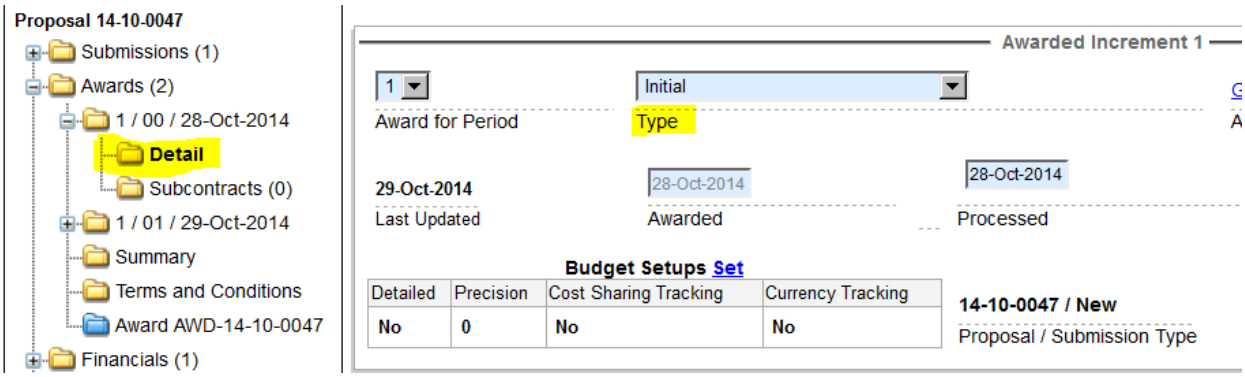
5 - Enter any appropriate **Comment**, e.g.:
   - "RUSH", if award increment needs to be expedited
   - "See additional attachments in proposal folder", if the email came with more than just the award document.

8-4	**Save** the Status Update. Close windows by clicking on **Done**.
	

DEFINITIONS

Award Increment Types:

- Because workflow is tied to the award increment, all changes that require workflow will require the creation of an award increment. See the Logging SOP for instructions on how to create the award increment.
- Award Increments can either be sponsor initiated or Internal. The user must select an award increment *Type*:



- For Sponsor initiated award increments, the user will select one of the following award types:
  - **Initial** will be used for new awards. For a PT record there will only be one **Initial** designation.
  - **Funding and Extension** will be used when the award increment is increasing the authorized funded amount, AND increasing the authorized period of performance.
  - **Funding** will be used when the award increment is increasing the authorized funded amount.
  - **Extension** will be used when the award increment is increasing the authorized period of performance.
  - **POP Reduction** will be used when the award increment is decreasing the authorized period of performance
  - **Deobligation** will be used when the award increment is decreasing the authorized funded amount.
  - **Carryforward** will be used when the sponsor is authorizing funding from one period to move into another.
  - **Supplement** will be used for awards that are being funded by a supplemental proposal. (See proposal documentation for additional information).
  - **Key Personnel Change** will be used for award increments where the sponsor has approved a change in key personnel i.e. change in PI/ Co-PD/PI.
  - **Admin** will be used for all administrative actions and any other sponsor initiated action not previously defined. Examples are a change in contact personnel, change in reporting or a change in estimated funding.

- When selecting an award increment type, it is possible that more than one type will apply. In this case, choose the 'highest' applicable option on the list. For example, an award increment may change the estimated funding amount, and change the authorized period of performance. In this case, the appropriate selection would be **Extension**. The exceptions would be **Carry-forward,** and **Supplement**.

- For internal award actions (those that do not require sponsor approval), the user will select one of the following award types:
    - **Internal: Correction** will be used when there is a need to correct either award or project information in PeopleSoft. This designation indicates that the wrong information was initially entered into the system. If the sponsor has to issue an award modification, then the correct designation will be as described above.
    - **Internal: Transfer** will be used when there is a need to move funds from one project to another. This will be a zero dollar action at the award level. If sponsor approval is required, then use the correct designation as described above.
    - **Internal: PI/ Co-I Change** will be used when there is a change of either a PI or Co-Investigator that does not require sponsor approval. (This is usually a person named by the department for administration of a project). If sponsor approval is required, use the correct designation as described above. This will be a zero dollar action.
    - **Internal: Change Org Number** will be used when there is a change to the department organization number. If the change is made to the Main project, it should be made in PT as well. This will be a zero dollar action
    - **Internal: Change Department** will be used when there is a change to the department. If the change is made to the Main project, it should be made in PT as well. This will be a zero dollar action.
    - **Internal: Other** will be used for all other actions not described elsewhere. This may be a zero dollar action.

Return to top

Return to Award Type insert

Role Definition for this task

Role definition:

Role Name: TBD

Top section of the Role Definition

Use Status Level Security	No
Create New (PD)	No
Create New (PT)	Yes
Add New (PD)	No
Add New (PT)	Yes
Allow Master/Child Realigning	Yes

Lower Section of Role Definition (Account Level Access)

Edit	- Submissions(Everything Under submissions)
View	All(Can view all Information related to an account)
Add	- Submissions(Everything Under submissions)
Delete	- Submissions(Everything Under submissions)