



University of Colorado **Boulder**

SOP: Award Logging

v.13 copy 1
11/16/2015

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

Table of Contents


| | | |
|---|---|----|
| 1 | Step 1 – Identify the Proposal..... | 2 |
| 2 | Step 2- Verify the Opened Proposal is the Right One..... | 4 |
| 3 | Step 3- Attach the Award Documents to the Proposal’s Record..... | 5 |
| 4 | Step 4- NEW AWARDS--Enter Award Information in the Sponsor Screen..... | 7 |
| 5 | Step 5- NEW AWARDS--Update the Proposal Status to: “AWARD RECEIVED” | 8 |
| 6 | Step 6 - View the Budget Information..... | 9 |
| 7 | Step 7- Create the Award Record..... | 10 |
| 8 | Step 8- Update the Award Increment Status in the AT(Award Tracking) Module..... | 14 |
| | Definitions..... | 16 |

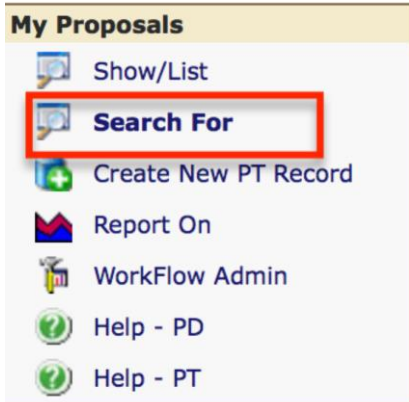
Standard Operation Procedures (SOP):

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. |
| |  A screenshot of a software menu. At the top are two buttons: 'Exit' with a computer icon and 'Help' with a question mark icon. Below them is a list of menu items: 'My Proposals' (highlighted with a red box), 'My Awards', 'My Human Subjects', 'My Profile', 'Administrative Notes...' (with a sub-link 'Click here to leave feedback'), and 'Administration'. |

| | |
|------------|--|
| 1-2 | Click Search For. |
| |  A screenshot of the 'My Proposals' menu. The 'Search For' option is highlighted with a red box. Other options include 'Show/List', 'Create New PT Record', 'Report On', 'WorkFlow Admin', 'Help - PD', and 'Help - PT'. |

1-3 Input search criteria to locate the desired PT Record and click **Locate** button.

Proposals - Search For

Use * for wildcard

| Property | Value |
|--------------------|--------------------------|
| Proposal number | <input type="text"/> |
| Sponsor/Scheme | <input type="text"/> Set |
| PI | <input type="text"/> Set |
| Project Number | <input type="text"/> |
| Proposal Status | <input type="text"/> 6 |
| Primary Assoc Dept | <input type="text"/> Set |

▼ Show Additional Search Options ▼

Additional Search Fields

| | | | |
|--------------------|------------------------|----------------------|----------------------|
| Title | <input type="text"/> 2 | Project Status | <input type="text"/> |
| Sponsor Type | <input type="text"/> | Deadline | <input type="text"/> |
| Sponsor Program # | <input type="text"/> | Requested Start Date | <input type="text"/> |
| PI Department | <input type="text"/> | Requested End Date | <input type="text"/> |
| Investigator | <input type="text"/> | Awarded Start Date | <input type="text"/> |
| Investigator Dept. | <input type="text"/> | Awarded End Date | <input type="text"/> |
| Award Number | <input type="text"/> 1 | Award Date | <input type="text"/> |
| Protocol Number | <input type="text"/> | Grants.gov ID # | <input type="text"/> |
| Proposal Type | <input type="text"/> | Sub Contractor # | <input type="text"/> |
| Approval Date | <input type="text"/> | Originating Sponsor | <input type="text"/> |
| Activity Code | <input type="text"/> | | |

▲ Hide Additional Search Options ▲

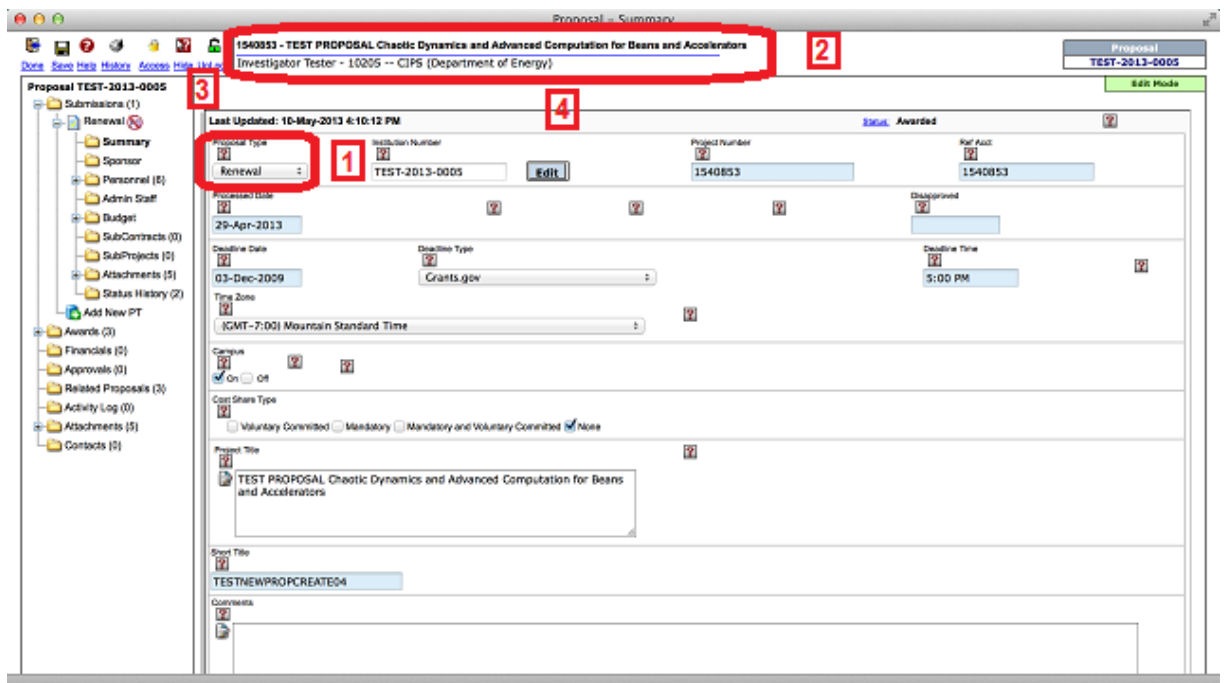
1-4 Find the matching PT Record and **Open** it in Edit mode:

| TEST-2013-0005 | TEST PROPOSAL | Research proposal title | - Tester, Investigator |
|----------------|--------------------------|-------------------------|------------------------|
| 1540853/Award# | 01-31-2010 - 31-May-2013 | Department of Energy | 10205 -- CIPS |
| | | Research proposal title | - Tester |

- 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**.

1552127 - CU MMC MMHMAP Data Technology for Monitoring and Analysis 2015-2016

Mr. Philip Goldstein - 10112 -- MUSEUM-ADMINISTRATION (Marine Mammal Commission)

Proposal 15-09-0062

Done Save Help History Access Hide UnLock

Proposal 15-09-0062

Edit Mode

Marine Mammal Commission Change Sponsor Type - Federal

ID No. MMC15-267

Program Marine Mammal Health Monitoring and Analysis Platform (MMHMAP)

Program Type Research

Instr. Type: Grant Award No. OCG6201B

Originating Sponsor Change

Funding Source

Other Sponsor Details

Originating Sponsor Award Number

Executive Director: Rebecca J. Lent 301-504-0087 rlent@mmc.gov

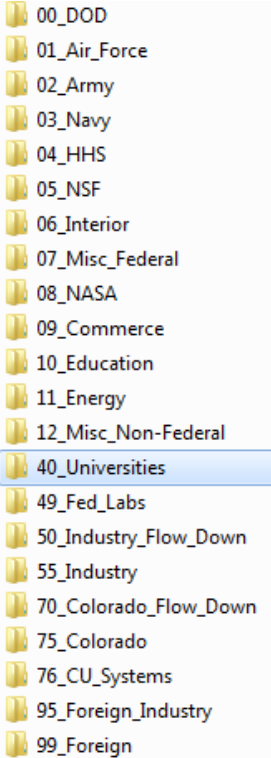
Research Program Officer: Bernadette M. Allen 301-504-0087 rpo@mmc.gov

Sponsor Contact(s) - Administrative and Technical

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.

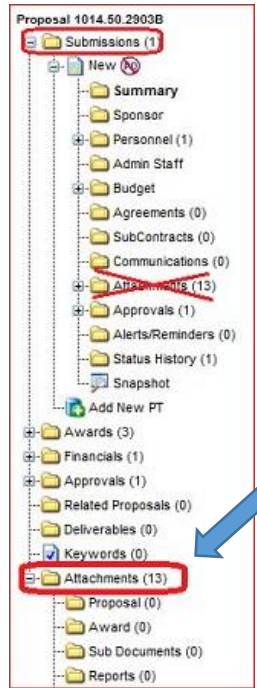


- 1) Double-click the numbered folder for the **Sponsor Type** on the X:/drive where the files should be saved.
- 2) Locate the correct proposal folder, as indicated from InfoED.
- 3) Create the proposal folder, if not already present.

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**.

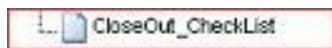
1- Click the **Add Components** button.



2- In the **Add Components** pop up window, check the **Add** box, and click **Add** button.

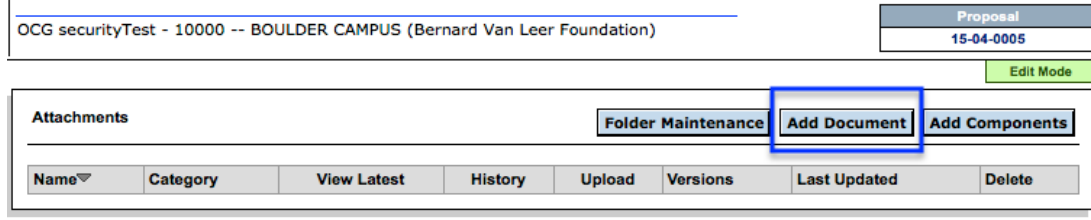
3- This will add the CloseOut CheckList, which must be attached to each award.

4- The CheckList automatically attaches at the Root level.

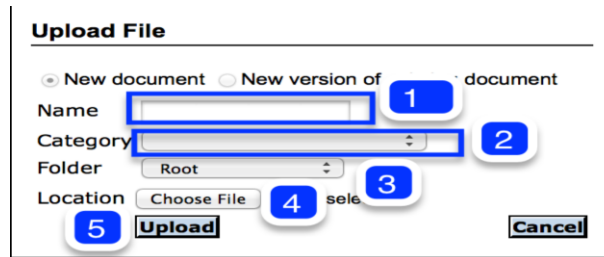


3-6 On the **Attachments** folder screen, add the Award document.

- 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.

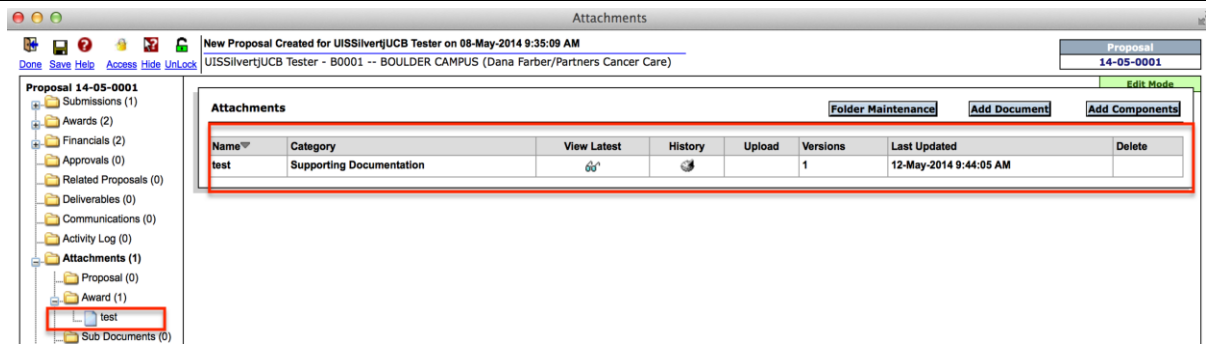


3-7 In the **Upload File** window that opens, do the following:

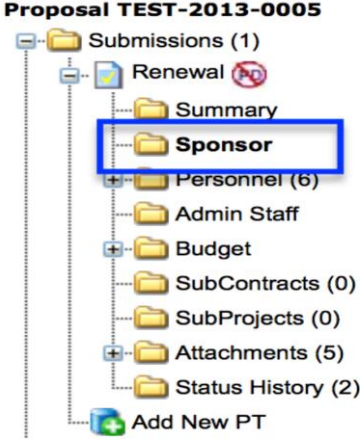
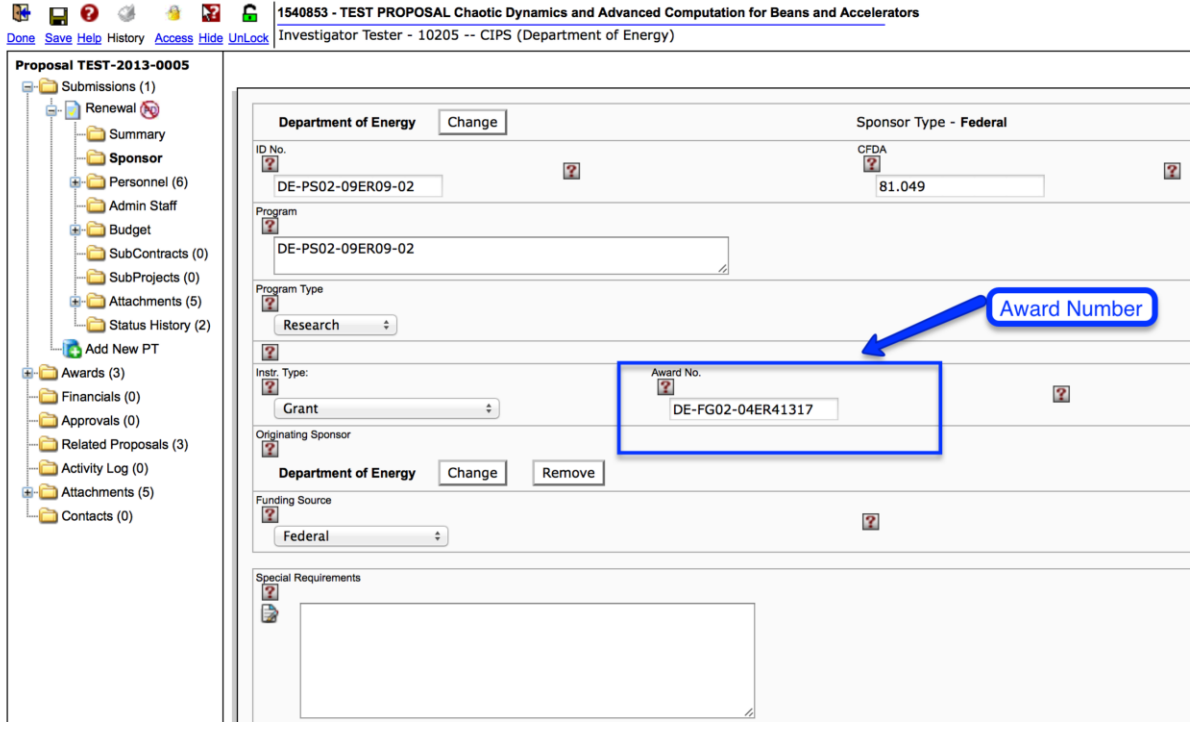


- 1- Enter the Award document **Name**, using File Naming Conventions.
- 2- Select "Core Documentation" from the **Category** drop down list.
- 3- Select "Award" from the **Folder** drop down list.
- 4- Click **Choose File** to browse for the saved file, and select it.
- 5- Click **Upload** to load the 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.

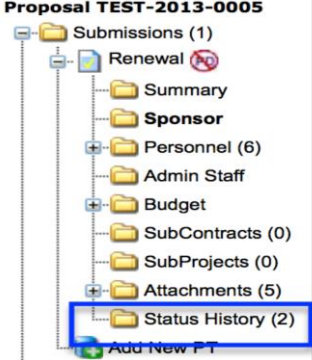
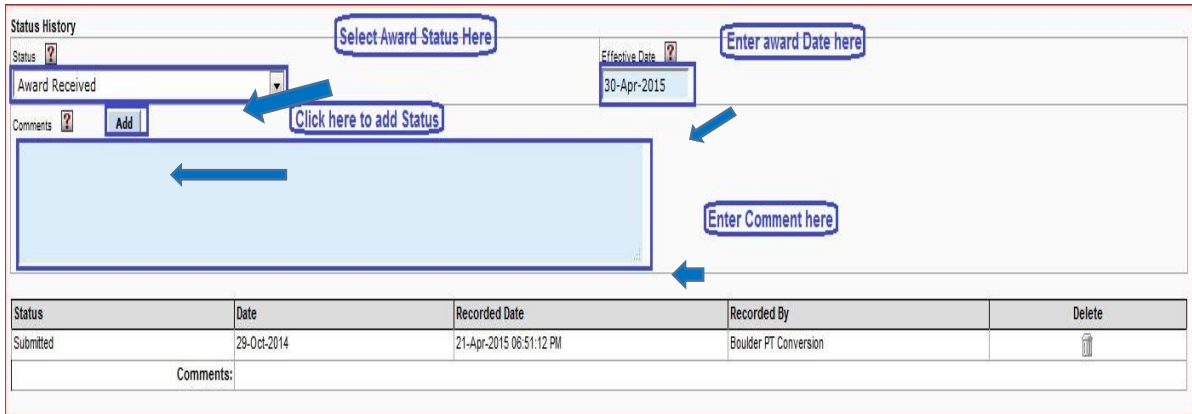
3-8 Verify that the Award document is uploaded correctly.



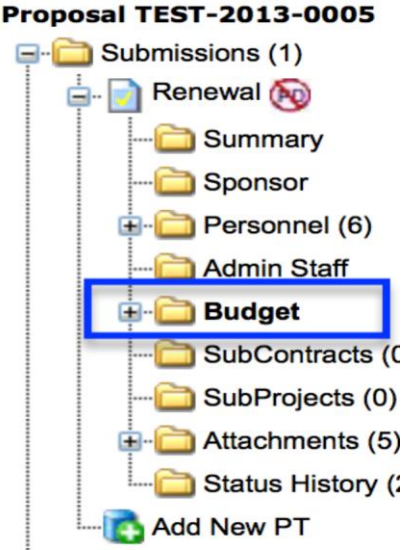
Step 4: NEW AWARDS—Enter Award Information in the Sponsor Screen. *Skip to Step 6 if not an “Initial” type award.*

| | |
|------------|---|
| 4-1 | Open the Sponsor folder (On the Sidebar, click on PT Submissions > Sponsor). |
| |  <p>Proposal TEST-2013-0005</p> <ul style="list-style-type: none">Submissions (1)RenewalSummarySponsorPersonnel (6)Admin StaffBudgetSubContracts (0)SubProjects (0)Attachments (5)Status History (2)Add New PT |
| 4-2 | In the Sponsor screen enter the Sponsor Award Number in the Award No. field. |
| |  <p>1540853 - TEST PROPOSAL Chaotic Dynamics and Advanced Computation for Beans and Accelerators Investigator Tester - 10205 -- CIPS (Department of Energy)</p> <p>Done Save Help History Access Hide UnLock</p> <p>Proposal TEST-2013-0005</p> <ul style="list-style-type: none">Submissions (1)RenewalSummarySponsorPersonnel (6)Admin StaffBudgetSubContracts (0)SubProjects (0)Attachments (5)Status History (2)Add New PTAwards (3)Financials (0)Approvals (0)Related Proposals (3)Activity Log (0)Attachments (5)Contacts (0) <p>Department of Energy <input type="button" value="Change"/> Sponsor Type - Federal</p> <p>ID No. <input type="text" value="DE-PS02-09ER09-02"/> CFDA <input type="text" value="81.049"/></p> <p>Program <input type="text" value="DE-PS02-09ER09-02"/></p> <p>Program Type <input type="text" value="Research"/></p> <p>Instr. Type: <input type="text" value="Grant"/> Award No. <input type="text" value="DE-FG02-04ER41317"/> Award Number</p> <p>Originating Sponsor <input type="text" value="Department of Energy"/> <input type="button" value="Change"/> <input type="button" value="Remove"/></p> <p>Funding Source <input type="text" value="Federal"/></p> <p>Special Requirements</p> |



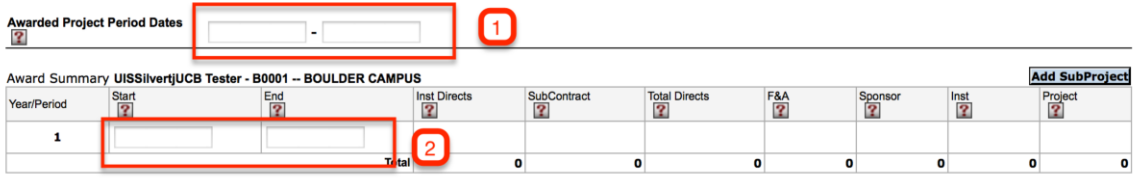
Step 5: NEW AWARDS--Update the PT STATUS HISTORY to “Award Received”. *Skip to Step 6 if not an “Initial” type award.*

| <p>5-1</p> | <p>Open the Status History folder (On the Sidebar, click on PT Submissions > Status History).</p> | | | | | | | | | | |
|-------------------|---|-------------------------|-----------------------|---------------|-------------|--------|-----------|-------------|-------------------------|-----------------------|--|
| |  <p>The screenshot shows a sidebar for 'Proposal TEST-2013-0005'. Under 'Submissions (1)', there is a 'Renewal' icon. Below that is a tree view of folders: Summary, Sponsor, Personnel (6), Admin Staff, Budget, SubContracts (0), SubProjects (0), Attachments (5), and Status History (2). The 'Status History (2)' folder is highlighted with a blue box.</p> | | | | | | | | | | |
| <p>5-2</p> | <p>Update the Proposal Status:</p> | | | | | | | | | | |
| |  <p>The screenshot shows the 'Status History' form. It has a 'Status' dropdown menu with 'Award Received' selected. An annotation 'Select Award Status Here' points to the dropdown. To the right is an 'Effective Date' field with '30-Apr-2015' entered, annotated with 'Enter award Date here'. Below the status field is a 'Comments' section with an 'Add' button, annotated with 'Click here to add Status'. A large blue box covers the comment input area, annotated with 'Enter Comment here'. At the bottom is a table with columns: Status, Date, Recorded Date, Recorded By, and Delete.</p> <table border="1" data-bbox="289 1228 1461 1312"> <thead> <tr> <th>Status</th> <th>Date</th> <th>Recorded Date</th> <th>Recorded By</th> <th>Delete</th> </tr> </thead> <tbody> <tr> <td>Submitted</td> <td>29-Oct-2014</td> <td>21-Apr-2015 06:51:12 PM</td> <td>Boulder PT Conversion</td> <td></td> </tr> </tbody> </table> <p>Comments:</p> | Status | Date | Recorded Date | Recorded By | Delete | Submitted | 29-Oct-2014 | 21-Apr-2015 06:51:12 PM | Boulder PT Conversion | |
| Status | Date | Recorded Date | Recorded By | Delete | | | | | | | |
| Submitted | 29-Oct-2014 | 21-Apr-2015 06:51:12 PM | Boulder PT Conversion | | | | | | | | |
| | <ol style="list-style-type: none"> If this is the “Initial” Award Type: <ul style="list-style-type: none"> 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. If this is ANY of the other Award Types: <ul style="list-style-type: none"> 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). | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|-------------|-------------|-------------------|-------------|---------------|---------|-----------|------|-----------|--|---|--|--|--|--|--|--|--|--|--|-------------|---------|-------|-----|--------------|-------------|---------------|-----|---------|------|---------|---|--|-------------|-------------|---------|---|---------|---------|---------|---|---------|---|--|-------------|-------------|---------|---|---------|---------|---------|---|---------|---|--|-------------|-------------|---------|---|---------|---------|---------|---|---------|--------------|--|--|--|---------|---|---------|---------|-----------|---|-----------|------------------|--|--|--|--|--|--|-------------------|------|--------|--------|-----------------|-------|--|---|--|----------|--|-------------------|---------|--|---|--|----------|--|-------------------|---------|--|---|--|----------|--|-------------------|---------|---|
| |  <p style="text-align: center;">Proposal TEST-2013-0005</p> <ul style="list-style-type: none"> Submissions (1) <ul style="list-style-type: none"> Renewal Summary Sponsor Personnel (6) Admin Staff Budget SubContracts (0) SubProjects (0) Attachments (5) Status History (0) Add New PT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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): | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 10px;"> <thead> <tr> <th colspan="10" style="text-align: center;">Prime</th> </tr> <tr> <th colspan="10" style="text-align: left;">Budget Summary - Investigator Tester - 10180 -- PHYSICS</th> </tr> <tr> <th>Year/Period</th> <th>Inflate</th> <th>Start</th> <th>End</th> <th>Inst Directs</th> <th>SubContract</th> <th>Total Directs</th> <th>F&A</th> <th>Sponsor</th> <th>Inst</th> <th>Project</th> </tr> </thead> <tbody> <tr> <td>1</td> <td></td> <td>01-Jun-2010</td> <td>31-May-2011</td> <td>338,434</td> <td>0</td> <td>338,434</td> <td>146,812</td> <td>485,246</td> <td>0</td> <td>485,246</td> </tr> <tr> <td>2</td> <td></td> <td>01-Jun-2011</td> <td>31-May-2012</td> <td>323,822</td> <td>0</td> <td>323,822</td> <td>151,058</td> <td>474,880</td> <td>0</td> <td>474,880</td> </tr> <tr> <td>3</td> <td></td> <td>01-Jun-2012</td> <td>31-May-2013</td> <td>327,272</td> <td>0</td> <td>327,272</td> <td>152,167</td> <td>479,439</td> <td>0</td> <td>479,439</td> </tr> <tr> <td colspan="4">Total</td> <td>989,528</td> <td>0</td> <td>989,528</td> <td>450,037</td> <td>1,439,565</td> <td>0</td> <td>1,439,565</td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="7" style="text-align: left;">Requested Budget</th> </tr> <tr> <th>Applied to Period</th> <th>Edit</th> <th>Status</th> <th>Delete</th> <th>Submission Type</th> <th>Total</th> <th></th> </tr> </thead> <tbody> <tr> <td>1</td> <td></td> <td>Proposed</td> <td></td> <td>Requested Budget*</td> <td>485,246</td> <td></td> </tr> <tr> <td>2</td> <td></td> <td>Proposed</td> <td></td> <td>Requested Budget*</td> <td>474,880</td> <td></td> </tr> <tr> <td>3</td> <td></td> <td>Proposed</td> <td></td> <td>Requested Budget*</td> <td>479,439</td> <td>2</td> </tr> </tbody> </table> <p style="margin-top: 20px;">1 - For the Period of Performance, compare the Authorized Award funding amount from the Award document (1) to the Requested Budget (2).</p> <p>2 - Two possibilities exist:</p> <ol style="list-style-type: none"> a. The latest proposal was <i>*fully*</i> funded by the previous award increment received, so a new proposal is needed. This is a RASP. b. The latest proposal was <i>*incrementally*</i> funded, so the newest increment received can be associated with this latest existing proposal. <ul style="list-style-type: none"> - NOTE: This is true if awarded amount <u>exactly</u> matches the budgeted amount for the authorized period, or not. | Prime | | | | | | | | | | Budget Summary - Investigator Tester - 10180 -- PHYSICS | | | | | | | | | | 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 | 479,439 | 0 | 479,439 | 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* | 479,439 | 2 |
| Prime | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Budget Summary - Investigator Tester - 10180 -- PHYSICS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | 479,439 | 0 | 479,439 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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* | 479,439 | 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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: |
| |  <p>1- Enter or Update the Start and End Date of the ANTICIPATED TIME as mentioned on the Award Document.</p> <p>2- Enter the Authorized Period of Performance.</p> <ul style="list-style-type: none"> This is the budget period for which money has been allocated/awarded. |

7-4 Click **New Award** to create the new award record.

Awarded Project Period Dates -

Award Summary UISSilvertjUCB Tester - B0001 -- BOULDER CAMPUS **Add SubProject**

| Year/Period | Start | End | Inst Directs | SubContract | Total Directs | F&A | Sponsor | Inst | Project |
|--------------|----------------------|----------------------|--------------|-------------|---------------|-----|---------|------|---------|
| 1 | <input type="text"/> | <input type="text"/> | | | | | | | |
| Total | | | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Award Information

| Applied to Period | Date Awarded | Type | Total | Open | Status | New Award | Delete |
|------------------------|--------------|------|-------|------|--------|------------------|--------|
| <i>No Awards found</i> | | | | | | | |

7-5 A new **Award Date** window opens, in which the following information will be entered:

Award Date 3 **Save** **Close**

Award date: 1

| Submission | Type | Amount | Copy | Percent | |
|-------------------------------|--------------|-----------------|------------|-------------------------------------|---|
| Proposal 0108.04.0166B | New | Budget Period 1 | 392,750.00 | <input type="checkbox"/> | 0 |
| | | Budget Period 2 | 379,875.00 | <input type="checkbox"/> | |
| | | Budget Period 3 | 379,875.00 | <input type="checkbox"/> | |
| | | Budget Period 4 | 379,875.00 | <input type="checkbox"/> | |
| | | Budget Period 5 | 379,875.00 | <input type="checkbox"/> | |
| Proposal 0210.04.0356B | Continuation | Budget Period 1 | 332,390.00 | <input type="checkbox"/> | 0 |
| Proposal 0211.04.0309B | Continuation | Budget Period 1 | 332,390.00 | <input type="checkbox"/> | |
| Proposal 0212.04.0279B | Continuation | Budget Period 1 | 325,742.00 | <input checked="" type="checkbox"/> | |

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.



Note: 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).

Proposal

- Submissions (1)
- Agreements (0)
- Awards (3)
 - / 30-Jan-2013
 - / 29-Jun-2015
 - Detail
 - F&A
 - Subcontracts (0)
 - Summary
 - F&A
 - Terms and Conditions
 - Award AWD-I
- Financials (1)
- Approvals (2)
- Related Proposals (0)
- Deliverables (0)
- Scheduled Payments (0)
- Keywords (0)
- Classification Codes (0)
- Communications (0)
- Activity Log (0)
- Attachments (22)
- Contacts (1)
- Alerts/Reminders (0)
- Performance Sites (0)

Awarded Increment 3 Edit Mode

Award for Period: 3 [?] | Funding [?] [1] | Get/Set [?] | 14-Aug-2014 [?] | 13-Aug-2015 [?]
 Account: From | Through

29-Jun-2015 [?] | 29-Jun-2015 [?] | 29-Jun-2015 [?] | 11(10) [?] [2]
 Last Updated | Awarded | Processed | Award No.

Budget Setup Set

| | | |
|--------------------|-----------------------|-------------------|
| Detailed Precision | Cost Sharing Tracking | Currency Tracking |
| No | 2 | No |

Proposal / Submission Type [?] | 10335 -- ELECT, COMPT & ENERGY RESEARCH | Associated Department | Set [?]

| Key Personnel (Applicant Org.) | | | | Base | | Sponsor | | Total | |
|--------------------------------|----------|------------|--------|--------|--------|---------|---------|---------|--|
| Months | % Effort | Appt. Type | Salary | Fringe | Salary | Fringe | Sponsor | Project | |
| 12 | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| Key Personnel Total | | | | | | | 0.00 | 0.00 | |

| Non-Key Personnel (Applicant Org.) | | | | Base | | Sponsor | | Total | |
|------------------------------------|--------|--------|--------|--------|---------|---------|------|-------|--|
| Appt. Type | Salary | Fringe | Salary | Fringe | Sponsor | Project | | | |
| Non-Key Personnel Total | | | | | | | 0.00 | 0.00 | |

Non Personnel Costs

| Other Costs | Direct Costs | Amount | Sponsor | Project |
|---------------------------|--------------|----------------|------------|------------|
| | | 250,042.00 [3] | 250,042.00 | 250,042.00 |
| Non Personnel Costs Total | | | 250,042.00 | 250,042.00 |
| Grand Total | | | 250,042.00 | 250,042.00 |

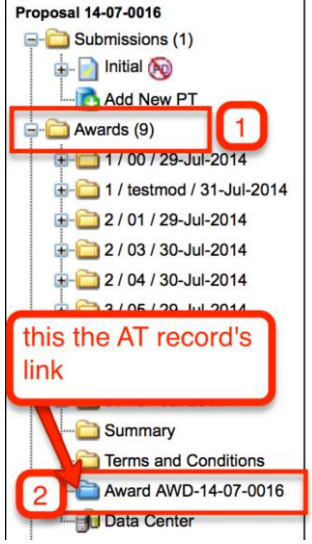
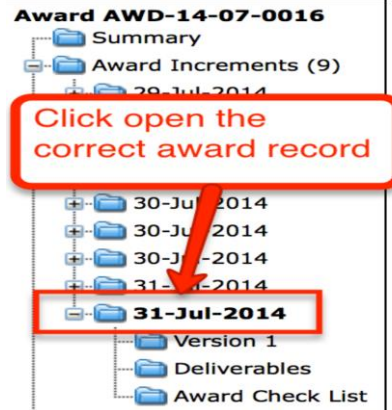
1. Select the **Award Type** from the drop down list. See the [Award Type Definitions](#) in the Business Process Documentation. (Also, in the [Definitions](#) section of this document, [page 16](#)).
2. **Award No.:** Enter the next sequential **Mod Number**, with the sponsor's award number in parenthesis 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.

Other Award Increment Details

Rush

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

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

The screenshot shows the 'Award Increment Detail' screen for Award AWD-0612.03.10738. The left sidebar shows a tree view with '29-Jun-2015' selected. The main content area includes:

- Award Details:** Award Date (29-Jun-2015), Award Number (11(10)), Award Type (dropdown), Start Date (14-Aug-2014), End Date (13-Aug-2015), Document Number.
- Award Versions Table:**

| Date | Number - Name | By | Active | Status | Amount | Open |
|-------------|---------------|----------------|--------------------------|----------|------------|------|
| 29-Jun-2015 | 1 - | Kathie H Sharp | <input type="checkbox"/> | Approved | 750,042.00 | |
- Facilities and Administration Costs:** Institution Base/Target Scheme, Scheme, Sponsor Calculation Method (Auto).
- Award Increment Status History:**
 - Status: WF Award Logged Forward to Grants (dropdown, labeled 1)
 - Select a person to receive the generated action item: (dropdown, labeled 2)
 - Effective Date: 29-Jun-2015 (dropdown, labeled 3)
 - Comments: (text area, labeled 5)
- Status History Table:**

| Effective Date | Status | Update Date | Updated By | Comments | Remove |
|----------------|-------------------------|-------------------------|--------------|-----------------------------|--------|
| 29-Jun-2015 | Award Increment Created | 29-Jun-2015 08:23:36 AM | Kathie Sharp | New award increment created | |

- 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.:
 - o "RUSH", if award increment needs to be expedited
 - o "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*:

Proposal 14-10-0047

- Submissions (1)
- Awards (2)
 - 1 / 00 / 28-Oct-2014
 - Detail**
 - Subcontracts (0)
 - 1 / 01 / 29-Oct-2014
 - Summary
 - Terms and Conditions
 - Award AWD-14-10-0047
- Financials (1)

Awarded Increment 1

1 Initial

Award for Period Type

29-Oct-2014 28-Oct-2014 28-Oct-2014

Last Updated Awarded Processed

| Budget Setups Set | | | |
|-------------------|-----------|-----------------------|-------------------|
| Detailed | Precision | Cost Sharing Tracking | Currency Tracking |
| No | 0 | No | No |

14-10-0047 / New
Proposal / Submission 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) |