Purpose

Award processing follows logging and precedes input. This processing phase will review the data entered at the proposal creation and award logging phases, and add to it. This process is used to set up all the types of awards in the system. It will document the details of the award in terms of funding level, authorized and estimated time frames, award type, budget allocations, etc.

This SOP applies to the following Award Increment Types:

- Admin
- Funding (and Extension)
- Initial
- Supplement

Other types completed by officer:

- POP reduction
- Deobligation
- Carry Forward
- Key Personnel Change
- Internal

Data Needed to Complete this Process

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

- Award Number
- The Sponsor Information: Name
- List of Investigators
- List of Departments involved
- The Account Code Budget
- Budget breakouts if required by sponsor, like subcontracts
- The Proposal Number
- Sponsor contacts: technical and administrative
- Award Type
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1) Open the PT (Proposal Tracking) Record for the Award

There are three ways to open the PT record for an award:
1) as an action item (See STEP 1-1)
2) through an assignments report (See STEP 1-2)
3) by proposal number, PI, or award number in a search (See STEP 1-3)

1-1) Open the PT record as an Action Item

1-1.1 Open Action Items.
- Click Open under the My Action Items section on the right side of the screen.

1-1.2 From the list, find the Action Item on which you want to work.

1-1.3 Open the Action Item by clicking on the folder icon next to its info.
1-1.4 In the opened **Task/Assignment** window, open the Award Tracking by clicking on the proposal number in **blue**.

![Task/Assignment Window]

Click Here to Open the AT record of this Award

1-1.5 Open the PT record to begin Award processing.

a) From the AT sidebar (blue folders), open the **Summary** folder.

b) Under the **Proposal Information** section, click on the folder icon in the **Open** column.

![Summary Section]
1-2) Open the PT Record from an Assignments Report

1-2.1  
   a)  Open the **My Awards** sidebar on the left side of the screen.
   b)  Click on Standard Reports.

1-2.2  
In the window that pops up, select the desired report.
1-2.3 a) From the AT sidebar (blue folders), open the **Summary** folder, if not already open.
b) In the **Proposal Information** section, click on the folder icon in the **Open** column.

1-3) Open the PT Record by Running a Search

1-3.1 Click on **My Proposals > Search For**
- Search fields include **Proposal Number** or **PI**. Click on **Show Additional Search Options** for more options, like **Award Number**.
2) Review and Add Attachments, Including ACT Budget

2-1) Review Attachments

2-1.1 Under the main Attachments folder, open the appropriate subfolders (e.g. Award).

**NOTE:** Make sure you are viewing the main Attachments folder – near the bottom of the list. There is an Attachments subfolder under the Submissions>PT, but this directory is solely for documents attached at the proposal stage.

2-1.2 Under the View Latest column, click on the icon of the desired attachment to review.

- Common attachments to be opened and reviewed at this stage are the PSR form, budget, and award document.
2-2) Attach ACT Budget

If the ACT Budget is not present in the X: drive, one may need to be created. See Request an Account Code Budget from the ACT Team at the end of this section for instructions.

2-2.1
a) Under the main Attachments folder, open the Award subfolder.
b) Click Add Document to upload the Account Code (ACT) Budget from the X:Drive.

2-2.2 Upload using the following conventions:
a) Name: [Award #]_[mod #]_FINBudget
b) Category: Budget
c) Folder: Award
d) Click Choose File and open the file from the X: Drive. It is a spreadsheet with the filename tag "_FINBudget."
2-3) Attach any other files that still need to be uploaded to eRA from the Proposal Shared Drive (X:)

Repeat process for any other files from the X: drive that should be associated with this award.
- Refer to [Conventions for Attachments in eRA](#) for naming, category, a folder rules.
## Request an Account Code Budget from the ACT Team

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
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</table>
| 1    | Determine whether the entire budget needs to be revised or if a simple budget translation will suffice:  
  - **BASIC BUDGET**: The Award Amount matches or closely matches the budget and does **NOT** require review at this stage.  
  - **REVISED BUDGET**: The Award Amount **does not** match the budget and **requires** review. |
| 2    | Forward the proposed budget to the **ACT Team** [ocqact@colorado.edu] for translation into an Account Code Budget and **CC**: the **post-award officer**. |
| 3    | In the **subject line** of the email, enter:  
  - **For a BASIC BUDGET**:  
    - BASIC BUDGET, RUSH (if applicable), Proposal #, PI Name  
    - Ex: **Subject: Basic Budget, Rush, 0612.06.1040B, Tom Jones**  
  - **For a REVISED BUDGET**:  
    - REVISED BUDGET, RUSH (if applicable), Proposal #, PI Name  
    - Ex: **Subject: Revised Budget, Rush, 0612.06.1040B, Tom Jones** |
| 4    | In the **body** of the email, include:  
  - PI Department  
  - Award # and MOD #  
  - Authorized period of performance (**start and end dates from Step 3-7.2**)  
  - Budget instructions including award amount |
| 5    | **Attach** to the email:  
  - Proposed budget  
  - Award document (if not available, provide the InfoEd attachment name of the awarded budget in the body of the email) |
| 6    | **Add comment** in AT. (**Ex: Sent to ACT Team**) |
| 7    | When budget is returned, the award will be ready for input. |
| 8    | Continue award processing. |
3) Review and Add Award Increment Details to Proposal Record

3-1) PT > Summary

Open the Summary subfolder (under Submissions > [PT Record]) and review the following:

- **Campus**
- **Cost Share Type**: If there is cost share, select the correct cost share box. Attach documentation, if needed. *(For instructions on attaching documents, see Step 3-2).*
- **Associated Departments**: Check the ICR split for accuracy.
- **NSF Report Code**: Ensure that the NSF report code has been entered.
3-2) PT > Sponsor

Open the Sponsor subfolder and complete the following:

a) Review Program Type, and select the appropriate type, if not already done. This will typically be "Research".

b) Verify the Award No.
   - If the Award No. has changed, see Award Processing | Business Processes.

c) Enter the CFDA number, if applicable.
   - A CFDA number is required for all federal and federal flow down awards. If the CFDA cannot be identified, (e.g. for federal flow-through) a placeholder number should be entered using the following format: 00.000

d) If there is an Originating Sponsor, verify that the Funding Source is also selected, otherwise leave blank.
   - This applies when our award is a sub-award. Originating Sponsor is the Prime Sponsor. Funding Source corresponds to the Prime Sponsor Type.

e) Verify Instr. Type and update if necessary.
3-2.2

Scroll down. In the Other Sponsor Details section enter:

1) Originating Sponsor Award Number:
   - If applicable and stated in award.

2) Sponsor Contact(s):
   - Provide Department Admin contact info as well as the Technical contact’s info.

---

Other Sponsor Details

Originating Sponsor Award Number

Admin Contact: Christopher Brown 843-218.4306 christopher.m.brown@navy.mil
Technical: Brad Knaus 843.218.3893 bradley.knaus@navy.mil
3-3) PT > Personnel

3-3.1 Open Personnel subfolder and review Key Personnel.
- If key personnel need to be added, proceed to step 3-3.2 below.
- If key personnel need to be removed, proceed to step 3-3.5

3-3.2 Click on Add Personnel.

3-3.3 Choose the Select from list option.
3-3.4  

a) At the bottom of this window, click on the first letter of the PI’s last name.  
b) Begin typing in the last name in the **Search for a particular entry** box until the name appears in the pull-down menu above.  
c) Click **Select** to add the PI.  
   - **NOTE:** If the PI is associated with multiple organizational codes, refer to the PSR form to determine the relevant code.

3-3.5  

If key personnel need to be removed, click on the icon in the **Remove** column.
3-4) PT > Admin Staff

Refer to PSR form for Department Administrator/PFM details.

3-4.1 Open the **Admin Staff** subfolder and click on **Add Personnel**.

3-4.2 Complete the **Add Personnel** form:
   
a) Click on first letter of last name of the PFM.
   
b) When the letter is bold, begin to type the last name in the **Search for a particular entry** box until the name appears in the pull-down menu above.
   
c) Click **Select** to add the PFM.

3-4.3 Click on **Add Roles**.
<table>
<thead>
<tr>
<th>3-4.4</th>
<th><strong>Check Departmental Administrator</strong>, then <strong>Save</strong>.</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Roles Diagram" /></td>
<td>NOTE: Admin staff can have multiple roles. In terms of the business process, there should be <strong>one Department Administrator</strong> (aka Primary Fiscal Manager [PFM]). Other users can be added, but they should have a different role (e.g. Department Administrator II).</td>
</tr>
</tbody>
</table>
3-5) PT > Approvals

Enter approval information for the following, as applicable:

- Additional Space/Facilities
- Animals – If PI provides protocol approval, attach in Attachments (see *Conventions For Attachments in eRA* for details).
- Biohazardous Materials
- Course Buyout – Attach documentation of approved split for non-standing splits in Attachments (see *Conventions For Attachments in eRA* for details).
- **Current DEPA Verified** (Proposal Analysts will not use this Approval. It is only used by Grant and Contract Officers at award. Must be checked at each award stage.)
- DEA Controlled Substance(s)
- Environmental Health and Safety – Indicate EH&S if Other Special Reviews is marked “Yes” on the PSR form.
- Export Control Concerns
- Human Embryonic Stem Cells
- Human Subjects – If PI provides approved protocol number at proposal, this enables us to link the protocol in the HS module with the proposal in the PT module. See follow instructions below to enable this linkage.
- ICR Splits – Attach documentation of approved split for non-standing splits in Attachments (see *Conventions For Attachments in eRA* for details)
- IDC Addendum – Attach IDC addendum and any accompanying documentation in Attachment (see *Conventions For Attachments in eRA* for details)
- IDC Waiver – Attach IDC waiver request and documentation of approval in Attachment (see *Conventions For Attachments in eRA* for details)
- Industrial Hemp
- Lasers
- Non-allowable Tuition Arrangements – Use this designation when sponsor does not allow tuition. Attach documentation of who arrangements approved for covering tuition in Attachments (see *Conventions For Attachments in eRA* for details)
- Radioactive Materials
- Restricted Research Waiver – To be used at postaward when a project has gone through the Restricted Research Committee for expedited or full approval.
- Select Agents
- Small Business Plan – Select if a small business plan is required at the proposal stage. The Small Business Plan can be attached as part of the Proposal document.
The following approval types require an additional form (complete and attach):

- Animals
- Biohazardous Materials (?)
- Course Buyout
- ICR Splits
- IDC Addendum
- IDC Waiver
- Small Business Plan

If required documentation is not present, make an additional note in the Award Comments box (under Awards summary) regarding actions taken.

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3-5.1 Open the Approvals subfolder and review previously added approvals.

- If any are needed that have not yet been added, proceed to next step.
  - For IRB/Human Subject Protocols, see Linking & Accessing HS Approvals.
  - For any Pending approvals, see 3-5.7.
  - For those that have been Approved, see 3-5.8

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3-5.2 Click Add Approval.
Complete the New Approval form as follows:

1) Select approval type from drop-down menu.
2) Unless this is for an HS/IRB approval, leave *Protocol* as **Not Attached**. 
   - For HS/IRB protocols, see [Linking & Accessing HS Approvals in eRA](#).
3) Click **Continue**.

For **Non-IRB Approvals**, complete the following fields.

- **Status** – “Pending” if approval is pending; “approved” if protocol is approved.
- ** Approval Review Type** – Leave blank; only applicable for **IRB**.
- ** Approval Review Category** – Leave blank; only applicable for **IRB**.
- **Reference No.** – Enter protocol number, if approved and known.
- **Approved** – Enter date of approval.
- **Approved From** – Enter beginning date of approved protocol.
- **Approved To** – Enter end date of approved protocol.

Click **Save** from the main menu.

Repeat to enter all required approvals.

If Approvals have been entered, but are **Pending**, take follow up actions. Once approval is acquired, open the approval here and add comments in **Other Approval Details** area.
If approval status is **Approved**:  
  
  a) Verify dates  
  
  b) Check **Attachments** folder for required documentation (e.g. email, additional form) and attach if necessary.

**SOP Award Processing**

3-5.8

- Verify dates  
- Check **Attachments** folder for required documentation (e.g. email, additional form) and attach if necessary.
4) Review and Add Details to Award Increment

4-1) *Award Increment > Summary*

4-1.1 Open the main *Awards* folder and review the listed dates. *(These dates may differ.)*

- **Awarded Project Period Dates = Anticipated Project Dates**
  - Located at the top of the page, this is the expected period of the project indicated on the proposal and award documents.

- **Period 1 Start/End Dates = Authorized Period of Performance**
  - Listed in the Award Summary table along with the awarded amount, this is the budget period for which money has been allocated and authorized for spending.

Also known as the "anticipated" project dates, which are the expected start and end dates indicated on the proposal/award documents.

Also known as the "authorized period of performance," these fields indicate the budget period for which money has been allocated and authorized for spending.

4-1.2 Under the *Other Award Details* section, complete the following:

- Select the *Team* that will be working on this award
- Enter *Total Anticipated* funding
- Select *Payment Method* from drop down list
- Check the *Schedule* box if there is a payment schedule
- Check the *Funding Gap* box if there is a funding gap
- Check the *Foreign Currency* box if the award is in a foreign currency
- Add any relevant comments in the *Award Comments* section:
  - Terms & conditions
  - Date extensions ‘from’ and ‘to’
  - Mod. purpose
  - Special notes (‘from’ and ‘to’ if applicable)
  - E.g. Update Sponsor contact from George Jones to Tim McGraw.
  - For comments regarding SUBS, enter “SUBS - No change” or “SUBS - [description of change]”
4-2) **Award Increment > Detail**

4-2.1 **Under Award Information**, click on the folder icon of the desired award increment to open it.

Review the following data:

- **Award Type**.
- **Authorized Budget Period**. If the budget period differs from anticipated period of performance, these dates should reflect the authorized budget period.
- **Award No.** (aka “MOD number”)
### 4-2.3 Add information under **Other Award Increment Details** if known, otherwise leave blank.

<table>
<thead>
<tr>
<th>Other Award Increment Details</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Rush</td>
<td></td>
</tr>
<tr>
<td>Additional Activities Requested</td>
<td></td>
</tr>
<tr>
<td>Create Future Projects</td>
<td></td>
</tr>
</tbody>
</table>

*Note: 15 digit max.*