AWARD REVIEW (SOP)

Last Updated: 4/5/2016
(Previously Updated: 6/26/2015)

Purpose

Award review is the final step before project set up. The officer reviews the data entered since logging through budget input ensuring project details are ready for set up in the financial system.
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Step 1: Open the PT (Proposal TRACKING) Award record

It is assumed that the Reviewer has received an Action Item.

<table>
<thead>
<tr>
<th>1-1</th>
<th>Open the <strong>Action Items</strong> list (Click on the <strong>Open</strong> link from <strong>My Action Items</strong> section in the menu on the right).</th>
</tr>
</thead>
</table>

![Image of Action Items list](image)

<table>
<thead>
<tr>
<th>1-2</th>
<th>From the list find the correct <strong>Action Item</strong>.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>1-3</th>
<th>Open the <strong>Action Item</strong> by clicking on the folder icon next to its name.</th>
</tr>
</thead>
</table>
1-4 In the opened **Action Item** window click on the Award link.

1-5 The Award Review will be done in PT. This can be opened from the AT opened record:

1) From the AT record window, click on the **Related Proposals** folder.
2) From the list of Proposals that displays, click on the folder icon in the **Open** column.

**NOTE:** Although this interface gives us the ability to have more than one related proposals on this list, this is something that should never happen because we will not be relating our award increments to more than one proposal. So the user should let the Module Admin know if more than one related proposal is listed on this page.
Step 2: Review Attached Documents

2-1 Navigate to **Attachments** folder.

1) On the Sidebar, click on the **Attachments** folder (1) at the bottom of the menu.
2) Click on appropriate subfolder, if desired (most likely **Award**) (2)

**NOTE:** There are attachment folders associated with each proposal, select the bottom folder beneath awards to see all attachments.

2-2 Open **Attachments**.

1) Click on the icon of the desired Attachment.
2) Attachment will open in new window.
Step 3: Add Terms and Conditions

3-1 From the opened PT record open the Terms and Conditions folder.

Open the Awards folder (1),
Open the Terms and Conditions folder (2).

3-2 From the Terms and Conditions page, click Add.

3-3 Select the appropriate terms.

1) Select the appropriate terms by checking the box next to the term (1),
2) In accordance with the Business Process Documentation, if a term needs to be added, type a name and description (2),
3) Click on the Save button (3).

NOTE: More than one term can be selected at one time.
### Edit the description, (if necessary).

<table>
<thead>
<tr>
<th>Terms and Conditions</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td></td>
</tr>
<tr>
<td>10% Draw Down Notice Required</td>
<td></td>
</tr>
<tr>
<td>Description:</td>
<td></td>
</tr>
</tbody>
</table>

1) Click edit next to the term whose description needs to be edited.
2) Screen opens to new screen to edit (not shown)
3) Make changes and click **Save**.
Step 4: Review Approvals

4-1 Navigate to the Approvals Folder.

1) Select the Approvals Folder for proposal record.
2) Review the status of existing approvals.

NOTE: Approvals are associated with Proposal; need to review all proposals.

4-2 Review and open the Approvals.

If Approval needs to be updated, based on data on screen [for example (1) and (2)], click on the Open icon (3).

4-3 Update the Approval’s Information.

1) Update Approval information such as (1) Status, (2) Reference No., (3) Review Type (for Human Subjects), and (4) Dates.
2) Click Save, and navigate back to Approvals folder to make other updates.

NOTE: Approval should not be pending after review, unless there is valid business reason.
4-4 To add Approvals – EXCEPT Human Subjects (for HS protocols, see step 4-7):

1) On the Sidebar, click Approvals folder.
2) To add a new approval, click on the Add Approval button (1).
3) A window for adding the new approval opens (see Step 3-5 for screenshot).

4-5 Select Approval Type.

1) Select Approval Type (1) from drop down menu.
2) Click on the Continue button (2).

4-6 Add the Approval Information.

1) Add Approval information such as (1) Status, (2) Reference No. and (4) Dates.
2) Click Save, and navigate back to Approvals folder (see 3-1 for screenshot), to add another approval.

4-7 To add Human Subjects Approval:

1) Select Approval Type (1) “Human Subjects” from drop down menu.
2) Click radio button Attached (2) under protocol.
3) Click on the Continue button (3).
**Search for IRB protocol.**

1) Search by IRB Protocol Number (1).
2) Search by other criteria (2).

**Attach the Protocol.**

1) Scroll down to bottom of page.
2) Select the radio button of desired protocol (1).
3) Click Select.
Step 5: Add Award Increment Status

5-1 Navigate to **Awards** folder.

1) On the Sidebar, click on the **Awards** folder (1).

5-2 Select the Award Increment **Status**.

1) On the right side of the screen, under the **Award Information** table (1), click on the appropriate Award Increment **Status** (2), looks like a blue hyperlink.

2) A status history window will open (see Step 5-3).

NOTE: the status displayed on this screen is the most recent added.
Add an Award Increment Status

1) Select the appropriate status from the Status dropdown list (1), in accordance with the Business Process Documentation.

2) Click the Add button (2).

3) Click the Close button (3).

See Business Process documentation for information about the business process use for award increment statuses.
Step 6: Add Attachments

Step 7: Relate the Proposal

If the Award does not need to be related to another Agreement (e.g. a Master Agreement), skip to Step 8.

7-1 Navigate to Related Proposals.

1) On the Sidebar, click on the Related Proposals folder (1).

7-2 Add a Related Proposal:

1) The Related Proposals/ Contracts/ Agreements screen opens, and you can see all of the current related proposals.
2) On the right side of the screen is an Add button (1). Click to add a related proposal. A new window opens. (7-3 below).
7-3 Locate the related proposal.

1) Input the proposal number in the Select by Number field (1), and click on Go (2).

7-4 Select Related Proposal.

1) Scroll down to the bottom of the screen to select the proposal identified above in Step 7-3 (1).
2) Click on the checkbox next to the proposal (2).
3) Click on the Select button (3).
4) The screen will close and the selected proposal has been added to the list of related proposals in 7-2 above.
### Step 8: Run the Validation Report

**8-1**  Log into myCUinfo at [http://mycuinfo.colorado.edu](http://mycuinfo.colorado.edu).

![myCUinfo Login](image)

**8-2**  Under the *Reporting & Compliance* tab, select **Public Folders**.

![myCUinfo Public Folders](image)
8-3 Open eRA > CU Boulder > Live Reports. Run the *InfoEd Validation 9.2.*

![CU Reporting System](image)

8-4 Enter the Proposal/Award Number in field 1 and select the Mod # in field 2.

![InfoEd Validation](image)

1) Click Finish to run the report.

For any **Failed** items, reference the [Data Validation Report Exceptions Cheat Sheet](#) at the end of this document.
Step 10: Complete the Action Item

10-1 Select My Action Items.

1) On the InfoEd home screen, on the right side of the screen, select my My Action Items (1), and a sub menu will open.

2) Click on the link Open, to view open actions items (2).

10-2 Select the appropriate Action Item:

1) Move the cursor over the yellow folder until it turns into a hand, and the Open dialog box opens (1).

2) Click on folder, and task/assignment screen opens in new window (see Step 10-3).
1) Select appropriate workflow step from **Next Step/ Decision** dropdown list (1).
2) Select appropriate personnel from **Assign to** dropdown list (2).
3) Click **I am done working with this Assignment** button (3).
### Appendix A: Data Validation Report Exceptions Cheat Sheet

<table>
<thead>
<tr>
<th>TAB</th>
<th>EXCEPTION</th>
<th>MEANING</th>
<th>WHAT TO DO</th>
</tr>
</thead>
<tbody>
<tr>
<td>POP DATES</td>
<td>authorized_start_date is gt pt_awards_end_date</td>
<td>Authorized start date is greater than PT awards end date</td>
<td>Check start dates on yellow AWARDS folder (2 places), award increment DETAIL page, and on your grey FT ACCOUNTS (all) for accuracy</td>
</tr>
<tr>
<td>POP DATES</td>
<td>authorized_end_date is gt pt_awards_end_date</td>
<td>Authorized end date is greater than PT awards end date</td>
<td>Check end dates on yellow AWARDS folder (2 places), award increment DETAIL page, and on your grey FT ACCOUNTS (all) for accuracy</td>
</tr>
<tr>
<td>FUNDING</td>
<td>ft_total ne awards_total</td>
<td>Total funding in FT is not equal to total funding in Awards (PT)</td>
<td>Check that your budget is published and matches the awarded amount to date. (Note: sometimes this error shows up in tandem with &quot;operating budget is null&quot;)</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>operating_budget is null or negative</td>
<td>Operating budget shows no balance or a negative balance</td>
<td>Check that your operating budget is published and matches the awarded amount to date. (Note: sometimes this error shows up even when operating budget is populated)</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>start_date is null</td>
<td>A start date is missing someplace</td>
<td>Check start dates on yellow AWARDS folder (2 places), award increment DETAIL page, and on your grey FT ACCOUNTS (all) for accuracy</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>f and a rate is null</td>
<td>F&amp;A Rate (e.g. 53.5%) is missing on an account</td>
<td>In FT, go to Account&gt;Set ups&gt;Attributes and see that the F&amp;A Rate (e.g. 53.5%) is filled in at the bottom. Click Add to enter. Check all associated accounts.</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>administrator is null</td>
<td>Department administrator name is missing on an account</td>
<td>In FT, go to Account&gt;Personnel&gt;Administrator and click Add to enter the correct name. Check all associated accounts.</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>f and a type is null</td>
<td>F&amp;A Type (e.g. MTDC) is missing on an account</td>
<td>In FT, go to Account&gt;Set ups&gt;Attributes and see that the F&amp;A Type (e.g. MTDC) is filled in at the bottom. Click Add to enter. Check all associated accounts.</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>end_date is null</td>
<td>An end date is missing someplace</td>
<td>Check end dates on yellow AWARDS folder (2 places), award increment DETAIL page, and on your grey FT ACCOUNTS (all) for accuracy</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>account title is null</td>
<td>An account in FT is not labeled (e.g. Main, Participant Support, etc.)</td>
<td>In FT, go to Account&gt;Set ups&gt;Attributes and enter appropriate account label under Project Purpose/Speedtype</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>instrument type is null</td>
<td>Identify the award as a grant, contract, subagreement, etc.</td>
<td>In PT, go to Submissions&gt;New&gt;Sponsor and choose correct award type from drop-down menu under Instr Type</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>program type is null</td>
<td>Identify the award as research, public service, instruction etc.</td>
<td>In PT, go to Submissions&gt;New&gt;Sponsor and choose correct award type from drop-down menu under Program Type</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>proj title is null</td>
<td>Project Title is missing</td>
<td>In PT, go to Submissions&gt;New&gt;Summary and enter title under Project Title (mid-page)</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>payment method is null</td>
<td>Payment Method (e.g. Letter of Credit or Invoice) is missing</td>
<td>In PT, go to Awards and choose correct Payment Method from drop-down menu (mid-page)</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>award number is null</td>
<td>Award Number is missing</td>
<td>In PT, go to Submissions&gt;New&gt;Sponsor and type award number into box labeled Award No. (mid-page)</td>
</tr>
<tr>
<td>REQUIRED FIELDS</td>
<td>campus on of is null</td>
<td>Identify if work will be done on- or off-campus</td>
<td>In PT, go to Submissions&gt;New&gt;Summary and check &quot;on&quot; or &quot;off&quot; under Campus (4th line down)</td>
</tr>
<tr>
<td>FUNDING SOURCE</td>
<td>orig spon is null func src is populated</td>
<td>Prime Sponsor not identified but Funding Source is populated</td>
<td>In PT, go to Submissions&gt;New&gt;Sponsor. If there is a PRIME SPONSOR check that both Originating Sponsor and Funding Source are populated. IF NO PRIME SPONSOR, see that both are blank</td>
</tr>
</tbody>
</table>
| FUNDING SOURCE | orig spon is populated func src is null | Prime Sponsor is identified but Funding | In PT, go to Submissions>New>Sponsor. If there is a PRIME SPONSOR check that
Source is not both Originating Sponsor and Funding Source are populated. IF NO PRIME SPONSOR, see that both are blank

| CFDA | ff and cfda is null | CFDA Number is missing | In PT, go to Submissions>New>Sponsor and enter CFDA number under CFDA on first line |

**EXCEPTIONS TO THE EXCEPTIONS**

There are at least 4 cases where the Data Validation Report will produce an error/exception that cannot be helped. In these cases, it is acceptable to send the award on to Project Set-Up with the following exceptions.

**CASE #1: $0 ACCOUNTS (e.g. interest bearing, program income, old converted account set up in error)**

<table>
<thead>
<tr>
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<th>MEANING</th>
<th>WHAT TO DO</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQUIRED FIELDS</td>
<td>operating budget is null or negative</td>
<td>Operating budget shows no balance or a negative balance</td>
<td>Since the operating budget is correctly $0, go ahead and send this on to Project Set-Up as is</td>
</tr>
</tbody>
</table>

**CASE #2: ROUNDING ERRORS (e.g. cents rounding up/down to whole dollars)**

<table>
<thead>
<tr>
<th>TAB</th>
<th>EXCEPTION</th>
<th>MEANING</th>
<th>WHAT TO DO</th>
</tr>
</thead>
<tbody>
<tr>
<td>FUNDING</td>
<td>ft_total ne awards_total</td>
<td>Total funding in FT is not equal to total funding in Awards (PT)</td>
<td>Rounding cents to dollars on the Award Summary is a known issue with InfoEd. Go ahead and send the account on to Project Set-Up</td>
</tr>
</tbody>
</table>

**CASE #3: MULTIPLE FUNDED MODS (i.e. several mods with funding have been logged but not yet published to FT)**

<table>
<thead>
<tr>
<th>TAB</th>
<th>EXCEPTION</th>
<th>MEANING</th>
<th>WHAT TO DO</th>
</tr>
</thead>
<tbody>
<tr>
<td>FUNDING</td>
<td>ft_total ne awards_total</td>
<td>Total funding in FT is not equal to total funding in Awards (PT)</td>
<td>There is no way to prevent the mismatched totals in FT versus PT; route to Project Set-Up</td>
</tr>
</tbody>
</table>

**CASE #4: AT-RISK ACCOUNTS**

<table>
<thead>
<tr>
<th>TAB</th>
<th>EXCEPTION</th>
<th>MEANING</th>
<th>WHAT TO DO</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQUIRED FIELDS</td>
<td>award number is null</td>
<td>Award Number is missing</td>
<td>Award number is not yet known. Note this in Award Comments and route to Project Set-Up.</td>
</tr>
</tbody>
</table>

| REQUIRED FIELDS | payment method is null | Payment Method (e.g. Letter of Credit or Invoice) is missing | Payment Method is not yet known. Note this in Award Comments and route to Project Set-Up. |