AWARD LOGGING BUSINESS PROCESSES

CONTENTS

LOGGING DEFINED

In InfoEd, Logging is the process of Creating an Award.

There are a few ways to create a new award in the InfoEd Global Suite. You can create an award from PT proposals, My Awards or from inside an account.

Creating an award in a PT proposal will:

1. Automatically associate that award with the proposal, and this is the standard procedure that we will use.

2. Ensures that the award is associated with the correct proposal, as similar projects can more easily be distinguished when they are side-by-side in the search results.

3. Simultaneously create an Award Tracking (AT) record.

   a. The user will be able to access AT as a sub-section of the PT Award folder in the proposal's sidebar.
   b. The AT folders will have a blue color when accessing the Award Tracking Module inside of PT.

Logging is adding the bare minimum of information and basic budget information (POP, award increment and total award amount anticipated) into the system.

-   Begins with email to ocg@colorado.edu

    o   An email forwarded from a CGA/PA should be annotated with the proposal number or other identifying search parameters, if not clearly defined by the award document

Processing is the data entry, detailed budget work, splitting accounts, obtaining missing proposals and documents, etc

WHEN AN AWARD IS RECEIVED…

- Search for record in InfoEd using the **My Proposals**, **Search For** record search.
- Identifying the proposal submission (PT) 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 information
    - (4) PI information
    - (5) proposal status = "Submitted" (mod 0) or "Award Received" (mod 1+)
    - (6) and/or the proposal number

- If any question about whether something needs to be logged or where:

    - Flag in outlook (using color scheme)

        - Internal go to person who sent or person responsible (Officer generally)

        - External go to Officer or Supervisor
    -
- Change in Award # may indicate need for new Master proposal.
- 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).

STEP 1: IDENTIFYING THE PROPOSAL:

In **My Proposals** (PT), search for and identify that you have the correct proposal which matches the award from the search results. Compare:

(1) <u>Sponsor information</u> – usually spelled out rather than abbreviated. Refer to sponsor identifier list—provided by Roger as a spreadsheet entitled, "FM sponsor names".

(2) <u>Project title</u> – search on those words of the title which make it unique, using wildcards [*] on either side, e.g. *tandem water splitting*

- For conversion, awards are linked through the award number, and the search function will pull from the parent award title. When a title changes in successive

continuations/supplements, you may not be able to find a Project by its current title. [I asked James if search capability could be added that would allow searching on any title from FM and then track to the parent proposal number.]

- ▪

(3) <u>PI information</u> – enter any unique portion of the first or last name, using wildcards, on either side of the unique letters, i.e. " ***** ".

(4) If any of these elements are missing, use all other known facts about the award to match it up with a proposal, e.g. <u>proposal type</u>, <u>dates</u>, <u>award amounts</u>, etc. as part of Verification, next.

(5) If you are unable to identify a matching proposal for the award, log the award as "RASP", i.e. Routing-AS-Proposal, see the **SOP for RASP Logging**.

(6) <u>Speedtype</u> can be found:

- a. PT Financials [FT (grey folder)] - Setups – Attributes – Project Purpose/Speedtype.
- ▪

(7) <u>Project#</u> [called <u>Account#</u> in InfoED] can be found:

- a. Converted data, in PT Sponsor – Other Sponsor Details. Also in PT – Snapshot.
- b. Going forward, the Project No. will be assigned by infoED when the processor hits the "GetSet" button in the processing stage. It can be found:
  - i. PT Awards - Accounts
  - ii. AT Award Summary (blue folder) – Account information
  - iii. FT Financial Summary (grey folder) - Accounts

Hover over the yellow folder next to **Proposal Type**, to reveal the **Edit** icon.

Click on the **Edit** icon to open the PT-Submissions **Summary** screen.

STEP 2: VERIFYING THE OPENED PROPOSAL IS THE RIGHT ONE:

CHECK SUMMARY (1) + SPONSOR (2) + BUDGET SCREENS (3):

1. <u>From the PT Submissions-**Summary** </u>screen: Verify PI (top), Proposal Type, Project Title.

   Make corrections to match data with the award information. **Summary**

Principal Investigator (PI)

The PA will have verified the principal investigator and ORG# when preparing the proposal, but because changes can occur between submission and awarding, the processor should verify that these are correct. Also verify Co-PIs, and their ORG#s, as well as any ICR Split which may be agreed upon between different departments working on the same project. ICR Splits should have documented (written) agreements to support what the department(s) say has been established. These will be saved with the documentation tag "Supporting Documentation".

Proposal Types

The following definitions are used to designate the proposal type:

- **New** – New proposals are any initial proposals not previously submitted to the sponsor. They have a new title and the proposed research plan substantially differs from previous proposals. Also use this type if a preproposal advances to full proposal, changing type from Preproposal to New. In such cases, do not enter a new proposal, but update proposal type and proposal data as needed for the full proposal.
- **Continuation** - A continuation is a proposal for which the project end date was extended with no gap in funding from the previous project period. Noncompeting continuations (such as the third year of a five year NIH award) are not entered in PT beyond the original entry as a new proposal. Continuations that include funding not in the original proposal are created in PT as a child of the original, master proposal. Proposals that fit this definition will be set up as a child of the original proposal, regardless of whether the sponsor issues a new award number or uses the same one for the continuation.
- **Renewal** - A renewal is similar to a continuation except that there may be a gap in funding and a new award number. For non-competitive renewals, the IDC rate from the original award should be used; for competitive renewals, use the current rate. Renewals are set up in PT as a master proposal, due to the gap in funding, and are then related to the original proposal.
- For an NIH <u>resubmission</u> of a renewal, treat the proposal as a renewal. In these cases, there will be more than one renewal related to an original proposal.

- **Resubmission** - A resubmission is a proposal that does not substantially differ from previous proposals submitted to a funding agency. These generally have the same or similar titles, project aims, research questions, etc., as a previous submission. For CU, resubmissions are considered unrelated to the initial proposal and, therefore, are created like new PT records with a new proposal number and no relation to or child of another proposal.
- **Supplement** - A supplement is similar to a continuation and renewal in that additional funding is requested for an existing project; however, the funding is for additional work or unexpected expense within the same project period as the parent award. Supplements are created in PT as a child of the original, master proposal.
- **Non-Monetary** – A non-monetary proposal type will be used for agreements without funds such as master agreements, non-disclosure agreements (NDAs), and bailments. Post-award officers will use this proposal type, but Proposal Analysts will not use this proposal type.
- **OIC** – Only to be used by Office of Industry Collaboration
- **Preproposal** – Enter a proposal as a preproposal if this is a preliminary proposal (also called white paper, concept paper, preproposal) before submission of a full proposal, and PA involvement for submission and a budget is required. If proposal advances to full proposal, change type of proposal to New and update Status History to "Preproposal Advance to Full Proposal."

Project Title

- The project title will have been entered using the following convention: Capitalize each word in the title except for common words (of, it, the, and, etc.), and the second word of a hyphenated phrase.
- Enter the title as entered on the proposal with acronyms or prefixes (e.g. REU, Collaborative Research as required by NSF or other sponsors).
- Do not include continuation or supplement in the title field as was done in FileMaker. This designation will be taken care of when the continuation or supplement is set up as a child to the master proposal.
- IF THE TITLE OF THE PROPOSAL IS DIFFERENT FROM THE AWARD, update the title in processing, using the conventions above.

2. <u>From the PT Submissions-**Sponsor** screen</u>: Verify Sponsor, add Award Number. Add Prime Sponsor and Prime Award Number.

 Sponsor

- The **Sponsor** should be the organization/agency/institute from which the funding will come directly to CU. For example, if CU is the sub on a proposal submitted by University of Michigan to NSF, University of Michigan should be selected as the sponsor.
- Add the Sponsor Award Number exactly as it is written in the award document.

Originating (Prime) Sponsor

- When processing, add any Prime sponsor + Prime sponsor award number, if not already listed. Add the sponsor award number exactly as written.
- If there are several tiers, enter highest level that is known.
- For national labs that are funded by NASA or DOE, enter the national lab as the prime sponsor.

STEP 3: VERIFY THE BUDGET

1. <u>From the PT Submissions-**Budget** screen</u>: Verify and update Budget.
- In Phase I of using InfoEd, a limited amount of budget information will be added: direct costs only.
- For converted records, it is possible that zero ($0.00) dollars will show in the budget. If so, use all the other factors of the found award to determine if this is the best match.
  - The conversion model pulls from the Filemaker proposal database for proposals that were unawarded at the time of conversion. If the 1st Budget Period was not filled in, the budget will pull over with $0.00 dollars.

STEP 4: ENTER AWARD INFORMATION IN THE SPONSOR SCREEN

1. Saving the award file:
   - In FM, we attached the award file to the Document Type table on the Project Setup Status page. The email was saved in the X:/ Drive proposal folder as a .pdf file.
   - In infoED, only the award email plus the extracted award will be saved to the X:\drive. Factors to consider:
     - Since the X:\Drive proposal folders will no longer be utilized (this is the current thought), the files saved through infoED will be the official storage place for a proposal, award and all related documents.
     - Different Teams within OCG may use a Working Directory for storing the various versions of files, but when an award is fully signed, InfoED will house only the final editions.
     - The [Attachments Conventions](#) should be used as the guide for standard formats.

STEP 5: SCAN AND ATTACH THE AWARD DOCUMENTS TO THE PROPOSAL'S RECORD.

A number of areas within the InfoEd Global Suite permit the uploading of attachments.

When uploading any type of file, the application is designed to recognize the mime type. If attached to a record, PureEdge files do not get read or converted into PDF files, the PureEdge files are only uploaded as an attachment. If the user has the PureEdge viewer software installed, after uploading, the file may be opened in the PureEdge application environment.

[MIME means **M**ultipurpose **I**nternet **M**ail **E**xtensions, and refers to an official Internet standard that specifies how messages must be formatted so that they can be exchanged between different email systems. MIME is a very flexible format, permitting one to include virtually any type of file or document in an email message. Specifically, MIME messages can contain text, images, audio, video, or other application-specific data.]

Using the Attachments folder in PT replaces the former process of saving proposal documents to the X drive.

Note:

- All Attachments must be added in the PT Attachment folder for the proposal/child on which you are working, not the PT Submissions-Attachments folder.
- CAUTION: Do not attach under Submissions-Attachments subfolder, which is only for the proposal documents. All documents will "roll into" the main Attachment folder, and be viewed there by category.
- Except for Excel files (internal or sub award budgets) or sponsor forms that cannot be converted to PDF due to document constraints or loss of data, save and upload files to InfoEd as PDFs.
- Save ONLY final documents, not working documents, except when logging the original award document.
- Save all files in your X drive working folder as a backup. Do NOT delete files after they are attached in InfoEd.

For each document attached:

- Select "New Document." Do not use "New version of existing document" at any time.
- Enter Name using the InfoEd Attachments Naming Conventions and Categories
- **Item 4:** Enter Category, using the InfoEd Attachments Naming Conventions and Categories.

Effective Date = date Award Document is received, e.g. the email date, not the date it is logged.

Comments [Should include notes similar to the Notes field from the Project Setup Status page in FM]:

Anything of note that came to your attention while logging.

STEP 7: CREATE THE AWARD RECORD.

STEP 8: UPDATE THE AWARD INCREMENT WORKFLOW STATUS

RASP LOGGING

When unable to locate the proposal record, follow the SOP: RASP Award Logging.

Step 2 – RASP – UNABLE to Locate Proposal Record

In Creating the NEW PT (Proposal) record, there are two choices:

- New Proposal
- By Copying an Existing Proposal

ALWAYS choose "New Proposal".   ???

Enter Deadline Date as: today's date   ???

PI AND SPONSOR

Enter in the same way as for standard logging. At the minimum, we must have a PI and a Sponsor entered. IF THOSE ITEMS ARE NOT CLEARLY STATED IN THE DOCUMENT:

- For PI: Enter "Unnamed, Unnamed"
- For Sponsor: Enter "Default sponsor"
- For Award#: Enter the award number from the award document

ENTERING THE BUDGET

- If there is a budget present, enter:
  - Requested Project Period Dates:
    - Enter most inclusive dates shown –

      For example, you see two different sets of dates listed:

      01/01/2015-12/31/2018 and also you see a date set listed as 01/01/2015-12/31/2015

      The dates 01/01/2015-12/31/2018 should be entered as the "Requested Project Period Dates".
  - Dollar amounts:
    - Enter $0.00 dollars [that is leave the amounts blank]
  - Create only ONE "New Period" encompassing the broadest dates and the TOTAL dollar amount

ATTACHMENTS

Are handled in the standard way as with all logging.

CREATE THE AWARD RECORD

This is done the same as with standard logging, in the PT Award folder:

1. Consider each RASP award to be the "Initial" Type Award.

2. Enter the broadest set of dates in both the "Awarded Project Period Dates" and the "Award Summary" boxes.

3. Click the NEW AWARD button to create the award record. An "Award Date" window will pop up:

   - Click on the "Copy" radio button.
   - Fill "Percent" as "100"%.
   - Save.

4. Update the Award Record DETAIL:

   - Still within the PT Award folder,
     - Click on the new Increment Number that has appeared as a result of creating the award.
     - Click on the **Detail** folder underneath to open the Award Detail Record. This is done to enter the Award Type and the Mod Number:
       - From **Type** drop down menu, select **Initial**.
       - In the **Award No.** box, enter the Mod Number = "00" [two zeros].
     - This will create the Award Increment record in AT (Blue folder).

STATUS HISTORY

Unlike standard logging, there will be <u>two</u> (2) status histories associated with the RASP record. There will be the usual update to Post-Award processing (1), there will be an update to the Proposal Analyst (2).

1. Update in the **AT Award Detail**:

   - Still within the PT Award folder for this award mod:
     - Click on the newly created **AT Award Detail** record in blue to open this blue folder.
     - Click on the **Date** for the increment just created (should be today's date).
     - From the **Status** drop down menu, Select "WF_RASP Award Logged Forward to… (choose Grants or Contracts Officer as appropriate)

2. There will be an update in the **PT Status History**:

   - Select "WR_RASP Award Logged Forward for Proposal Creation"
   - Select the PA who handles that department

LOGGING NOTES

-Additional Pay Form (APF) - see OPAS/APF

-**AFOSR Emails that refer to the award closing-** Need to be forwarded to ocgcloseouts and then drag to the closeouts folder.

-Agreements without Funds: (many types, see separate Z: Agreements Without Funds folder)

>   Forward to ocgcontracts@colorado.edu ***plus***

>   Forward to TTO, Thao.Vo@colorado.edu these specific types:

>>   *Licensing Agreements* - LAs

>>   *Material Transfer Agreements* – MTAs

>>   *Non-Disclosure Agreements* – NDs

>>   *Proprietary Information Agreements* – PRs or NDs

>>   *Visiting Scientist Agreement* - VAs

-Allotment Date -provides the period of time over which the newly allotted funds should be spent [a "spend rate"]. DO NOT update the POP for an allotment date which may be different.

-**ARRA Reports** - forward to pat.dodson@colorado.edu, and the SPA grant accountant who handles that sponsor   + save to Other – Reports.

-**Assurances** - forward to the Officer assigned to that particular award

-AWOF – see *Agreements without Funds*

-Benefunder –   forward these emails to Marcella.BentleySalmon@colorado.edu, and cc: Denitta.Ward@colorado.edu . Marcella will identify a contract officer to handle each PI + save to "Benefunder" folder.

-**Close-out mods** - Description on mod table = "Closeout mod (deob)". Enter deobligated Amount.

-Close-out Notices - forward to ocgcloseout@colorado.edu + DELETE

-Contact change updates (campus & sponsor)   - forward to Kathie Sharp

-Cost-sharing reports/documents - forward to katherine.loudermilk@colorado.edu   + DELETE

-CRR – see LASP below

-**EDA New Contract Document-** Forward to Kathie Sharp + DELETE

-Equipment loans – forward to Justin.Mack@colorado.edu

-era Information – per Greg Bradley 3/23/15: "I do not need these. The new supercircular was implemented and NIH took the opportunity to give grant recipients 120 days to send in closeout documents instead of 90 days. It applies to all grants that close after the supercircular went into effect so I won't need the individual notices."

-era-notify: Just-in-Time Notifications - forward to Proposal Analyst + DELETE

: Award attached? Log as usual.

-FastLane - NSF submission: NSF usually sends awards, but Kat and most of Grants team can access to pull down awards:

Z:\ Administration - OCG Administration\ RSAs\ Database POC-Grants

-FedConnect - forward to Kat + DELETE

-**Fellowships w/out Proposals** - forward to Lyn Milliken

-G5 Notifications –

The only people that can access the G5 accounts are the PIs and Proposal Analysts. So please <u>forward</u> the notification to the PI and his/her Department Administrator, using this format:

Dear Dr. _____,

Congratulations! We have received notification of your incoming GAANN award. Please read the email below, sign in to G5 and download the award documents. Then, please forward those documents to ocg@colorado.edu so we can initiate the speedtype process.

Thanks!

Best,

Beth

-**Grants Online** emails - Progress Report forward to ocgcloseout@colorado.edu [verified by Greg 7/10/14]

- Award Actions forward to Kat + DELETE

-Jan Farrar - Anything formerly going to Jan should be sent to ocgcloseout@colorado.edu

-**Just-in-Time Notifications** - from NIH, forward to Proposal Analyst who submitted the proposal and delete.

-**LASP** – award notifications for LASP Dept. awards *NOT* received from LASP via a "C.R.R.", should be forwarded to Cara.Little@colorado.edu [this should be very rare]. The C.R.R. should be saved to the X-Drive. In processing, the CRR should be added to the Document Table as "CRR Internal" (this Type has to be typed in, as it is not on the drop down list). -- LASP handles any and all documents related to proposals, including China assurances.

-**Lockheed Martin and Exostar** notification emails - forward to Anna Thomas, Kathie Sharp + DELETE

-NASA China/ACORN/Tax certifications - forward to Lyn Milliken

- NASA NSPIRES - usually, just save in the NASA NSPIRES subfolder, and you are done

- Exception: Notification that the PI wants access: the PI does his/her own registration, then it gets sent to their proposal analyst for approval- DELETE THESE EMAILS. No need to forward to PAs.

-"NCE" mod (only on Contracts) –   used by the Contracts team as a placeholder for an expected, upcoming no-cost extension; change the "NCE" to the next consecutive mod number and attach the NCE doc to the Project Setup Status, Document Type table for that placeholder mod.

-Non-Funded Agreements - see *Agreements without Funds*

-**Northrop Gruman** Notification Emails - forward to Mindy Vallejos + DELETE

-NIH – Student Handbook for disposition of ROIs (on cheatsheet)

http://resadmin.partners.org/RM_Home/Documents/Training/PreAward-AdditionalHandouts/NIHGrantNumber.pdf

Are supplements added as a separate record in the database or just a related record?

It's not a one-size-fits-all answer unfortunately.

For example if a supplement has a different POP, a different IDC rate, or anything else that makes it substantively different from the main award it gets a new project number. Also, sometimes a sponsor will use language in the supplement that suggests the funding is "restricted" in which case a new project number is needed. Final determination will be made by the Officer handling the award.

-**NIH Fellowships** - log as usual, then forward to Lyn Milliken for review

-**No-Cost Extension (NCE) requests** - forward to Contracts/Grants Officer

-NREL - always log as RUSH, include the date due in the Task table notes

-**NSF Notification Request Report-** States the project has been rejected. It needs to be sent to the PA and then deleted.

-**NSF Notification Request Report Reallocation of Funds-** Need to be logged as a transfer.

-nspires@nasaprs.com - MOVE to NASA-NSPIRES folder + DELETE

-OCG all staff email: OCG-DL-ALL-STAFF@colorado.edu

-OPAS/APF - Log these forms. Save the email in the proposal folder, the same as an award email would be. You do NOT need to attach the form or the email in the Document table.

On Award History page enter: ① "Date Rcv'd" = current date; ② "Mod #" = L"+next mod#, e.g. L3; ③"$ Amount" = 0 (zero); ④"Modification" = OPAS or APF, whichever form you are logging.

On Project Status Setup (blue box) page enter: ① "Business Process" = "Review"; ② "Status/Issue" = "Forms needed for award"; ③ "Notes" = OPAS or APF, whichever form you are logging.

-Org. number updates (Reorgs) (per SPA communication) - forward to Kathie Sharp

-Organizational Prior Approval form - see OPAS/APF

-Period of Performance (POP) - period of time for which EFFORT will be expended on the award. This is NOT the same as the Allotment Date, which provides the period of time over which the newly allotted funds should be spent [a "spend rate"]. DO NOT update the POP for an allotment date which may be different.

-Personnel actions - forward to Kathie Sharp

-**PI change**- Log as admin mod

-PI moves - forward notification to CO or GO handling the award so that a Change of PI request is filed with the sponsor, if needed

-PI, New – Add a new PI to the OCGGMS database (bottom left hand corner, click on "Add New PI"). The title must be one that is listed (or have Roger add it). The zip code + phone number must contain no dashes. Once the PI is added in GMS, email Roger to have him add the PI to FM [All Roger needs is the employee ID + employee name].

-Project Reports - Notices indicating that a report has been approved/accepted do NOT need to be forwarded to ocgcloseout@colorado.edu. NSF-Reports subfolder.

-Proposal announcements or solicitations – forward to Joan Eaton, Director of Proposals Team + delete

-**Regent Agenda Notification**- DELETE

-Remittance Advice – forward to Maribel.markham@colorado.edu +Delete

-Report of Inventions – forward to Greg Bradley, and delete.

-reporting@research.gov ⟩⟩ annual/periodic project reports ⟩⟩ all "reports" forward to

ocgcloseout@colorado.edu + DEL

-Reports:

-**Annual Reports** OverDue notices – need to be sent to ocgreports@colorado.edu

-**Annual Reports** Now Due -can simply be deleted until further notice from Compliance.

-**Cost_sharing_reports** – forward to Kathy.Loudermilk@colorado.edu

-**Overdue Report Notices** - forward to ocgcloseout@colorado.edu

-Project Reports - Notices indicating that a report has been approved/accepted do NOT need to be forwarded to ocgcloseout@colorado.edu. Save in NSF-Reports subfolder.

-**Progress Reports –** Notices indicating that a progress report is due should be forwarded to ocgcloseout@colorado.edu

-**Financial Reports** – Quarterly reports are done by the Grant Accountants. Please forward notices to spa@colorado.edu and delete.

-Technical Reports – forward to ocgcloseout@colorado.edu

-**Final Reports Now Due-** Drag to closeouts folder

-**Final Report is Overdue**- Send to closeouts

-**Expiration of Grant/ Cooperative Agreement**- Drag to closeout folder

-SPA changes - forward to Kathie

-TPR – Delete if a current OCG employee is copied on the email (example of this situation is in the RSA Logging folder)

-Weekly NSF Award Receipt Notice - saying here is a list of the NSF awards that were sent to you in the past week. All we do is go through and make sure all the award numbers on the list have at least been logged and then, if they are, delete the email.

- Extensions: First extension, write "from <u>date</u> to <u>date</u>" ; subsequently, just write "to <u>date</u>"
- Date Reductions: write "change from <u>date</u> to <u>date</u>"
- New Award: in Proposal database, click in blank area until a box appears
    - Fill in year prepared + last four of proposal #, e.g. 2014_1913 **-- then** SAVE
    - Click "Create Award" button
    - Note: NSF is "new" if it does not list an "Amendment No."
- Filemaker: Ctrl-Z = change to system font (so it's all "matchy") ☺

6/10/14

Hello loggers,

We're getting to that high point in volume, so hang in there! A couple important things have come up that I'd like to bring to your attention:

1. Some DOE or USGS (U.S. Geological Survey) awards are apparently getting forwarded to the OCG email. The problem with these is that only a portion of the documents are included. If an award document for DOE or USGS is in the OCG logging email, **please do not log it**. Those sponsors also put the full award on FedConnect, which I download and log weekly.

2. <mark>NSF</mark> has been sending <u>incremental funding</u> with <u>the budget</u> for that funding attached. **Please <u>save these as 1 award pdf.</u>** NSF's budget is not our internal budget that SPA requires, so we can't use it as our budget, but it is a part of the award document, and needs to be attached as such.

Best regards,

Beth

From: Denitta Ward
Sent: Thursday, October 02, 2014 1:41 PM
To: OCG-DL-ALL-STAFF
Subject: InfoEd & File Naming Conventions
Importance: High

ACTION ALERT FOR ALL STAFF

As I mentioned this morning @ the staff meeting, please read this in full and take action. Please be mindful that I do not often use ALL CAPS in my correspondence or make common usage of words like "ONLY" "MUST" and "SHALL". But, I have here.

We are preparing for the transition to InfoEd and the information below has important implications for the transition and how your work is saved on the X: drive.
This is not optional guidance; it is mandatory - going forward all documents must be properly named and saved.

<center>*****</center>

All items that are currently stored in the <u>proposal files</u> of the X drive will be transferred into InfoEd. It is imperative that these documents are named consistently to ensure that the transfer to InfoEd goes smoothly.

Issues:

1. Documents in the X drive Proposal Folders can ONLY be stored in PDF or Xcel format. Items cannot be stored as emails, Word documents or Power Point files. All items other than Xcel budgets should be converted to PDF format before saving to a Proposal folder.
2. Proposal folders should NOT be used as working folders. The proposal folders are for final versions of documents. The X: drive working directory exists for items that are "in progress".
3. Items may ONLY be stored using the tags and naming conventions in the attached PDF. Items will be moved to the appropriate location in InfoEd based on the tag names. <u>If an item is not tagged correctly,</u> it will end up in the wrong location in InfoEd. The attached list has been expanded to include more tags that are needed by the post-award team. Steven Sheldon controls issuance of Tags – see him if you feel additional tags are necessary.
4. Subfolders should ONLY be used within a proposal folder in the following instances:
    a. Subcontracts
    b. Supplemental/Continuation proposal under a parent proposal
    c. Correspondence (This is for the post-award team ONLY and will be covered below)
5. File name less than 50 characters. (*Added later*)
    ▪

- In some instances, people have combined the proposal documents into a new "Proposal" subfolder within the numbered proposal file. This is incorrect and should NEVER be done. It will cause issues with the transfer.

<u>Corrections</u>: If you discover proposal items are stored incorrectly, contact the appropriate proposal analyst to get those items corrected. It will be the proposal analyst's responsibility to fix them as quickly as possible. <u>Corrections can only be made to items that have NOT already been e-routed to Project Setup</u>. Once an item has been e-routed, any change to its name or location will cause the link to be severed.

<u>Use of the New "Correspondence" Folder</u>: Grants, Contracts & Compliance officers can now start using a "Correspondence" folder within the proposal file. This folder is for post award correspondence ONLY. It will be used primarily for the storage of emails (<u>as PDFs</u>). The naming convention will be as follows:

>   Award #_Date (xx.xx.xxxx)_Email_Tag

This will allow the officers to store emails individually and differentiate them by subject matter.

At the award stage, officers must create a copy of the awarded budget and save it as Award #_Mod#_Budget. This must be saved as BOTH a PDF and Excel spreadsheet. However, it is the EXCEL budget that is e-routed to SPA. The original proposal budget should not be altered.

Supervisors MUST conduct random audits of X drive records to make sure everyone is storing documents correctly.

Please review ATTACHMENT: Proposal Tags_100114; Updated 100814

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