Purpose

In the award processing phase, the data entered at the proposal creation and award logging is reviewed and updated where needed. This process is used to set up all the types of awards in the system, documenting the details of the award in terms of funding level, authorized and estimated time frames, award type, budget allocations, etc. Typically, during the input phase, a detailed budget including account codes is entered; however, at this time only basic budget entry is required.

This SOP applies to the following Award Increment Types & Actions:

- Admin
- Funding (and Extension)
- Initial
- Supplement
- 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.
In the opened **Task/Assignment** window, open the Award Tracking by clicking on the proposal number in **blue**.

You will need to open the record in PT to process the award:

1) Click to open **Related Proposals**.
2) Click on the yellow folder icon under the **Open** column.
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 You will need to open the record in PT to process the award:

1) Click to open **Related Proposals**.
2) Click on the yellow folder icon under 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.

How to Request an Account Code Budget from the ACT Team:

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 [ocgact@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:
     i. BASIC BUDGET, RUSH (if applicable), Proposal #, PI Name
     ii. Ex: Subject: Basic Budget, Rush, 0612.06.1040B, Tom Jones
   - For a REVISED BUDGET
     i. REVISED BUDGET, RUSH (if applicable), Proposal #, PI Name
     ii. 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, upload the document to eRA.

8. Continue to process and input award.
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:

### 3-2.1

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
</table>
| a) | Review **Program Type**, and select the appropriate type, if not already done. This will typically be “Research”.
| b) | Verify the **Award No.**
|   |   |   |   |   |
|   |   |   |   |   |
|   |   |   |   |   |
|   |   |   |   |   |
| c) | Enter the **CFDA number**, if applicable.
|   |   |   |   |   |
| d) | If there is an **Originating Sponsor**, verify that the Funding Source is also selected, otherwise leave blank.
|   |   |   |   |   |
| e) | Verify **Instr. Type** and update if necessary.

- **NOTE**: the Sponsor Award No. should have been added.
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.

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.**

![Personnel Table]

**Consultant - Key Personnel**
**External Consultant - Key Personnel**
**Significant Contributors**
**Consultant - Significant Contributors**
**Non-Key Personnel**
**Consultant - Non-Key Personnel**
**External Consultant - Non-Key Personnel**

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

![Select from List]

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.
If key personnel need to be removed, click on the icon in the **Remove** column.

![Personnel table]

Repeat steps for additional Co-PIs. When all personnel have been added, confirm the correct individual is marked as the PI.

![Personnel table]

To change the PI:

a) Check the radio button next to correct individual.

b) In the pop-up window, select the budget periods and/or increments this applies to and click save.
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.
3-4.4 Check Departmental Administrator, then Save.

NOTE: Admin staff can have multiple roles. In terms of the business process, there should be one Department Administrator (aka Primary Fiscal Manager [PFM]). Other users can be added, but they should have a different role (e.g. Department Administrator II).
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.

---

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

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.
3-5.7 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.

3-5.8 If approval status is Approved:
   a) Verify dates
   b) Check Attachments folder for required documentation (e.g. email, additional form) and attach if necessary.
4) Review and Update Award Increment Data

4-1) Update “Award Summary” Page

PT > Awards

Open the main Awards folder and review the listed dates. (These dates may differ.)

1. **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.)

2. **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.)

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 Tom Jones to Tim McGraw.)
  - For comments regarding SUBS, enter “SUBS - No change” or “SUBS - [description of change]”

![Image of Award Processing dashboard](image-url)

Also known as the “anticipated” project dates, which are the expected start and end dates indicated on the proposal and award documents.
4-1.3 Under **Award Information**, click on the folder icon of the desired award increment to open it.

![Award Information](image)

4-2) **Update “Detailed Budget” Page**

PT> Awards > [Increment] > Detail

**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")
4-2.2 Under **Non Personnel Costs**, delete the existing budget item (entered at logging) by clicking on the trash can icon at the end of the line.

4-2.3 Add information under **Other Award Increment Details** if known, otherwise leave blank.

- **Rush**
- **Additional Activities Requested**: 15 digit max.
- **Create Future Projects**
4-3) **If Applicable: Create Subcontract ShortForm(s)**

*If there are no subcontracts listed, skip to Step 4-4.*

For initial mods, each subcontract must be set up with a ShortForm **even if they are not receiving funds this increment.**

1. To create a new short form for a **new** subcontract, see **Step 4-3a.**
2. To create a new short form for an **existing** subcontractor, see **Step 4-3b.**
   - *This step is necessary when the IDC rate changes, there are carryforward restrictions, and any other special requests.
3. **Once the ShortForm(s) have been created, enter the amount awarded to the subcontractor; see **Step 4-3c.**

### 4-3a) Create ShortForm for a NEW Subcontract

#### 4-3a.1
Click **Add New Subaward** above the *Project Detail* section.

<table>
<thead>
<tr>
<th>Project Detail</th>
<th>Sponsor</th>
<th>Institution</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs</td>
<td>0</td>
<td>0</td>
<td>202,040</td>
</tr>
<tr>
<td>F&amp;A</td>
<td>0</td>
<td>0</td>
<td>202,040</td>
</tr>
<tr>
<td>Total</td>
<td>202,040</td>
<td>0</td>
<td>202,040</td>
</tr>
</tbody>
</table>

#### 4-3a.2
1) Click on the letter of the first word in the Subcontractor/Consultant’s name.
2) Select [Subcontractor/Consultant] from the drop-down list.
3) Click **Select.**

If the Subcontractor/Consultant is not listed:
1) Enter the name into the field under the *Create Subcontractor/Consultant* section.
2) Click **Add New.**
4-3a.3 A form for selecting a PI will appear below the original form. This list is populated with all persons associated with the subcontractor/consultant selected in the previous step.

1) Select the [Principal Investigator] from the drop-down list.
2) Click Select.

If they are not listed:

1) Complete the Add New Subawardee PI form in the section below. (At minimum, provide: First Name, Last Name, Phone, and Email.)
2) Click Add New after entering contact information.
4-3b) Create Additional ShortForm for an Existing Sub

4-3b.1 Click Add New Subcontract/Subaward above the Project Detail section.

<table>
<thead>
<tr>
<th>Project Detail</th>
<th>Sponsor</th>
<th>Institution</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs</td>
<td>302,048</td>
<td>0</td>
<td>302,048</td>
</tr>
<tr>
<td>F&amp;A</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>302,048</td>
<td>0</td>
<td>302,048</td>
</tr>
</tbody>
</table>

4-3b.2 Do not select from the drop-down list named Select from Subawardees/Consortia currently involved with this project.

1) Click the first letter of the subcontractor’s name in the Select Subcontractor/Consultant section on the bottom half of the form.
2) Select the Subcontractor in the drop-down list that has populated with all subcontractors starting with the letter selected in the previous step.
3) Click Select.
A form for selecting a PI will appear below the original form. This list is populated with all persons associated with the subcontractor/consultant selected in the previous step.

1) Select the [Principal Investigator] from the drop-down list.
2) Click Select.

If they are not listed:
1) Complete the Add New Subawardee PI form in the section below. (At minimum, provide: First Name, Last Name, Phone, and Email.)
2) Click Add New after entering contact information.
4-3c) Enter Award Amount for the Subcontractor

Please note:
1) For subcontracts being funded in the initial increment, see 4-3c.1.
2) For subcontracts not being funded in the initial increment, see 4-3c.2.

<table>
<thead>
<tr>
<th>4-3c.1</th>
<th>For subcontracts being funded in the initial increment:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- Enter the Total Costs amount in the Directs field. Do not enter an amount into the F&amp;A for the sub. The F&amp;A for CU is automatically added later.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Subcontract/Subawards</th>
<th>Description</th>
<th>Directs</th>
<th>F&amp;A</th>
</tr>
</thead>
<tbody>
<tr>
<td>182500 - SUBCONTRACT</td>
<td>Directs Subcontract - New PI</td>
<td>$60,000</td>
<td>$0,000</td>
</tr>
<tr>
<td>Grand Total</td>
<td></td>
<td>$60,000</td>
<td>$0,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4-3c.2</th>
<th>For subcontracts not being funded in the initial increment:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- A minimal funding amount (i.e. $1) must be entered in the Directs field. (F&amp;A remains $0.)</td>
</tr>
<tr>
<td></td>
<td>- In the subsequent increment that does contain funding for the sub, subtract the minimally funded amount (i.e. $1) from the amount entered in the Directs field.</td>
</tr>
<tr>
<td></td>
<td><strong>For example</strong>, Johns Hopkins is a subcontract on an award, but it is not funded until the second increment:</td>
</tr>
<tr>
<td></td>
<td>• In mod 1, a ShortForm is created for the Johns Hopkins subcontract. The minimal funding amount of $1 is entered into the Directs field.</td>
</tr>
<tr>
<td></td>
<td>• The next mod is generated six months later, which provides $25,000 to this sub. <strong>So in mod 2, $24,999 is entered into the Directs field.</strong></td>
</tr>
</tbody>
</table>
4-4) Enter Direct Costs [Total Costs – Subs (if any) – Indirect Costs = Direct Costs]

PT> Awards > [Increment] > Detail

4-4.1 Calculate the direct costs by deducting the total allocated amount for the subcontract(s) from the total direct costs of the award.

In this field we initially had $13,000 and we changed it to $10,000 to account for the $3000 we are allocating to the subs.

Here are the $3,000 as they are allocated to each subs.
Scroll down to the **New Budget Items** section.

1. From **Sponsor Budget Category**, select Direct Costs.
2. From **Budget/Charge Category**, select the empty line. *(This field autofills with the first item in the list, but should be left blank.)*
3. Enter Direct Costs amount in the **Amount** field. *(Total Costs – Subs [if any] – Indirect Costs)*
4. Click **Add**.

![New Budget Items section of the form](image)

**Project Detail**

- **Direct Costs**: 483,034
- **F&A**: 0
- **Total**: 483,034

**Add new Subaward**

- **Expenditures**:
  - **Direct**: 483,034, **F&A**: 0, **Total**: 483,034

**New Budget Items**

- **Sponsor Budget Category**: Direct Costs
- **Budget/Charge Category**: Direct Costs
- **Description**: Direct Costs
- **Amount**: 0
- **Add**
Previously, adding an entry for the *unfunded amount* would go here; however, skip this step for now. The only budget item should be the Direct Costs associated with this action/increment.
4-5) Enter F&A

PT> Awards > [Increment] > F&A

4-5.1 Enter the Base first.
- The Base is indicated on the Summary Budget under IDC Rate Type (~line1411).
  - If not, see Section H: Indirect Costs of the OCG Budget – this is another tab within the FIN Budget workbook.

4-5.2 Enter the Rate next.
- The Rate is indicated on the Summary Budget under IDC Rate Type (~line1411).
  - If not, see Section H: Indirect Costs of the OCG Budget – this is another tab within the FIN Budget workbook.

If prompted to recalculate, select OK and continue.

4-5.3 Manually enter the correct F&A Amount directly in the F&A Amount field along the top of the form. (Round to the nearest dollar.)

4-5.4 Click Save and return to Award Increment > Detail.
4-5.5 Review the **Total** (Direct Costs + F&A). The amount should equal the **Total Funded with Recharge Amount** on the **Summary Budget**.

<table>
<thead>
<tr>
<th>Project Detail</th>
<th>Sponsor</th>
<th>Institution</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs</td>
<td>21,277</td>
<td>0</td>
<td>21,277</td>
</tr>
<tr>
<td>F&amp;A</td>
<td>3,723</td>
<td>0</td>
<td>3,723</td>
</tr>
<tr>
<td>Total</td>
<td>25,000</td>
<td>0</td>
<td>25,000</td>
</tr>
</tbody>
</table>

**Note:**
- The amount should equal the **Total Funded with Recharge Amount** on the **Summary Budget**.
5) Run the Validation Report

5-1 Log into myCUinfo at http://mycuinfo.colorado.edu.

5-2 Under the Reporting & Compliance tab, select Public Folders.
5-3 Open eRA > CU Boulder > Live Reports. Run the **InfoEd Validation 9.2**.

5-4 Enter the Proposal/Award Number in field 1 and select the Mod # in field 2. Click **Finish** at the bottom of the page to run the report.

For any **Failed** items, reference the **Data Validation Errors & Actions List** at the end of this document.
6) Resolve the Action Item

**NOTE:** If you do not have Action Items, go to Step 6-2 instead.

<table>
<thead>
<tr>
<th>6-1</th>
<th>From the eRA dashboard (right hand side), open <strong>My Action Items</strong>.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1) On the InfoEd home screen, on the right side of the screen,</td>
</tr>
<tr>
<td></td>
<td>select my My Action Items (1), and a sub menu will open.</td>
</tr>
<tr>
<td></td>
<td><img src="image1" alt="My Action Items" /></td>
</tr>
<tr>
<td></td>
<td>2) Click on the link Open, to view open actions items (2).</td>
</tr>
<tr>
<td><img src="image2" alt="Open" /></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6-2</th>
<th>Open the Action Item:</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image3" alt="Folder" /></td>
<td>1) Move the cursor over the yellow folder until it turns into a hand, and the Open dialog box opens (1).</td>
</tr>
<tr>
<td><img src="image4" alt="Form" /></td>
<td>2) Click on folder, and task/assignment form opens in new window.</td>
</tr>
</tbody>
</table>
Complete Task/Assignment workflow form:

1) Add a **Comment** for the Officer that will be reviewing the Award, if necessary.
2) Select appropriate workflow step (WF_Award Processed Forward for Review) from **Next Step/Decision** dropdown list (1).
3) Select appropriate personnel from **Assign to** dropdown list (2).
4) Click **I am done working with this Assignment** button (3).
7) Update OCGACT Inbox

1) Upload _FINBudget to InfoEd with the tag: Award#_Mod##_FINBudget.
   - **Category**: Budget
   - **Folder**: Award

2) Update the spreadsheet.

3) In the ocgact@colorado.edu email, IIT member clicks on the red flag, changing it to a green check mark.

4) **Reply** to the email, sending to the Post-Award Officer (PO) with subject line:
   - “Input Complete”, ACCOUNT CODE BUDGET, Proposal Number, PI Name, RUSH (if applicable)

5) Archive the email by drag-and-dropping it into the Completed Items subfolder under ocgact@colorado.edu.
## Appendix A: Account Codes (not applicable at this time)

<table>
<thead>
<tr>
<th>Description</th>
<th>Budget Category</th>
<th>Budget/Charge Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Support</td>
<td>Student Support</td>
<td>422413 - RESIDENT TUITION REMISSION</td>
</tr>
<tr>
<td></td>
<td></td>
<td>770000 - STUDENT AID BGT</td>
</tr>
<tr>
<td>Computer Automated Data Process</td>
<td>Computer Automated Data Processing Services</td>
<td>492500 - TELECOMMUNICATIONS GEN BUDGET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>502601 - COMPUTING SERVICES</td>
</tr>
<tr>
<td>Consultant Services</td>
<td>Consultant Services</td>
<td>552606 - CONSULTANTS</td>
</tr>
<tr>
<td>Contract Costs</td>
<td>Contract Costs</td>
<td>552605 - OTHER OPERATING CONTRACT SERVICES</td>
</tr>
<tr>
<td>General &amp; Administrative</td>
<td>General &amp; Administrative</td>
<td>$50100 - IDC for Research-On Camp</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$50100 - IDC for Research-On Camp</td>
</tr>
<tr>
<td>Human Subject Costs</td>
<td>Human Subject Costs</td>
<td>552621 - SUBJECT COSTS (NOT PARTICIPANT COSTS)</td>
</tr>
<tr>
<td>Other Costs</td>
<td>Other Costs</td>
<td>406000 - OP EXP BGT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>460000 - OP EXP BGT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>465000 - POSTAL COSTS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>485100 - OVERNIGHT/EXPRESS SERVICE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>503119 - QOR SERVICES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>553000 - CONFERENCE REGISTRATION FEES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>965400 - PROGRAM ENHANCEMENT (HHS)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>960900 - BUDGET ADJUSTMENT</td>
</tr>
<tr>
<td>Participant Other</td>
<td>Participant Other</td>
<td>495300 - PARTICIPANT COSTS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>499200 - PARTICIPANT COSTS</td>
</tr>
<tr>
<td>Participant Travel</td>
<td>Participant Travel</td>
<td>700001 - PARTICIPANT TRAVEL</td>
</tr>
<tr>
<td></td>
<td></td>
<td>700001 - PARTICIPANT TRAVEL</td>
</tr>
<tr>
<td>Publication Costs</td>
<td>Publication Costs</td>
<td>497500 - PRJ/PUB/REPRO SUPPLIES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>497500 - PRJ/PUB/REPRO SUPPLIES</td>
</tr>
<tr>
<td>Purchased Equipment</td>
<td>Purchased Equipment</td>
<td>810000 - FIXED ASSETS BGT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>810000 - FIXED ASSETS BGT</td>
</tr>
<tr>
<td>Stipends</td>
<td>Stipends</td>
<td>408640 - PODOCFELT STIPENDS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>408640 - PODOCFELT STIPENDS</td>
</tr>
<tr>
<td>Supplies</td>
<td>Supplies</td>
<td>500100 - IT SUPPLIES</td>
</tr>
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<td></td>
<td></td>
<td>500100 - IT SUPPLIES</td>
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<tr>
<td></td>
<td></td>
<td>500800 - COMPUTERS (BUNDLED &lt; $5000)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>501300 - SOFTWARE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>520100 - LAB &amp; TECH SHOP SUPPLY/SERVICE</td>
</tr>
<tr>
<td>Travel-Domestic</td>
<td>Travel-Domestic</td>
<td>700000 - TRAVEL GEN BGT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>700000 - TRAVEL GEN BGT</td>
</tr>
<tr>
<td>Travel-Foreign</td>
<td>Travel-Foreign</td>
<td>700300 - INTERNATIONAL</td>
</tr>
<tr>
<td></td>
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<td>700300 - INTERNATIONAL</td>
</tr>
<tr>
<td>Description</td>
<td>Budget Category</td>
<td>Budget/Change Category</td>
</tr>
<tr>
<td>-------------</td>
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</tr>
<tr>
<td>Total Costs (Converted Records)</td>
<td>Total Costs (Converted Records)</td>
<td>Direct Costs</td>
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<td>select Budget Category</td>
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</tbody>
</table>

Automatic Budget Transaction

<table>
<thead>
<tr>
<th>Description</th>
<th>Budget Category</th>
<th>Budget/Change Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>select Budget Category</td>
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<td>select Budget Category</td>
<td>select Budget Category</td>
<td>select Budget Category</td>
</tr>
</tbody>
</table>

490300 - PARTICIPANT COSTS
500100 - IT SUPPLIES
500601 - COMPUTING SERVICES
505800 - SOFTWARE
520100 - LAB & TECH SHOP SUPPLY/SERVICE
531100 - JILA SHOP CHARGES LABOR
530119 - QPD Services
532500 - FIELD RESEARCH GENERAL BUDGET
537500 - EQUIPMENT < $5000
552500 - OTHER OPERATING CNTRCT SERVICES
552605 - CONSULTANTS
552621 - SUBJECT COSTS (NOT PARTICIPANT COSTS)
553000 - CONFERENCE REGISTRATION FEES
570000 - TRAVEL GEN BGT
570001 - PARTICIPANT TRAVEL
570500 - EMPLOYEE OUT-OF-STATE TRAVEL
570600 - INTERNATIONAL
570900 - STUDENT AID BGT

490100 - IDC for Research On-Camp
940400 - PROGRAM ENHANCEMENT (HHS)
960500 - BUDGET ADJUSTMENT
## Appendix B: Data Validation Errors and Actions List

### Original Go-Live Validations

<table>
<thead>
<tr>
<th>ERROR MESSAGE (MEANING)</th>
<th>ACTION</th>
<th>DATA LOCATION</th>
</tr>
</thead>
</table>
| start_date is null  
(A start date is missing someplace)                                                                                           | Check Start Date has been entered.                                                                                                        | PT Awards: “Start Date”  
PT Awards > [increment] > Detail: “Start Date”                                                                                       |
| end_date is null  
(An end date is missing someplace)                                                                                               | Check End Date has been entered.                                                                                                           | PT Awards: “End Date”  
PT Awards > [increment] > Detail: “End Date”                                                                                           |
| instrument type is null  
(Identify the award as a grant, contract, subagreement, etc.)                                                                              | Choose correct award type from drop-down menu under Instr Type.                                                                            | PT Submissions > [PT Record] > Sponsor: “Instr Type”                                                                                   |
| program type is null  
(Identify the award as research, public service, instruction, etc.)                                                                             | Choose correct award type from drop-down menu under Program Type.                                                                          | PT Submissions > [PT Record] > Sponsor: “Program Type”                                                                                   |
| proj title is null  
(Project Title is missing)                                                                                                            | Enter title under Project Title.                                                                                                            | PT Submissions > [PT Record] > Summary: “Project Title” (mid-page)                                                                     |
| payment method is null  
(Payment Method (e.g. Letter of Credit or Invoice) is missing)                                                                                | Choose correct Payment Method from drop-down menu.  
*Exception: For At-Risk projects, since payment methods are not yet known, make note “Other Award Details > Award Comments” and forward to Project Set-Up. | PT Awards: “Payment Method” (mid-page)                                                                                                    |
| award number is null  
(Award Number is missing)                                                                                                          | Enter award number into box labeled Award No.  
*Exception: For At-Risk projects, since award numbers are not yet known, make note “Other Award Details > Award Comments” and forward to Project Set-Up. | PT Submissions > [PT Record] > Sponsor: “Award No.”                                                                                       |
| campus on off is null                                                                                                                        | Identify if work will be done on- or off-campus and check “on” or “off” under Campus.                                                     | PT Submissions > [PT Record] > Summary: “Campus On/Off” (checkbox)                                                                     |
| orig spon is null func src is populated  
(Prime Sponsor not identified, but Funding Source is populated)                                                                                  | 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 | PT Submissions > [PT Record] > Sponsor: various fields                                                                                   |
| orig spon is populated func src is null  
(Prime Sponsor is identified, but Funding Source is not)                                                                                   | 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. | PT Submissions > [PT Record] > Sponsor: various fields                                                                                   |
| ff and cfda is null  
(CFDA Number is missing)                                                                                                           | Enter CFDA number when the Sponsor Type and/or Originating Sponsor is Federal.                                                            | PT Submissions > [PT Record] > Sponsor: “CFDA”                                                                                           |
<table>
<thead>
<tr>
<th><strong>ERROR MESSAGE (MEANING)</strong></th>
<th><strong>ACTION</strong></th>
<th><strong>DATA LOCATION</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>A period other than period 1, has data. Only period 1 should have data.</td>
<td>Check if there are award additional award periods beyond year 1. Only Year/Period 1 should have data.</td>
<td>PT Awards: “Year/Period”</td>
</tr>
<tr>
<td>Team: Contract team or Grant team has not been selected.</td>
<td>Check that Team has been selected.</td>
<td>PT Awards: “Other Award Details - Team”</td>
</tr>
<tr>
<td>Total Anticipated has not been entered.</td>
<td>Check that Total Anticipated has been entered.</td>
<td>PT Awards &gt; “Other Award Details - Total Anticipated”</td>
</tr>
<tr>
<td><strong>Warning</strong>: The requested additional activities for the selected increment are greater than 15.</td>
<td>Check that additional activities requested field does not contain more than 15 characters.</td>
<td>PT Awards &gt; “Other Award Details - Additional Activities Requested”</td>
</tr>
<tr>
<td>The PT Award Increment Type on the selected increment has not been entered.</td>
<td>Check that the PT award increment type has been selected (is not blank).</td>
<td>PT Awards &gt; Increment &gt; Detail: “Type”</td>
</tr>
<tr>
<td>The Awarded date has not been entered for the selected increment.</td>
<td>Check that date awarded has been completed.</td>
<td>PT Awards &gt; Increment &gt; Detail: “Awarded”</td>
</tr>
<tr>
<td>Mod Number on the selected increment has not been entered.</td>
<td>Check that Mod # has been entered in “Award No.” field.</td>
<td>PT Awards &gt; Increment &gt; Detail: “Award No.”</td>
</tr>
<tr>
<td>One or more of the Budget Rows for mods does not have the fringe type selected.</td>
<td>Check that base fringe is selected for any rows that have data for the most recent increment or the mod selected in the prompt.</td>
<td>PT Awards &gt; Increment &gt; Detail</td>
</tr>
<tr>
<td>The selected award increment is missing an object code for one of more budget categories.</td>
<td>Check that all budget rows contain a selection.</td>
<td>PT Awards &gt; Increment &gt; Detail</td>
</tr>
<tr>
<td><strong>Warning</strong>: The selected increment has Student Fac as a salary type. This usually requires Tuition Remission, but object code 422413 has not been selected for this increment.</td>
<td>Check that account code 422413 has been entered.</td>
<td>PT Awards &gt; Increment &gt; Detail</td>
</tr>
<tr>
<td><strong>Warning</strong>: The cumulative value for the unfunded object code 960500 is negative.</td>
<td>Check 960500 amounts across all increments.</td>
<td>PT Awards &gt; Increment &gt; Detail</td>
</tr>
<tr>
<td>The Base Type for mod n has not been selected and/or The Master Rate for mod n is empty</td>
<td>Check that there is a Base and Master Rate for the most recent increment or the Mod selected in the prompt.</td>
<td>PT Awards &gt; Increment &gt; F&amp;A: “Master Rate” or “Base”</td>
</tr>
<tr>
<td><strong>Warning</strong>: The Base type for F&amp;A is inconsistent and/or The Rate Scheme is inconsistent.</td>
<td>Check that F&amp;A rate and type are consistent across all increments.</td>
<td>PT Awards &gt; F&amp;A</td>
</tr>
<tr>
<td>The selected sponsor does not exist in PeopleSoft.</td>
<td>Submit a ticket to <a href="mailto:erahelp@colorado.edu">erahelp@colorado.edu</a>. <em>(Our team will work with SPA to ensure the sponsors match in both systems.)</em></td>
<td>PT &gt; Sponsor People Soft &gt; Roles &gt; Grants Management Sponsor (checkbox)</td>
</tr>
<tr>
<td>The selected PI is either not eligible, or not in PeopleSoft.</td>
<td>Send the proposal on to SPA by setting status to <em>WF_Project Setup Complete</em> on AT Award Increment</td>
<td>People Soft &gt; Professional Data (section) &gt; Eligible PI (checkbox)</td>
</tr>
<tr>
<td>ERROR MESSAGE (MEANING)</td>
<td>ACTION</td>
<td>DATA LOCATION</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>There are is either no selected Department Administrator or there are multiple people who have this role.</td>
<td>Check that there is one and only one Department Administrator.</td>
<td>PT &gt; Admin Staff &gt; Role (Department Administrator)</td>
</tr>
<tr>
<td>The AT Award Increment Type on the selected increment has not been entered.</td>
<td>Check that the AT award increment type has been selected.</td>
<td>AT &gt; Increment: “Award Type”</td>
</tr>
<tr>
<td>The PT Award Increment Type and the AT Award Increment Type do not match.</td>
<td>Check that the PT Award increment type and the AT Award increment type are the same.</td>
<td>PT Awards &gt; Increment &gt; Detail: “Type”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AT &gt; Increment: “Award Type”</td>
</tr>
</tbody>
</table>