GA PROCESS – NEW Awarded Proposals

Much of the information for the award will flow from the proposal if it was created in EGMS. Some information will come from the PRF interface. Files will copy the V-version proposal into an A-version. The GA will verify, update, or add information on the A-version of the Proposal.

Notes on Negotiate Award
Throughout the process, the GA should update the Negotiate Award statuses to document the progress being made. Navigation: Grants > Awards > Negotiate Award. Search for and select the Proposal record being worked on.

In order for the track reports to calculate the total days in SPA, when the GA receives a Preaward/Advance, a new Awarded Proposal, or a Modification from Central Files, it will have a Negotiation Type of 2PreAdvC Other Note, 3AwdE Other Award Note, or 4ModG Other Modification Note with a Negotiation Status of Working Negotiation. This Negotiation Type should remain in Working Negotiation Status until the entire process is complete. Central Files will change the Status to Completed.

The GA will select appropriate Negotiation Types during the processing of any award or modification. Several Negotiation Types can be active at the same time. While an issue is being worked on, the Negotiate Status should be Working Negotiation. When an issue has been resolved, the Status should be updated to Completed Negotiation.

Notes on phone conversations, emails sent, other negotiations can be kept here. The information stored here is public and can be viewed by the PIs and Departments. The information will also print on the SPA Tracking Reports.

GENERAL NOTES
Please refer to the Managing Award Set Up Desk Procedures for more detailed information related to the process.

Information can be saved at any time and should be saved before leaving the page to go to another page, hyperlink, or tab.

For the following information, screen shots are shown below the narrative information for each tab.

PROPOSAL TAB
Navigation: Grants > Proposals > Maintain Proposal

1. GA changes Proposal Status to 4AwdC Award in Progress when the award package is received from Files.

2. GA verifies, updates or adds:
   a. Description field in the Header (short title of the award. This will default to the first 20 characters of the Title if nothing is entered)
   b. Title field (official title of award – limited to 56 characters)
   c. Description hyperlink (entire title of award if it doesn’t fit in the Title field)
d. **PI ID**
e. **Sponsor ID** – This field must be correct as it CANNOT be changed after Award Generation. For funding agencies with different institutes (such as NIH and USDE) the appropriate institute must be identified here.
f. **Purpose** (research, public service, training, etc.) – Select correct value from dropdown
g. **Proposal Type** (new, renewal, continuation, supplement, etc.)
h. **CFDA** – Enter the CFDA # identified on federal grants and on subawards under federal grants. For federal contracts and subcontracts use the codes provided by Mark Rova in SFR (Oct 2007 email). Enter 98.000 if the funding is non-federal.
i. **Facilities & Admin Requested** box should be checked if F&A is awarded. Box should not be checked if F&A is not awarded.
j. **Budget Periods Start and End Dates** – should be updated to match the awarded dates.
k. **Number of budget periods** (can add or delete as needed by using the + and – signs). If a budget period is added, budget amounts will need to be entered under the Budgets tab.
l. **Additional Information** hyperlink – if the award is a subaward/subcontract identify the prime funding agency. (See next page for screen shot)
In the Additional Information hyperlink, the GA should verify that the PRF # is identified in the detailed information icon and that any previous proposal versions are listed as Related Proposals.

Although there are many items available in the dropdown, the GA only needs to use the Flow Through item for new Awards. If the Award is a subaward or subcontract, Flow Through must be selected and the prime funding agency must be identified in the details icon.

- **Flow Through** – will be used to designate the prime sponsor (the prime award # will need to be entered in the Award Set Up e-Tool. Any higher tier sponsors and award numbers, if known, can be identified in the Comments section.

- **PRF Number** – PRF # for the proposal related to this award. This was entered during the proposal process.

![Image of Additional Information section with annotations]

- Verify that the PRF # shows up in the detailed icon
- Previous versions of the funded proposal can be listed here.
- The prime sponsor must be listed here if this is a subaward or subcontract. The prime award # will need to be entered into the eTool. Any higher tier sponsors or additional information may be listed in the Comments. It will not print on the NOGA.
PROJECTS TAB

3. GA verifies, updates, or adds the following information for EACH PROJECT in the award:
   a. Title for Project, if different than Award Title. Only the first 30 characters will flow over into the Award module.
   b. Primary Project Box is checked on the correct Project
   c. DeptID should be DeptID of where the Project is managed – can have different DeptIDs for different Projects under the same award
   d. Subdivision – should default based on DeptID, but can be corrected if it doesn’t
   e. Institution – will always be University of Minnesota
   f. Dept Contact – SPA Grant Administrator assigned to the Primary Project
   g. Department listed under F&A Distribution section – Identify which Department(s) should get the F&A revenue for each Project. The department will need to provide the appropriate % split to the GA for entry. This may be listed on the PRF or the department may submit the information on the Establishing or Modifying F&A Allocations form located under Forms & Tools on the EFS-SP website.

4. If additional Projects are needed, the GA will add them on the Projects Tab
   a. Click the + sign in the upper right corner of any of the existing Projects. The Project ID for the new Project will show NEXT_1 at first. When the page is saved, the new Project number will be assigned.
   b. Complete the fields noted in Step 3 above for the new Project(s). New Project(s) should NOT have the ‘Primary’ box checked
5. Before entering the budget information, click on the F&A and Pricing Set up hyperlink to set up the F&A and basic billing information. This will need to be done for each Project prior to budget entry.

6. For each Project, the GA will verify, update or add the following information:
   a. **Institution Minus Funded** = checked
   b. **Pricing Method**
      Select ‘As Incurs’ if invoicing is based on actual expenses.
      Select ‘Fixed’ if invoicing is NOT based on actual expenses.
      NOTE: The selection is based on the invoicing requirements. If we receive equal quarterly payments, even if funds revert at the end, the Pricing Method should be Fixed.
   c. **Product**
      Select ‘Rate Based’ if Pricing Method is As Incurs (it should be the only choice)
      Select ‘Amount Based’ if Pricing Method is Fixed (it should be the only choice)
   d. **Rate Type** – Select appropriate Rate from lookup.
   e. **Institution F&A Base** = MTDC
   f. **Budget F&A Base** – Select appropriate value from lookup. If a new F&A Base will be needed contact Holly Schuveiller in the F&A group.
   g. **Budget Rates / Effective Date** – will default in. Can update it as necessary
   h. **Budget Rates / F&A Rate %** - This is the funded rate. Information will default in, but it should be updated if necessary.

7. Click OK when finished to go back to the Budgets screen to select and update the next Project. When the F&A and Pricing Setup information has been entered for all projects, the budgets can be entered.
8. On the Budgets Tab, click on the number hyperlink of the desired Budget Period.

[Image of the Budgets Tab with highlighted text]

This information must be correct as it is used to establish the Contract and billing information.

This section shows the funded F&A Base and Rate for the Project.

[Image of the F & A and Pricing Setup section]
9. If the budget was created in EGMS, the categories and amounts should default in based on the proposal. The GA will need to make any necessary adjustments between the proposed and awarded amounts. If the budget was not done in EGMS, the GA will need to add the budget lines and enter the information.

a. Budget Item – Select from lookup. The Description field will populate based on the item chosen.
b. Total Direct amount – Include the amount the sponsor is providing AND any cost share amount associated with the budget item.
c. Cost Share hyperlink on individual budget lines – opens a page where the cost share % or amount can be specified for the budget line.
d. Mandatory Cost Share box after Cost Share hyperlink – Check the box if the cost share on this line is mandatory.
e. The Overall Cost Share hyperlink in the upper right – To be used if the cost share will be applied equally to all budget rows on a Project.

NOTE: Do not enter a line for F&A. The system will calculate the F&A amount based on the information entered on the F&A and Pricing Setup screen when the page is saved.
Cost Share on individual budget item(s)

10. If the cost share is tied to specific budget items or if the cost share % is different for every budget line, the Cost Share hyperlink on the specific budget line must be used.
   a. Cost Share Percent or Cost Share Direct – Enter either the % or the direct $ amount for the cost share. The system will calculate the value for the one not entered.
   b. DeptID – Enter the DeptID of the unit(s) providing the cost share
   c. C/S Pct or C/S Direct - Enter the % or direct $ amount that each DeptID is providing. The system will calculate the value not entered.

<table>
<thead>
<tr>
<th>Cost Share</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Budget Line Number for cost share amount</strong></td>
</tr>
<tr>
<td>Total Direct: 6,000.00</td>
</tr>
<tr>
<td>Sponsor Direct: 1,000.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cost Sharing Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Budget category for cost share amount</strong></td>
</tr>
<tr>
<td>DeptID</td>
</tr>
<tr>
<td>DeptID</td>
</tr>
<tr>
<td><strong>Distribution Totals:</strong></td>
</tr>
</tbody>
</table>

Enter DeptIDs that will be providing the cost share
Enter the amount of cost share for the budget line.
Enter the amount of cost share each DeptID will provide. Or GA could enter the % in the C/S Pct field to the left and the amount will calculate.
11. Verify that the cost share appears on the correct Project and Budget Period on the Detailed Budget page.

Overall Cost Share (screen prints on next page)
12. If cost share is to be distributed among all budget categories equally, the Overall Cost Share hyperlink can be used.
   a. Cost Share Percent or Cost Share Direct – Enter either the % or the direct $ amount for the cost share. The system will calculate the value for the one not entered.
   b. DeptID – Enter the DeptID of the unit(s) providing the cost share
   c. C/S Pct or C/S Direct – Enter the % or direct $ amount that each DeptID is providing. The system will calculate the value not entered

F&A will calculate on the cost share amount. It can be removed or adjusted prior to budget finalization if noted in the Award Setup eTool.

50% cost share is shown on the Travel line per the information entered on the Cost Share hyperlink.
13. Verify that the cost share information shows up on the correct Project and Budget Period on the Detailed Budget page.

- Enter the DeptIDs of the units providing the cost share.
- Enter the % to be cost shared on ALL budget categories. Or GA could enter the Amount in the field below and let the system calculate the percent.
- Enter the amount each DeptID will provide as cost share. Or GA could enter the % of cost share for each DeptID in the field to the left and let the amount be calculated by the system.
- Distribution must total 100%.
- Each budget line shows a cost share of 10% of the Direct Cost amount per the information entered on the Overall Cost Share page.
- Budget period for the cost share.
- F&A will calculate on the cost share amount. It can be adjusted or removed prior to budget finalization if noted on the Award SetUp eTool.
14. After the awarded and cost share funding has been entered, click on the Return to Maintain Proposal hyperlink on the bottom left of the page.

15. If there are future years of committed funding, the budget amounts should be entered into the appropriate future budget period(s). If the detailed budget categories and amounts are known, the GA may enter all the details now, using steps 9-17 above. If the GA prefers to wait until the future funding is allotted to enter the detailed budget, or if only an overall committed amount is known, the GA should enter the future direct cost amount in the budget line for SPA Reserve and the future F&A amount in the F&A budget categories so that the information related to the future budget period amounts will print on the NOGA and will be correct in the system if the PI or Department view the future budget period pages.
RESOURCES TAB

16. Identify PI, Co-Is and any agency-named Key Personnel for each Project in an Award. If the sponsor award doesn’t specify Key Personnel, but incorporates the proposal, any individuals identified as Key Personnel in the proposal should be entered as Key.

The PI and Co-Is on the PRF will populate the Resources section of the Primary Project during the PRF interface. The GA should verify that this information is correct, and enter the PI, Co-I, and other Key Personnel (if known) for all Projects under an Award.

a. EmplID – the EmplID of the PI, Co-I or Key Personnel (their name will appear after the EmplID is selected)
b. Role – Select PI, Co-I, or Other.
c. If the Role of ‘Other’ is chosen, the GA should click on the Details icon and enter ‘Key Personnel’ in the Project Role field of the page that appears.

Click View All to see View All Projects under this Award.

If the Role = Other on the Resource Page, enter ‘Key Personnel’ here

If the Role = Other on the Resource Page, enter ‘Key Personnel’ here
CERTIFICATIONS TAB

17. The GA will verify that compliance items have been met or will send notification emails to PI, IRB, IACUC, Department as appropriate. The GA will verify, update, or add the information below. For Awards with multiple Projects, if there is an IRB, IBC, IACUC approval with a protocol title that matches the Award title, only the Certifications for the Primary Project need to be completed. If individual Projects have their own IRB, IACUC and/or IBC approval(s), the Certifications for the individual Project(s) need to be completed. If there are multiple protocols under one Project, each protocol can be identified in the Comments section under the Review and Status tab.

a. **Certification Code** – Type of compliance issue (IBC, animals, humans, etc.)
b. **Certification Date** – Date the GA verified the approval (enter 01/01/1901 if approval is pending)
c. **Indicator** – “Yes” if approvals are in place, “Pending” if approvals are not completed yet. If the approval is pending, the system still requires Certification, Approval and Expiration dates. Enter 1/1/1901 for all three dates. If any of the Indicators are “No” or “NA”, the line can be deleted using the minus (-) sign on the right side of the line.

d. **Approval Date** – Date of appropriate approval (enter 01/01/1901 if approval is pending)
e. **Expiration Date** – Date when the approval expires (enter 01/01/1901 if approval is pending)
f. **Assurance Number** – approved IRB, IACUC, IBC protocol with title matching agency award
g. **Exemption Number** – Enter Exemption category if IRB is exempt (e.g. 4)

- If the approval is pending, enter 1/1/1901 as the Certification Date, Approval Date and Expiration Date.
18. If any approvals are pending or if multiple protocols exist, the GA can enter comments on the Review and Status tab. The Comment will print on the NOGA.

AWARD SET UP TOOL
The GA will complete the Award Set Up Tool for each Award. Information to be provided by the GA includes:
- Agency Award Number and Award Type
- Prime sponsor award number, if any
- Sponsor Contacts information
- Attributes
- Special Comments to be included on the NOGA.
- Terms & Conditions to include in the Award (select from those available in the system)
- Special Terms to be added (award-specific)
- Identify whether Program Income is reportable or nonreportable
- Fund associated with the sponsor funding
- Fund, DeptID, and Program for any cost shared amounts (will need to get this info from the PI/Dept)
- Any changes needed to the budget prior to budget finalization (e.g. remove cost shared F&A)
- All financial invoicing / reporting requirements, including forms, frequency, due date, contacts
- All technical reporting requirements, including frequency, due dates, contacts, forms, etc if known
- Identification of Project Manager
- Function Code
- Type of contract (cost reimbursable vs. fixed price)

Prior to handing the award package to the Award Set Up team, make sure that all Negotiation Types are Closed except for the initial entry by Central Files indicating when the award was received in SPA.

Change the Proposal status to 4AWDF Contract Entry when transfer file to Award Set Up.