GA PROCESS – MODIFICATIONS

The original Award record will be updated for all modifications. For modifications with a proposal, the GA will use the modification proposal for tracking and will update a few key pages in the modification proposal. Most data entry will occur on the original Award record. For modifications without a proposal, all tracking and data entry will take place on the original Award record.

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 A101 Version of the Proposal or Award 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 at the end of the process.

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. Negotiate Types with a status of Working Negotiation will print on the track lists.

Notes on phone conversations, emails sent, other negotiations can be kept in the Comments boxes in Negotiate Award. 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 Modifications 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.

FOR MODIFICATIONS WITH A PROPOSAL – START WITH STEPS 1 - 3

FOR MODIFICATIONS WITHOUT A PROPOSAL – BEGIN AT STEP 4

MODIFICATIONS WITH A PROPOSAL
2. Change the Proposal Status to 4AwdC Award in Progress. Continue to use the A101-Version of the modification proposal to track the status until it is handed over to Award Set Up.
3. Verify, update or add:
   a. **Description field in the Header** - short title of the award. This will default to the first 20 characters of the Title field if nothing is entered.
   b. **Title** - 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** – 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. **Budget Express hyperlink** – Enter the budget period awarded direct cost in the Direct-Personnel Cost line and the budget period F&A in the Total FA Budget field. (see next page for screen shot)
   m. **Additional Information hyperlink** – Identify the Previous Award and other applicable information for this modification proposal. (See next page for screen shot)
1. **Budget Express hyperlink** - Enter the awarded direct cost in the Direct-Personnel Cost line. Enter the awarded F&A in the Total FA budget field.

![Budget Express form]

- Enter total direct costs awarded here.
- Enter the awarded F&A amount here.

2. **Additional Information hyperlink** - Enter, update, or verify that:
   i. the PRF # is identified in the detailed information icon
   ii. the Previous Award is listed in the detailed information icon. This is the Award that will be updated based on the modification.
   iii. any prime sponsor is noted and the prime award # is typed in the Comments
   iv. any previous (unfunded) proposal versions are listed as Related Proposals, if applicable. This would apply when a revised proposal was submitted at the sponsor’s request and a new PRF was required.

![Additional Information form]

- All modifications must identify the existing Award. Click on the Detailed Information icon to enter the PS Award # to be updated (see below).

![Detailed Information for Previous Award]

- Enter the existing Award # here.
ALL OTHER UPDATES FOR MODIFICATIONS WILL BE DONE ON THE ORIGINAL AWARD RECORD OR IN THE AWARD SETUP eTOOL
UPDATE THE APPLICABLE INFORMATION ON THE ORIGINAL AWARD RECORD

GRANT ADMINISTRATOR, (update if necessary)
Navigation: Grants > Awards > Award Profile, Grant Administrator hyperlink

If the Grant Administrator assigned to the Award needs to be updated, enter the correct information.

4. From the Award tab click on the Grant Administrator Hyperlink

5. Select the correct Grant Administrator from the lookup for the Contact field.
6. Click OK and you will be brought back to the Award tab.
7. Click Save on the Award tab.
UPDATE F&A INFORMATION (if necessary)
Navigation: Grants > Awards > Project Activity

The F&A will need to be updated for every Project with a change to the F&A rate or base.

8. Search for the Project to be updated (Navigation: Grants > Awards > Project Activity)
9. Open the FA Rates tab.
10. Update the applicable fields (most likely this will be the F&A rate within the Funded Rate box)
    a. click the plus (+) sign within the box.
    b. enter the new F&A rate and the date the new rate is effective. This can be a future date.
    c. click Save.

If the F&A Base you need is not available in the lookup contact Holly Schuveiller in the F&A group.

NOTE: The overall Facilities Admin Rate can be changed ONLY IF there is also a change in the FA Base. If the FA Base remains the same, the original information needs to be deleted (use the minus (-) sign) and the new Facilities Admin Rate information can be entered. This would be applicable if a Project moved from off-campus to on-campus or vice versa.

Repeat steps 8-10 to update the F&A information for additional Projects if necessary.
PROJECT BUDGETS

Navigation: Grants > Awards > Award Profile (if need to add a new budget period first)
OR Navigation: Grants > Awards > Project Budgets (to update budget)

If the Award has multiple Projects, the budget for each Project must be updated in accordance with the modification.

If any new Projects need to be created, the GA will need to provide all the necessary information in the Award Setup eTool.

For converted awards it is possible that you will need to add a budget period before you can update it. Existing awards were converted only through the end date of the most recent budget period.

To add a budget period to an existing award, follow the steps directly below

If a new budget period is NOT needed, skip the section below and go to step 11.

TO ADD BUDGET PERIOD(S) TO PROJECT(S) ON AN EXISTING AWARD

i. Search for and select the Award record (Navigation: Grants > Awards > Award Profile)

ii. Update the End Date (if necessary)

iii. Click on the Funding Tab at the top of the page.

iv. Click the plus (+) sign in the Detail section of the Project(s) to be updated

v. Enter the Start Date and End Date of the Budget Period(s) to be added.

vi. Click Save
UPDATE THE BUDGET FOR THE CORRECT BUDGET PERIOD

Navigation: Grants > Awards > Project Budgets

If a new budget period was not needed (or after the new budget period has been added) the detailed budget information can be entered or updated and finalized.

11. Search for the applicable Project (Navigation: Grants > Awards > Budgets)
12. Select the Budget Period to be updated from the search results.

13. On the Budget Detail page for the Project and Budget Period:
   a. Update any non-finalized budget and cost share rows to match the awarded modification funding, OR
   b. Increase/Decrease any previously finalized budget or cost share rows or add new budget or cost share rows by clicking the plus sign on the last budget line in the Budget Amounts for Period section and entering the necessary information
   c. For funding provided by the sponsor, enter the Fund, DeptID, Activity (1), Analysis Type (BUD), Budget Item, and Amount.
d. For Cost Share budget rows, enter the Fund, DeptID, Program, Activity (1), Analysis Type (CBU), Budget Item, and Amount for each line. Also, be sure to enter CS in the Cost Share box.

14. Click Save

Left side of Budget Detail page

15. If the sponsor budget for the modification involves F&A or if there is cost share, open the Grants Detail tab

16. On the Grants Detail tab
   a. Mark the Facilities and Administration box for any sponsor or cost share F&A budget lines.
   b. Mark the Cost Sharing box for any budget lines involving cost share.

17. Click Save

18. Push the Finalize button on the upper right side of the budget. A message will appear that says the budget finalization has been processed. Click OK in the message box.

19. Select the Process Monitor hyperlink to determine when the budget finalization is complete.
20. Push the Refresh button until the PC_Wrapper process has completed (Run Status = Success, Distribution Status = Posted). Pushing the Refresh button more often than every 15 seconds will actually slow the process down.
21. When the process is complete, select the **Go back to Project Budgets** hyperlink at the bottom left.

When the Run Status = Success and the Distribution status = Posted, the process has finished.

22. Verify on the Budget Detail page that all budget lines are view only and can not be edited. The budget lines have been re-sorted alphabetically. Remember to click the View All link over to the right of the page to see all budget lines.

23. Select the Project Detail tab to verify that all budget lines have a Projects Distribution Status of ‘Distributed’. Remember to click the View All link on the far right to review all budget lines.
24. Select the Commitment Control Detail tab to verify that all budget lines have a Commitment Control Status of ‘Distributed’. Remember to click the View All link on the far right to review all budget lines.

25. If errors occur during the Budget Finalization process, refer to the *Managing Award Set Up Desk Reference Manual, Appendix A – Budget Finalization Errors* for correction.

26. If there are future years of committed funding, the budget amounts can 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 11-17 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.
27. 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.

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)
28. If any approvals are pending or if multiple protocols exist, the GA can enter comments using the Comments hyperlink. The comments will print on the NOGA.
29. Click Save.

If the GA chooses, s/he may enter the information on the following pages into PS directly or provide the information in the eTool for the Award Setup team to enter.

Please note that all information related to any new Projects to be established needs to be entered in the eTool. Also, changes to the Award PI, Project PI and/or Key Personnel, and changes to the end date of an award need to be identified in the eTool.
THE FOLLOWING INFORMATION CAN BE ENTERED BY THE GA DIRECTLY INTO PS OR THE GA CAN PROVIDE THE INFORMATION TO THE AWARD SET UP TEAM.

AWARD PROFILE

30. Any information shown on the Award tab can be updated.
   a. The Reference Award Number should be the most recent award (include the year, amendment or revision number, if any)
   b. If the Award PI has changed, select the new PI from the lookup. You must also go into the Additional Information hyperlink to identify the previous PI. The information must also be included in the eTool so that Award Setup can update the Key Personnel and Project Team.
   c. If the end date has changed, it can be entered on this page. The new end date also needs to be noted in the Award Setup eTool so that the dates get changed in all the appropriate places.

ADDITIONAL INFORMATION HYPERLINK (see next page for screen prints)

If there is a proposal associated with the modification, it needs to be identified in the Additional Information section of the existing Award.

31. From the Award tab, click on the Additional Information hyperlink
   a. Click View All to see the Additional Information sections already set up
   b. If a ‘Related Proposal’ item already exists, go into the Additional Details icon
   c. If the ‘Related Proposal’ item is not already set up, click the plus sign in any of the existing boxes and select ‘Related Proposal’ from the Type dropdown. Click on the Additional Details icon when it appears.
   d. Enter the Business Unit (UMSPR), Related Proposal ID and Version (A101).
e. If there is already a Proposal identified, click the plus (+) sign to add another box and enter the new Proposal information. Do no delete the previous information.

f. Click OK to accept the entry and go back to the Additional Information page

g. Click the Return to Award Profile hyperlink to go back to the Award tab.

h. Click Save on the Award tab

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**NOTEPAD HYPERLINK** (see next page for screen print)

**Navigation:** Grants > Awards > Award Profile, Notepad hyperlink

This section can be used to identify information applicable to the entire award, including terms that did not fit under the Terms section.

32. From the Award tab, click on the **Notepad hyperlink** on the bottom of the page

33. Enter any new Notes to be associated with the Award. Do not delete the first system-generated entry.
   a. Description (150 character limit)
   b. Comments (254 character limit)

Either the Description field or the Comment box or both can be used for each entry. Add as many Notepad entries as needed by using the plus (+) sign at the top right of any previous entry.
MODIFICATIONS HYPERLINK

Navigation: Grants > Awards > Award Profile, Modifications hyperlink

This section is used to identify and describe any modification to an Award.

34. From the Award tab, click on the Award Modifications hyperlink on the bottom right of the page.

35. On the Award Modification page, click on the Period Detail icon at the right end of the appropriate budget period line. This would be period 1 for a change to the first year or if the sponsor considers the budget and project periods as the same. Do not enter anything under Issue Date on this page as it will then show up on the NOGA for each individual modification during the budget period.
36. Click the plus (+) sign on the far right of the line to add a new line for the modification, if needed.
37. Enter Information in the following fields:
   a. **Modification Type** – select from the dropdown
   b. **Reference Award Number** – enter award number including year, amendment 3, etc.
   c. **Issue Date** – enter the date the award was issued (or fully signed if it’s bilateral)
   d. **Amount** – enter any increased or decreased funding amount associated with the modification.
   e. **Comments** – enter any comments related to the modification. Also, any other text or information that does not fit in other places in the system, can be put here. It will print on the NOGA in the Award History section under this specific modification.

Left side of Award Modification for Period 2

<table>
<thead>
<tr>
<th>Period</th>
<th>2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Award Modifications</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Sequence</strong></td>
<td><strong>Modification Type</strong></td>
</tr>
<tr>
<td>1</td>
<td>Continuation</td>
</tr>
<tr>
<td>2</td>
<td>Supplement</td>
</tr>
</tbody>
</table>

**Total Period Amount:** 274,452.03

Right side of Award Mod for Period 2

Click on the plus (+) sign to add more modifications to this budget period.

**TERMS TAB**

**Navigation:** Grants > Awards > Award Profile, Terms tab

38. Review terms and add or delete as needed using the plus (+) or minus (-) signs.
   a. **Terms and Conditions** – Use the lookup to find and select the Terms to be added. If you know the 5 character Guideline ID (e.g. APV01, UMN04, TRV02) you can just enter it rather than searching for it.
   b. **Award Specific Terms** (not terms already established and available for selection) can be added by choosing one of the 95-99 values (eg APV95, RBD97) and typing the text in the Explanation field (150 character limit).
   c. **Explanation** (150 character limit) – A selected Term can be further defined using the Explanation field.
NOTE: There must be a Program Income Term specifying whether any Program Income is reportable (PIN03) or nonreportable (PIN06).

MILESTONES TAB
Navigation: Grants > Awards > Award Profile, Milestones tab

This section is used to identify any reports or deliverables that are non-financial in nature. The financial reports are part of the Contracts Module.

39. Enter any Milestone Types, Milestone Codes and any Comments, including reporting frequency, due dates, forms, contacts, etc. The choices available for Milestone Code are dependent upon the value selected for Milestone Type.

If the specific reports needed are not available for selection under Milestone Type and Milestone Code, enter the information in the Comments box and/or the Contact ID hyperlink.

NOTE: The Comments field is limited to 254 characters. Any information that exceeds this limit will be entered into the Comments Box under the Contact ID hyperlink as this box allows unlimited text.
AWARD SETUP eTOOL –
Please identify and update the existing Award record, not the Modification Proposal

The GA will enter any information not directly entered into PS into the Award Set Up eTool for each Modification.

Please note that all information related to any new Projects to be established needs to be entered in the eTool. Also, changes to the Award PI, Project PI and/or Key Personnel, and changes to the end date of an award need to be identified in the eTool. All other information can be either directly entered in PS by the GA or entered into the eTool for Award Setup to transfer into PS.

Information to be provided by the GA (if not entered in PS) includes any new information or changes to:
- Agency Award Number and Award Type
- Prime sponsor award number, if any
- Change in PI (include new and previous PI name) – must also enter in eTool so Award Setup changes

Key Personnel and Project Team
- Adjustments to start and/or end dates (must be entered in the eTool)
- Related Proposal (the proposal associated with the Modification)
- Sponsor Contacts information (can be entered in Sponsor hyperlink or Notepad hyperlink)
- Attributes (FDP, SNAP, Modular, Expanded Authorities, etc.)
- Special Comments to be included on the NOGA.
- Modification Type
- Modification award number (include amendment 1, P00004, -03S1, etc.)
- Modification issue date
- Modification amount
- Additional description and/or restrictions related to the Modification
- Terms & Conditions to include in the Award (select from those available in the system)
- Special Terms to be added (award-specific terms)
- Whether Program Income is reportable or nonreportable
- All technical reporting requirements, including frequency, due dates, contacts, forms, etc if known
- Identification of Project Manager
- Changes in Key Personnel
- Function Code
- Type of contract (cost reimbursable vs. fixed price)
- New Projects to be established (all information must be entered in the eTool)

  Project Title
  Dates of performance (including separate budget periods, if any)
  Project PI
  DeptID
  F&A sharing (DeptIDs, and %s)
  Detailed Budgets* for sponsored funding (include fund, DeptID, and amounts)
  Detailed Budgets* for cost share funding (include fund, DeptID, Program, and amounts)
  F&A information - Type (research, other, off-campus, etc.), Rate and Base
  Certifications
  Key Personnel (in addition to Project PI)
  Function code

* Can use the PS-friendly budget and print it out or save it in \users\holding\Award Setup – Submissions instead of entering information in the eTool.

Prior to sending 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 modification was received in SPA.

For Modifications with a proposal, change the Proposal status to 4AWDF Contract Entry when transferring the file to Award Set Up.

For Modifications without a proposal, add a Negotiation Type of 4ModJ Mod Contract Entry to the original Award record