

# Compliance Award Processing User Manual

The purpose of this document is to identify the steps taken by the OCG Compliance Officers in reviewing award documents and entering terms and conditions specific to property and travel in the InfoEd award records. This manual includes the step-by-step instructions for generating the task list from Cognos, accessing the award documents, entering property and travel terms, and completing the task action in the PT module.

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## 1.0 GENERATING THE WORKFLOW TO-DO LIST

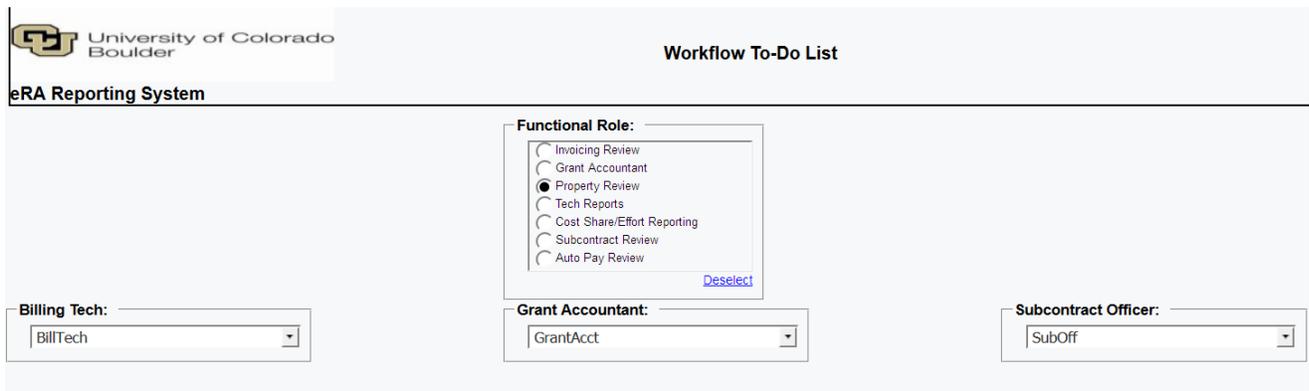
The reviews for property, travel, and reporting requirements are completed by the OCG Compliance team. Every award and modification is reviewed in order to ensure that any changes to the terms and reporting requirement are capture in the InfoEd award record. At the time the OCG Compliance team begins reviewing an award, the terms have been fully negotiated and the SpeedType for the award has been set up in PeopleSoft. The OCG Compliance team is also reviewing the award documents simultaneously with reviews by the OCG Subcontract Officers, Sponsored Projects Accounting Grant Accountants, Billing Technicians, and Cost Share Accountants.

Follow the steps below to generate the Workflow To-Do List for functional roles conducting simultaneous award reviews:

1. Log into Cognos using your Identikey and password.
  - a. Select the eRA folder to open the reports specific to the eRA system.
  - b. Select the CU Boulder folder to open the eRA reports specific to the Boulder campus.
  - c. Select the Live Reports folder.
  - d. Select Boulder Workflow Data to open the task report for the awards that require reviews from OCG Compliance and the SPA accounting teams.



2. To run the report for all awards requiring your review, select your functional role from the list and click “Finish” in the lower left-hand corner of the page to run the report.



3. This report can be exported to Xcel for additional sorting, as needed by selecting the  icon in the upper right-hand corner and selecting one of the “View in Excel format” options.

## 2.0 UNDERSTANDING THE WORKFLOW TO-DO LIST

Below is a description of the data that is visible in the Boulder Workflow Data report. All of the reviewers who generate their task list from Cognos will be reviewing the award terms after they have been fully negotiated with the sponsor and the SpeedType for the award has been set up in PeopleSoft.



### Workflow To-Do List

#### eRA Reporting System

INST_NO	SPON_NAME	LNAME	FNAME	MI	N_TOTYR	AWARDNUM	ACTION	RUSH	UPDATEDDATE
1210.99.2276B	United States - Israel Binational Science Foundation	Hoover	Stewart		20,202	01	Property Review Needed		Jun 1, 2015
1211.04.					308,477				Jun 1, 2015
1211.10.					0				Jun 1, 2015
1211.12.					0				Jun 1, 2015
1212.08.					0				Jun 1, 2015
1212.12.									Jun 1, 2015
1212.12.									Jun 1, 2015
1213.12.									Jun 1, 2015
1213.12.									Jun 1, 2015
1214.02.									Jun 1, 2015
1214.06.									Jun 1, 2015
1214.08.									Jun 1, 2015
1214.12.									Jun 1, 2015
1214.12.									Jun 1, 2015
1214.49.									Jun 1, 2015
1214.50.									Jun 1, 2015
1214.55.									Jun 1, 2015
1214.55.									Jun 1, 2015
1214.75.									Jun 1, 2015
15-02-00									Jun 10, 2015

**INST\_NO:**  
This is the Proposal Number in InfoEd.  
Copy this number into the Proposal Number field in InfoEd to locate the record that needs to be reviewed.

**Proposals - Search For**  
Use \* for wildcard

Property	Value
Proposal number	1210.99.2276B
Sponsor/Scheme	Sponsor Name
PI	Investigator Name

**Results** Showing Page 1 of 1 (1 Propos

Institution Number	Title (PI)	Award Number	Requested Period	Awarded Period
1210.99.2276B	Media Ambivalence in an Age of Cultural and Technological Convergence Hoover, Stewart			
New		2010180	01-Jul-2011 - 30-Jun-2015	01-Oct-2011 - 30-Sep-2015

**N\_TOTYR:**  
This is the total amount entered for the award increment that needs to be reviewed:

Amount
20,202.000
<b>Non Personnel Costs Total</b>

**AWARDNUM:**  
The number in this column corresponds to the award increment that needs to be reviewed.

- 01 / 06-May-2015
  - Detail
  - Subcontracts (0)

**ACTION and UPDATEDDATE:**  
These columns list the action that needs to be complete for an award increment and the date that the award increment was ready to be reviewed for that action.

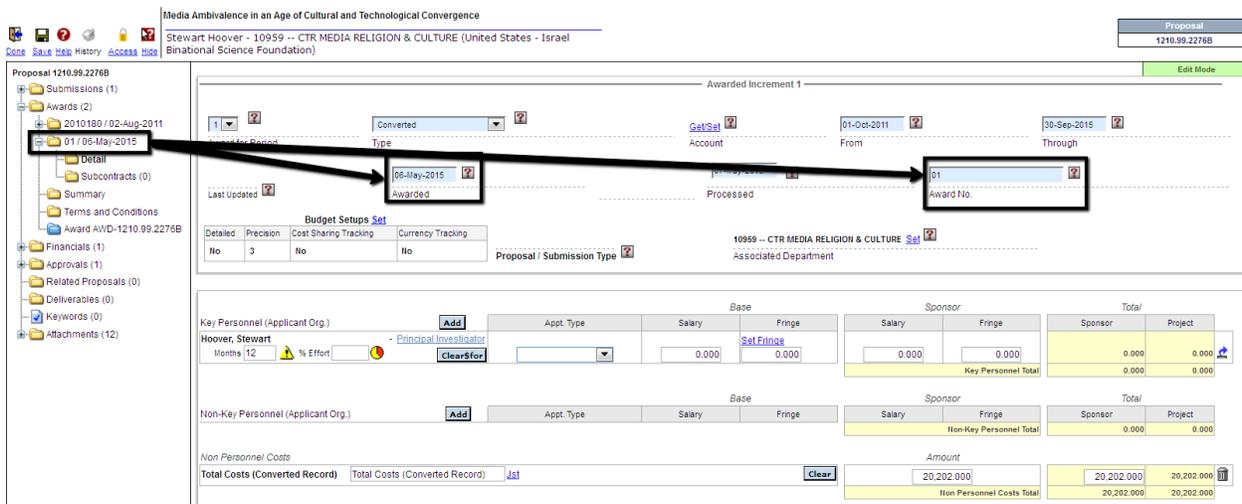
Navigate through the pages on the To-Do List using the arrows at the bottom of the screen

Top Page up Page down Bottom

### 3.0 UNDERSTANDING INCREMENTS AND ATTACHMENTS

When an award needs to be reviewed through the OCG and SPA simultaneous review process, the award documents are already attached and an increment has been created the OCG logging team. The OCG and SPA simultaneous reviewer will compare the information on their Workflow To-Do List with information in the **Awards** folder and documents in the **Attachments** folder. This section of the user manual describes the increments and attachments that are viewed by the OCG and SPA simultaneous reviewers.

1. Open the proposal record listed under the INST\_NO column on the Cognos Workflow To-Do List.
2. Under the **Awards** folder in the left-hand navigation pane, there will be additional subfolders. During the logging process, these subfolders are created for each modification of the award that needs to be reviewed in OCG and SPA. The subfolders are referred to as “increments.” The name of the each increment subfolder visible in the left-hand navigation page is automatically populated from the specific data fields shown below:



- a. The “Award Number” is the modification number for the award.
- b. The “Awarded Date” field is the date that the award increment was received from the sponsor.
- c. The subfolder created for each increment uses the data from these two fields as the name for the subfolder, which is visible in the left-hand navigation pane with the following name:
  - i. xx [read: modification number] / dd-mmm-yyyy [read: date modification was received]
- d. The increment subfolders are also visible in the blue Award Tracking folder. In order to view each increment in the Award Tracking module, from the left-hand navigation pane click the blue **Award** folder listed at the bottom of the yellow **Award** main folder.

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**Award AWD-1112.11.22668**

- Summary
- Award Increments (2)
  - 03-Jul-2013
  - 08-Jun-2015
- Related Proposals (1)
- Related Accounts (2)
- Sub Awards (0)
- Status History
- Communications (0)
- Personnel (1)
- Snapshot

**Summary** - Last Updated on 08-Jun-2015 01:36:40 PM Parent Award: None

Award Number	Award Received Date	Start Date	End Date
AWD-1112.11.22668	03-Jul-2013	15-Jul-2013	14-Jul-2018

Sponsor	Status	CFDA	ID No.
Department of Energy	Converted		

Associated Department: 10714 -- PHYSICS-LIQUID CRYSTAL GROUP

**Funding Sources** Add Funding Source

Primary	Name
<input checked="" type="radio"/>	Department of Energy
<input type="radio"/>	10714 -- PHYSICS-LIQUID CRYSTAL GROUP

**Award Increments**

Award Date	Number	Type	Status	Versions	Amount	Edit
03-Jul-2013		Converted	Converted	1	349,500.00	
08-Jun-2015	2(3)		WF_Award Logged Forward to Grants	1	TBD	

**Account Information**

Number	Sponsor	Status	Open
1550655	Department of Energy	Converted	
1552517	Department of Energy	Converted	

**Proposal Information**

Number	Sponsor	Title	Status	Open
1112.11.22668	Department of Energy	Nanostructured Colloidal Self-assembly and Controlled Alignment of Anisotropic Nanoparticles	Submitted	

In the Award Tracking module, the award increment folders are listed in ascending order with the oldest increment as the top folder and the newest increment at the bottom.

- Go back to the Proposal Tracking module to open the award documents in the **Attachments** folder. Attachments can be accessed in multiple places in InfoEd.

See example screen shots below:

**Proposal 15-05-0021** Edit Mode

- Submissions (1)
  - New
  - Summary
  - Sponsor
  - Personnel (3)
  - Admin Staff
  - Budget
  - Agreements (0)
  - SubContracts (1)
  - Communications (0)
  - Attachments (6)**
  - Proposal (5)
  - Award (1)
  - Sub Documents (0)
  - Reports (0)
  - Closeout (0)

**Attachments** Folder Maintenance Add Document Add Components

Name	Category	View Latest	History	Upload	Versions	Last Updated	Delete
15-001 00 Award	Core Documentation				1	27-May-2015 3:43:13 PM	
					1	28-May-2015 2:48:03 PM	
					1	04-Jun-2015 3:52:30 PM	
					1	04-Jun-2015 3:53:02 PM	
					1	28-May-2015 2:47:20 PM	
PSR	Core Documentation				1	28-May-2015 2:48:43 PM	

**Example A: Proposal Submission Attachments**

Attachments will be uploaded by the PAs into the applicable proposal Attachments subfolder. The conventions for naming and categorizing documents are included in the PT Business Processes.

Continue to next page...

**Proposal 0414.12.0850B**

- Submissions (1)
- Awards (2)
- Financials (1)
- Approvals (3)
- Related Proposals (0)
- Deliverables (4)
  - Patent/Invention (1)
  - Progress/Technical (3)
    - Progress Report 01-Feb-2015**
      - MNIRGDP-12-258900\_Progress Report\_06 Jun 2015
      - Final Technical Report 29-May-2015
      - Final Technical Report 01-Feb-2016
- Keywords (0)
- Communications (0)
- Attachments (13)
- Alerts/Reminders (5)
- Locations (0)

**Progress Report**

Report Name: Progress Report | Report Category: Progress/Technical | Deliverable Due: 01-Feb-2015

**Example B: Deliverable Attachments**

When deliverable reports are completed and submitted, the OCG Compliance Officer or PA will attach the report document in the Deliverables folder. The conventions for naming and attaching the documents in the Deliverables folder are included in the Deliverables User Manual.

By: [Set] | To: [Set]

**Documents**

Name	Category	View Latest	History	Versions	Last Updated	Delete
MNIRGDP-12-258900_Progress Report_06 Jun 2015	Report			1	11-Jun-2015	

All of the attachments roll up into the main **Attachments** folder at the bottom of the left-hand navigation pane:

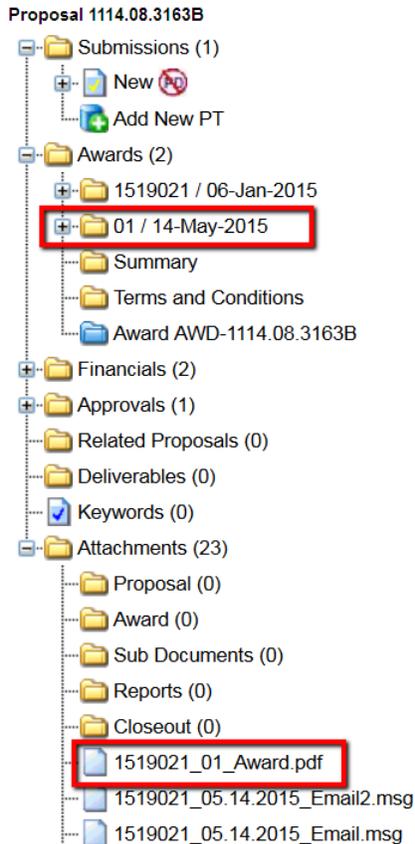
**Proposal 0414.12.0850B**

- Submissions (1)
- New
- Add New PT
- Awards (2)
- Financials (1)
- Approvals (3)
- Related Proposals (0)
- Deliverables (0)
- Keywords (0)
- Attachments (12)**
  - Proposal (0)
  - Award (0)
  - Sub Documents (0)
  - Reports (0)
  - Closeout (0)
  - Hoeffler\_Alzheimer\_CS.pdf
  - Hoeffler\_Alzheimer\_DEPA.pdf
  - Hoeffler\_Alzheimer\_IACUC.pdf
  - Hoeffler\_Alzheimer\_IDC.pdf
  - Hoeffler\_Alzheimer\_Proposal.pdf
  - MNIRGDP-12-258900\_01\_Award.pdf
  - Hoeffler\_Alzheimer\_Email.msg
  - MNIRGDP-12-258900\_05.08.2015\_Email.msg
  - Hoeffler\_Alzheimer\_Award.pdf
  - Announcement with AA terms.pdf
  - Alzheimer Check - Hoeffler.pdf
  - Hoeffler\_Alzheimer\_Budget.xlsx

## 4.0 ENTERING THE AWARD TERMS AND CONDITIONS

The OCG Compliance Officers review and enter in terms and conditions for property and travel in the **Award Terms and Conditions** folder according to the steps outlined below.

1. Open the proposal record listed under the INST\_NO column on the Cognos Workflow To-Do List.
2. Using the AWARDNUM column on the Cognost Worklow To-Do List, locate the award increment folder and attached document(s) that correspond to the award modification that needs to be reviewed.



3. Open the attachment for the award modification that needs to be reviewed, by clicking on the attachment in the left-hand navigation pane and then clicking the icon in the **View** column:

Proposal 1114.08.3163B

Document Detail

Document Name: 1519021\_01\_Award.pdf | Folder: ROOT | Document Category: Converted

Document Upload History

File Name	Date Uploaded	Owner	View	Delete
1519021_01_Award.pdf	01-Jun-2015 01:41:50 PM	CONVERSION, BOULDER		

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- Using the **Sponsor Restrictions Matrix**, read through the award terms for any restrictions on property and travel. If there are restrictions that need to be noted, open the **award Terms and Conditions** folder:



- To add a new term, click “Add” in the upper right-hand corner. This will open a new window that will allow you to enter new terms.

The 'Add Terms and Conditions' window contains a list of terms with checkboxes and an 'Add' column. The terms listed are: 75% Draw Down Notice Required, 90 Day Pre-award Spending Allowed, ARRA, Carry Forward Prior Approval Required, E-verify, FFATA, Foreign Travel, Interest Bearing, Government Property, NCE Prior Approval Required, and Travel Prior Approval Required. Below the list are input fields for 'Name', 'Description', and 'Link'. Callout 1 points to the 'Add' button, callout 2 points to the 'Description' field, and callout 3 points to the 'Save' button.

1) Either select the check box to the right of the term that is applicable or enter the name of the term in the box towards the bottom of the window.

2) In the **Description** field, write a brief explanation of the term and what the impact is for the award. Keep in mind that this field is intended to be a resource for department administrators and PIs. The descriptions in this field should clearly identify the limitation and the impact on the administration of the award.

3) Click “Save.”

*Continue to next page...*

6. After clicking “Save,” the window will automatically close and the information that was entered will be visible in the main screen of the **Terms and Conditions** folder:

The screenshot displays a software interface for proposal management. On the left, a sidebar titled "Proposal 0414.12.0850B" contains a tree view of folders: Submissions (1), Awards (2), 01 / 21-May-2015, Summary, **Terms and Conditions** (highlighted with a red box), Award AWD-0414.12.0850B, Financials (1), Approvals (3), Related Proposals (0), Deliverables (4), Keywords (0), Communications (0), Attachments (13), Alerts/Reminders (5), and Locations (0). The main area, titled "Terms and Conditions" and "Edit Mode", shows a list of two items:

- Property Restriction**: Name field contains "Property Restriction". Description: "Computer software (if strictly used for the data collection) may be allowed on the award. The purchase of computer hardware or standard software is not allowable. Constructions, renovation, and rental costs for laboratory/office space is also not allowed under the award terms." A red arrow points to the Name field.
- Travel Restriction**: Name field contains "Travel Restriction". Description: "Costs charged to award for travel to scientific and professional meetings may not exceed \$1000 per year." A red arrow points to the Name field.

## 5.0 COMPLETING THE WORKFLOW TASK (simultaneous review only)

Follow the steps outline below in order to complete the simultaneous reviewing task.

1. Open the **Award** folder and review the Award Information section:

2. The details listed in the Award Information section will correspond to the award increment and the Workflow To-Do List:

Continue to next page...

3. Click the blue hyperlink under the “Status” that corresponds to in the increment for which the review was just completed. A new window

(see screen shot directly below) will open.

**Note:** The status visible is the most recently *completed* status. In order to view the history of which simultaneous reviewing tasks have already been completed, click on the blue hyperlink and open the **Status History** window.

The screenshot shows a window titled "Status History" with a "Close" button in the top right corner. Below the title bar, there is a filter section with a dropdown menu set to "Sub Review Complete" and a date field set to "11-Jun-2015". Underneath is a "Comments" section with an "Add" button and a text area. The main content area displays a list of four review tasks, each with a trash icon to its left. The first two entries have red boxes around their "Date" and "Status" fields. The data for these entries is as follows:

Date	Status	Recorded Date	Recorded By
11-Jun-2015	Sub Review Complete	11-Jun-2015 5:51:25 PM	Stossmeister, Rebecca Jane
11-Jun-2015	Tech Reports Complete	11-Jun-2015 5:51:17 PM	Stossmeister, Rebecca Jane
11-Jun-2015	Property Review Complete	11-Jun-2015 5:51:09 PM	Stossmeister, Rebecca Jane
21-May-2015	Received	21-May-2015 3:54:46 PM	Waller, Denise Renee

This window provides the **Status History** of the simultaneous reviews of that award increment.

In the lower half of the window, you can review the statuses that were previously completed by other reviewers.

**Note:** Only the OCG and SPA simultaneous reviewers who are generating the Workflow To-Do List in order to review awards simultaneously will mark their tasks as completed in this **Status History** window.

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- In the **Status History** window, from the drop-down Status menu, select the appropriate status for the review that was just completed. The OCG Compliance team will be using “Property Review Complete” and “Tech Reports Complete.”
  - Add any necessary comments
  - Click “Add.”
- Note:** The date will default to today’s date, but could be changed if necessary.

The screenshot shows a 'Status History' window with a blue header bar containing the title and a 'Close' button. Below the header, there is a form with several fields: a dropdown menu for 'Status' (currently set to 'Property Review Complete'), a date field (set to '23-Jun-2015'), and a large text area for 'Comments'. A red box highlights the 'Status' dropdown and the date field, with a callout '4' pointing to the dropdown. Another red box highlights the 'Comments' text area, with a callout '5' pointing to the bottom left corner. A third red box highlights the 'Add' button, with a callout '6' pointing to it. A fourth red box highlights the 'Close' button in the top right corner, with a callout '7' pointing to it. Below the form, there is a table of status history entries. The first entry shows 'Date 11-Dec-2014' and 'Status Converted'. The second entry shows 'Recorded Date 11-Dec-2014 12:00:01 AM' and 'Recorded By Conversion, Boulder PT'.

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- Click “Close” in the upper right-hand of the window. On the Awards main screen, the status will update for the review that was just completed:

Award Information New Award

Applied to Period	Date Awarded	Type	Total	Open	Status	Delete
1	25-Mar-2014	Converted	52,000		Converted	
1	21-May-2015	Funding	46,000		Grant Accountant Review Complete	

The next time the Workflow To-Do List report is run for that functional role, the award with the updated status will not be listed.

**Note:** When the award is being reviewed by the OCG Compliance Officers, it has been fully negotiated and the terms have been accepted. If there is a need to amend the award terms, there will need to be a modification that is reviewed by the full OCG and SPA process. Therefore, there is no need to “redirect” the review of an award at this stage and that process is not covered in this SOP.