Award Management Training
For Unit Research Administrators

Cathy Handyside and Carolyn Pappas
ITS Research Administration Systems
July 2018
Topics

● Introduction
  ○ What to expect from this session
  ○ Project Timeline
  ○ Background

● New Award Workflow

● New Award Workspace
  ○ New Tabs
  ○ New Activities

● Proposal Approval Form (PAF) Changes

● Handling Changes to Active Awards
  ○ Requesting Award Actions/Changes
  ○ Award Modification Process

● New Inboxes and Project Listers

● Data Conversion
Introduction

● What to expect from this session?
  ○ Review of new functionality, including demonstrations
  ○ Presented in sections for future reference
    ■ Each section includes links to job aids and reference materials

● Additional Supporting Tools
  ○ Job aids and reference materials available on eResearch Website
    ■ eRPM Training page
  ○ eRPM Sandbox updated with new functionality and converted data
  ○ For more information on project background, goals, and timeline, see the Award Management web page.
    ■ Frequently Asked Questions (FAQs)
Introduction

- Project Timeline
  - Implementation - August 17-20, 2018
    - Includes updates to eResearch Proposal Management (eRPM), updates to Data Warehouse, UM Maintained Reports in Business Objects, and Remote Data Access
    - eRPM will be down for upgrade and data conversion Friday, August 17, 5:30 pm - Monday, August 20, 6:00 am
Introduction

- Project Background
  - Why are we making this change?
Introduction

Current State

- 1:1 relationship between PAF and Award
- Not much visibility into award details, related compliance, etc.
- Difficult to determine where to record changes to awarded projects
Introduction

Future State

● New approach for managing projects in post-award

● New award record that is separate from PAF
  ○ Separate award number (AWD000001)
  ○ References all related Proposal Approval Forms (PAFs)
  ○ Includes reference to all related compliance records and sub-contracts
  ○ Aligns with M-Pathways Financials
Introduction

What can PI/Project Teams do on an Award?

- Track award progress and details
- View related compliance components
- Link to M-Reports
  - (Same Award ID in eRPM & Financials)
- Manage Non-Key & Administrative Personnel
- Request post-award changes
- Store unit documents
- Set up deliverables
New Award Workflow

● In this section:
  ○ Changes to PAF Workflow
  ○ Introduction to new Award Workflow
  ○ New email notification will replace Project Award Notice (PAN)

● Job Aids:
  ○ Overview of Changes
  ○ Award Workspace Status Map
Once the PAF moves into the state of Processing Award, the activities available on the PAF will be limited to Post a Comment. All other activities will move to the Award record.
New Award Workflow

Upon notice of award, ORSP will initiate the award process on the PAF.

- Email notification informs PI & Primary Research Administrators that the award has arrived and, if applicable, that compliance actions are required prior to award activation.
New Award Workflow

Award Workflow

- Initial Award Processing
- Account Assignment
- Financial Processing
- Pending Activation
- Active
New Award Workflow

ORSP will evaluate if there are any outstanding items that need to be completed prior to processing the award.

- ORSP Project Representatives place Award on hold if any of the following are missing:
  - PEERRS Training
  - Agreement Acceptance Review (AAR)
  - Regental Action Request (RAR)
  - Human Subjects Application (HUM)
  - Animal Protocol (PRO)
  - Institutional Biosafety Application (IBCA)
New Award Workflow

- After Project Representative Sign-Off, eRPM places Award on Compliance Hold if any of the following are missing:
  - Human Subjects Application (HUM) approval
  - Animal Protocol (PRO) approval
  - Institutional Biosafety Application (IBCA) approval
  - Export Controls Review completion
  - Ancillary Reviews completion for COI, HPSCRO, and/or RPC
- Once the compliance items are completed, the Award moves on to SSC and Sponsored Programs for Project/Grant assignment and M-Pathways Financial set-up
Once the Award is Active:
- Email notification is sent to all parties (UM Investigators, Administrative Personnel, Department Contacts) to inform them that the award is active
  - This notification replaces the Project Award Notice (PAN)
- The Award will move to the state of Active and the PAF state will change to Awarded
New Award Workspace

● In this section:
  ○ Introduction to new Award Workspace
    ■ Review Main Information
    ■ Review Tabs
    ■ Review Activities

● Job Aids:
  ○ Award Workspace Reference Document
  ○ Award Workspace Status Map
  ○ Award Compliance
  ○ Activity to add/update Non-Key Investigators
  ○ Activity to add/update Administrative Personnel
  ○ Activity to Sign Award Record
  ○ Managing Deliverables
  ○ Manage Unit Documents
Award Status Map

- Award Status Map
  - Shows the award’s state and progression through the workflow
  - Indicates where action is required
  - Stops for ORSP, Shared Services Center, Sponsored Programs and Office of Contracts Administration (Contract Processing), if applicable
  - Can be toggled on/off
Compliance Status

- Compliance Status Meter
  - Displays applicable compliance factors as indicated by PAF or ORSP
  - Traffic signals indicate if award processing is stopped due to outstanding compliance item
  - Yellow warning signs indicate a future condition related to compliance, such as delayed onset of human subjects work

Compliance Status

- IRB Approval Needed by 9/4/2019
  - Yellow warning sign
- COI Personnel Approval
- Export Controls Approval
Link to M-Reports
## Award ID Summary

### Award Summary for Award ID: AW012451

**Last month closed:** August 2017

| Principal Investigator | Project | Effort on Project | Title | Parent Project | Parent Sub | Status | Department | Primary Sponsor | Administrative Contact | Project End Date | Cost Type       | Budget | Expected | Official Balance as of last month closed August 2017 | Additional Budget since last month closed | Expended since last month closed excluding Payroll | Payoff/Fin Aid Commitments | Purchasing Commitments | Other Unit Commitments | Projected Balance |
|------------------------|---------|------------------|-------|----------------|------------|--------|------------|----------------|-------------------|----------------|----------|-----------|---------------------------------------------------|-----------------------------|----------------------------------|-----------------------------|-------------------|-----------------------|---------------------|
| **P307065**            | -       | **ACTION**       | Family Medicine | F02605        | F02605     | Active | Health and Human Services | Department of National Institutes of Health | v5020166 | Direct & Indirect | $0 | $0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **P30899**             | -       | Sub Prime         | Health Communications, CC | F02605 | F02605 | Active | Health and Human Services | Department of National Institutes of Health | v5020166 | Direct & Indirect | $0 | $0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **P308257**            | -       | Sub Prime         | Health Communications, CC | F02605 | F02605 | Active | Health and Human Services | Department of National Institutes of Health | v5020166 | Direct & Indirect | $0 | $0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **P308955**            | -       | Sub Prime         | Health Communications, CC | F02605 | F02605 | Active | Health and Human Services | Department of National Institutes of Health | v5020166 | Direct & Indirect | $0 | $0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **P30915**             | -       | Sub Prime         | Health Communications, CC | F02605 | F02605 | Active | Health and Human Services | Department of National Institutes of Health | v5020166 | Direct & Indirect | $0 | $0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
Award ID in M-Pathways
Award Workspace Tabs

- Main
- Activity History
- $$$
- Deliverables
- Terms & Conditions
- Contacts
- Compliance
- Subcontracts
- Related Records
- Change Tracking
- Attachments
- Unit Documents
Available Activities

- The list of available activities depends on the state of the award and your role(s):
  - Manage Administrative Personnel (Add/Update)
  - Manage Non Key Investigators (Add/Update)
  - Manage Unit Documents
  - Post a Comment
  - Manage Deliverables

- PI Activities:
  - Manage Conflict of Interest (if change needed)
  - Sign Award Record (if new PI is added at time of award)

- Once Active:
  - Request Action/Modification
  - Create SUBK
Manage Deliverables

- Allows PI/Project Teams to add, edit, remove, or complete deliverables related to the award
- Complete button action allows for upload of related documentation
- Displayed on Deliverables tab
- Email notifications sent for upcoming items due
Manage Deliverables

Email Reminders:

● Prior to Due Date
  ○ Sent to PIs, Primary Post-Award Administrator (PPA)
  ○ Sent at 60, 30, 5 days
● After Due Date
  ○ Sent every 7 days to PI & PPA until complete
  ○ After 35 days, Admin Home Dean level added

Deliverable Types:

● Progress/Technical Report
● Property Report
● Small Business Report
● Patent/Invention Report
Changes to PAF

● In this section:
  ○ Changes to PAF Question for future Project/Grant (Question 1.5)
  ○ Changes to PAF Query

● Job Aids:
  ○ How to search and find awards
  ○ PAF Query
Link a new PAF to an existing Award

- Change to PAF Question 1.5
  - (Previous Parent Project Grant Number (P/G) is now Award Chooser)

1.5 If Renewal/Continuation or Supplemental Request, enter an Award ID

Upon selection of an Award ID, the related project grant will be displayed:

[Input field]

HELP

If this PAF is related to a previously awarded project, enter the Award ID number. If you don’t know the Award ID use the PAF Query to find the correct Award ID. After selecting the Award ID, the related project grant number(s) will be displayed.
How to Search/Find Awards

- PAF Query
  - Enter Award ID (# AWD000000)
Handling Changes to Active Awards

● In this section:
  ○ Award Change Request Process
  ○ Award Modifications
  ○ New email notification will replace Project Award Change (PAC)

● Job Aids:
  ○ [How to Request an Award Change (Request Action/Modification)]
  ○ [Award Modifications Overview]
  ○ [Award Modification Workspace Reference Document]
Handling Changes to Active Awards

● Award Change Request Process
  ○ Completed by PI/Project Team
  ○ Reviewed by ORSP
  ○ Determination by ORSP if modification is required

● Award Modification
  ○ Completed by ORSP
  ○ Workflow follows the initial award workflow
  ○ Modification data updates the award once it is approved
Request an Award Change (PAC-R)

- **Request Action/Modification**
  - Replaces Request ORSP Action activity on Awarded projects
    - Do not use **Post a Comment on PAF**
  - Available on Active Awards
    - Request ORSP action, such as signing a sponsor document
    - Upload and route a signed form to request changes such as No Cost Extension (NCE), PI Change, etc.
  - Request will go directly to ORSP and will not include automated routing for signatures
  - If change to award is required, ORSP will complete an Award Modification
  - Status can be tracked under the **Modifications** Tab
Award Change Request Form

Request Action/Modification can be completed by:
- Principal Investigators (PIs)
- Sponsor PIs
- Primary Post-Award Contact
- Administrative Personnel
  - ITS will initially populate with Primary Research Administrator and other Post-Award Contacts from PAF
- Approvers in Admin Home roll-up

PI/Project Team has the option to:
- Fill out Request Action form, print, obtain ink signatures, upload and route to request changes
  - Can also route an uploaded, signed PAC-R Form
The Award Change/Request Form will have a workspace similar to PAF, UFA, Award and its own ID number (ACR00000066) for tracking purposes.

Activities on the left side allow for the PI/Project Team to:
- Edit Change Request
- Print Change Request
- Route Request
- Post a Comment
- Cancel Request
Modifications Tab

- Award Change/Requests can be viewed in the Award Workspace on the Modifications Tab.
- Once routed to ORSP, the State will indicate the status of ORSP action, including:
  - Central Review
  - Changes Requested
  - Pending Sponsor Approval
  - Approved
  - Declined
  - Complete (Used for Requests only)
  - No Action Taken (Used for Requests only)
Award Modifications

During the project life-cycle, awards can be changed for the following reasons:

- Incremental Funding
- Change to PI/Key Personnel
- No Cost Extension
- Budget Changes/Corrections
- Supplements
Award Modification Types

- **Modification Types**
  - Additional Funding
  - Award/Budget Update
  - No Cost Extension
  - De-Obligation
  - Early Termination
  - Mid-Project Advance Account
  - Administrative Changes Only
    - Administrative Change Types
      - Compliance Review
      - Special Terms and Conditions
      - Re-budget - Sponsor Approved
      - Carryforward
      - PI or Key Personnel Change
      - General Award Information
The Award Modification has a similar workflow to the initial award including steps for the Project Representative to put on hold and for Compliance Hold, if applicable.
New Inbox and Project Listers

● In this section:
  ○ Review changes to eRPM Home Workspace
  ○ All Awards Tab

● Job Aids:
  ○ New Inboxes/Project Listers
New Inbox and Project Listers

- **All Awards** Tab
  - Available to everyone - what displays there depends on your role

- **New Awards** Tab for PI & Project Team
  - Lists
    - Awards Awaiting PI Signature
    - Modifications Awaiting PI Signature
    - Changes Requests with Required Action
    - Awards on Hold

- **Project Listers for Awards, Award Modifications, Award Change Requests**
  - Tabs
    - In Progress, Award Received, Active, Closed, Cancelled

- **New All My Awards** Tab for Reviewers
In this section:
  ○ What will be converted
  ○ Converting multiple PAFs into one Award
  ○ How to report problems

Job Aids:
  ○ Google Form for reporting conversion issues
Data Conversion

- Will occur weekend of August 17-19
- What is getting converted?
  - PAFs with Active P/Gs
    - Single PAF = New Award/Single P/G
    - Multiple PAFs with same P/G = New Award/Single P/G
      - Includes PAFs that are *expended* but related to an active P/G
      - This includes projects that are complete, but not yet Closed
    - To be manually converted:
      - Complex Awards with Multiple PAFs (e.g. master agreements with money)
      - No PAF but Active P/G in Fin (e.g., holding accounts)
      - Single PAFs and Multiple PAFs with Multiple Active P/Gs
  - What is NOT getting converted?
    - Closed Projects
      - PAFs will remain in system in Closed state
Multiple PAFs = Single Award

- **Pulled from all related PAFs**
  - UM Investigators
  - Budget Period Dates & Dollars
  - Sum of Project Period Dollars
  - Max of Project End Date or NCE
  - Compliance Items
    - If any PAF has a “yes” (human subjects, animals, etc.); Award will have “yes”

- **Pulled from initial PAF**
  - Project Title, Long Title
  - Date awarded (Award Publishable Date)
  - Project Start Date
  - Pre-award Spending Auth Date

- **Pulled from most recent PAF**
  - Contact PI
  - Primary Post-Award Contact
  - Project Representative
  - Administrative Home

- **Pulled from the most recent Project Award Change**
  - Terms & Conditions
Next Steps

● Supporting Tools
  ○ Award Training page: Job aids and reference materials
  ○ eRPM Sandbox
  ○ Award Management informational web page
  ○ Award FAQs

● User Interchanges
  ○ In-Person Question and Answer
  ○ Two Sessions:
    ■ Central Campus
    ■ North Campus