## **Carnegie Mellon University** Sponsored Projects Accounting (PA18) Modifications/Amendments – Procedures Updated: January 25, 2019

Frequency:As neededResponsible Staff:Sponsored Project AccountantApproval Required:Manager / Assistant Manager, Post Award Accounting

## **Summary:**

When an award modification is received by the university, SPA receives the documentation from OSP. The SPA accountant updates the award in Oracle and communicates the information to the appropriate people.

## **Procedure:**

1. Open the award document in the ECM queue.

	Perceptive Content Explorer	_ <b>D</b> X
<u>File Edit View Workflow H</u> elp		
🧁 • 🛅 🖉 🗟 🖄 🖨 🖄 🔂 🗍 🛗 🗱 •	🕽 Representative 8 (SPAAS Award Setup) 💿 😭 🍞 🔲 🥔 🔍 🖕 🖓 🍪 🌡 😓	
Ba B. B		
Views # ×	Quick Search Search	
🗉 🂏 Application Plans 📃 🔨		
Documents	Workflow item status v is equal to v Any	✓ → Go
🖃 🚭 Workflow		
🖃 🏭 SPA Award Set Up	Time In Queue / Document Toracle Award Number Modification # Funding Source Name	
🚳 CM Representative 1 (SPAAS Cash Mgmt R	2 minutes 17 seco < <please select="">&gt; Award Document - Example ORG 150010 A013235 NATIO</please>	NAL SCIENCE
🚯 CM Representative 2 (SPAAS Cash Mgmt R		DILITOL

- When the modification/amendment provides supplemental funds with a different burden rate than the existing award, a new award must be set up in Oracle (follow instructions in procedure *PA01 Setting Up New Award*).
   EXAMPLE: REU supplement for a National Science Foundation award.
- 3. When the modification/amendment provides additional funding with the same burden rate as the existing award:
  - Navigate to the Award Management window in Oracle by selecting Awards
  - Enter the award number and click Find
  - Update the award end date and close date
  - Update the funding amount on the installment line
  - Update the installment end date and close date
- 4. Fund the Project and Task. If there are multiple projects/tasks...
  - An email is sent to department to confirm which project and task(s) the department wants the funding allocated to.
  - A copy of this email is merged to the Modification Agreement.
  - The Modification Agreement should be put on hold for up to 5 business days until the department confirms the funding distribution
  - If the department does not respond within seven days, add funding to one task and route mod for approval
  - An email is then sent to the department letting them know which project/task the funding was added to and that it can be reallocated at a later time, if they request.
- 5. With the cursor in the active installment line, click on the **Project Funding** button. The **Fund Projects** window appears. Enter the project number, task number and funded amount (first contact the department to verify whether the additional funding should be added to the existing project/task or to a new project/task).
- 6. Update Award Budgets (follow instructions in procedure *PA03 Entering a Budget*).
- 7. From the USA Grants Central Admin Navigator screen, select Reports→Run. This is also called Requests: Submit if in your Top Ten List.

Navigator - USA G Functions Do Reports:Run Submit request: Awards Project	rants Central Admin 000000000000000000000000000000000000		Top Ten List 1. Enter Awards
+ Budget + Expend + Billing Project + Setup - Reports - Reports - Reports - View Set + Account	s ditures Status nting Inquiries	4	<ol> <li>Award Budgets</li> <li>Actual Expenditure Inquiry - R</li> <li>Funding Inquiry</li> <li>Invoice Review</li> <li>Review Revenues</li> <li>Requests: Submit</li> <li>Pre-Approved Expenditure Entry</li> <li>Projects</li> </ol>

Select Single Request. Click OK.

Eile Edit View Folder Tools	Window Help	
	3 Ø 1 X 10 10 ₽ R 1 Z @ 3 0 8 1 ?	
Navigator - USA Grants Cel	ntral Admin.	≚×
Requests: Submit Awards Projects + Budgets + Expenditures + Billing Project Statu + Setup - Reports Run View Set + Accounting I	<ul> <li>Submit a New Request</li> <li>Submit a New Request</li> <li>What type of request do you want to run?</li> <li>Single Request This allows you to submit an individual request.</li> <li>Request Set This allows you to submit a pre-defined set of requests.</li> <li>Entry</li> </ul>	
	Qpen	

Select the CMU Award Setup Information report name. Click tab and enter the award number. Click OK.

	<u></u>			
:	Eile	Edit View Folder Tool	s <u>W</u> indow <u>H</u> elp	
	4	001000	🌢 🕅 X 🗊 🎁 🖉 🤜 I 🎜 🗐 🎯 🖉 🎘 I 📍 👘	
	5	Submit Request		×
¢		- Run this Request		<
Ì				Copy
I.		Nam	CMU Award Setup Information	
I.		Operating Unit		
I.		Parameters		
I.		Language	American English	
I			Language Settings	Debug Options
I.		L		
I.		At these Times		
I.		Run the Job		Schegule
I.		- Upon Completion -	Award Number	
I.		opon completion	<b>⊠</b> <u>S</u> €	
I.				Ontions
I.		Layout		
			negrint	Delivery Opts
I		Plint to	nopinit	
I.		Help (C)	Submit	Cancel
I.			Cublin	
I				

From Navigator, click View→Requests.

🕌 Eile	⊑dit ⊗	<u>View</u> Folder <u>Tools</u> Show <u>Navigator</u> Zoom	Window Help ▶ ♡   X 10 🎁 🖉 🛒   ∠ 🖾 🏐 Ø Sg   <b>?</b>
8	Fui Re	Eind Find All Query By Example Record Translations Attachments Summary/Detail Requests Project Status + Setup Project Status + Setup - Reports Run View Set + Accounting Inque	tral Admin Top Ten List 1. Enter Awards 2. Award Budgets 3. Actual Expenditure Inquiry - R 4. Funding Inquiry 5. Invoice Review 6. Review Revenues 7. Requests: Submit 8. Pre-Approved Expenditure Entry 9. Projects iiries
			<u>Open</u>

Click Find.

	<u></u>		
:	Eile Edit View	r Folder <u>T</u> ools <u>W</u> indow <u>H</u> elp	
	🛋 📎 🚳 I	I 🖉 🏟 🕹 🖗 I X 🗈 🞁 🖉 🛃 I Z 🗐 🕘 Ø 🎭 I 🤶	
	Requests		×
	B		
	Request II		
		© <u>A</u> ll My Requests	
		Specific Requests	
		Request ID	
		Name	
		Date Submitted	
		Date Completed	
		Status	
		Phase Phase	
		Requestor	
		Include Reguest Set Stages in Query	
	He	Order By Request ID	
	L 11 <u>4</u>	Select the Number of Days to View	
	Car		
	Sal	Submit a <u>N</u> ew Request <u>C</u> lear Find	

Find and select the completed report and click View Output.

Requests 🖂	666666666666666666666	0-0-0-0-0-0-0-0-0	000000000000	-000000000000	0.000.0
Refr	resh Data	Find Requests		Sub <u>m</u> it a New Request	
Request ID		Parent			
	Name		Phase	Status	Parameters
26540727	CMU Award Setup Informat		Completed	Normal	1121856
26516841	CMU Award Setup Informat		Completed	Normal	1070229
26507373	GMS: Submit/Baseline Aw		Completed	Normal	1800745, 2001021, N
26507371	GMS: Submit/Baseline Aw		Completed	Normal	1800745, 2001021, N
			_	_	
Hold	Request	View Detail <u>s</u>			View Output

This "prints" the report to a PDF in the Internet Explorer window.

ttps://ebsprod.andrew.cmu.edu/OA_CGI/FNDWRR.exe	?temp_id=1624088350 🔹 🔒 😋 Oracle Applications Ho 🧭 Oracle Applications R12 🛛 🧔 ebsprod.andrew.cm 🗙 👘
0	
ard Setup Information for Aw	ard 1121856
Award Number	1121856
Fund Source Name	NATIONAL SCIENCE FOUNDATION
Short Name	IIS1227495-NSF-HEBERT
Fund Source Award Number	IIS1227495
Full Name	COLLABORATIVE RESEARCH: NRI-LARGE: PURPOSEFUL PREDICTION: CO-ROBO
	INTERACTION VIA UNDERSTANDING INTENT AND GOALS
Pre-Award Date 01-Jul-2012	
Start Date	01-Oct-2012
End Date	30-Sep-2017
Close Date	29-Dec-2017
Award Type	GRANT
Purpose	SPONSORED RESEARCH
Status	Active
Organization	ROBOTICS INSTITUTE
Funded Amount	2,146,668.00
Award Amount	2,146,668.00
Revenue Hard Limit	Y
Invoice Hard Limit	Y
nding Summary	
Broject Number	29174

Click Print and choose the ImageNow Printer. Click the Print button.

Printe: ImageNow Printer Pro	perties A <u>d</u> vanced <u>Help</u>
	in any seals (black and white)
Pages to Print  All  Current page Pages 1-3  More Options  Page Sizing & Handling  Fit  Actual size  Shrink oversized pages Custom Scale: 100 %  Choose paper source by PDF page size  Print on both sides of paper  Orientation: Auto pottrait/landscape Portrait Landscape	Comments & Forms         Document and Markups         Scale: 100%         8.5 x 111 Inches         Scale: 100%         Reference         Statistical and the second s
	< Page 1 of 3

The ImageNow Print window appears. Ensure the SPA ImageNow Printer profile is selected and click OK.

Imag	geNow Print
Capture Profile Capture Profile:	SPA ImageNow Printer
	OK Cancel

The Proposed Keys window appears. Enter your "Rep#" in Field2. Click Capture.

	Proposed Keys
	Location
	Drawer
	SPA - Post Award 🗸
	Name:
	< <undefined>&gt;</undefined>
L	5
L	Document Keys
	Field1:
	< <undefined>&gt;</undefined>
	Field2:
	rep8
	Field3:
L	< <undefined>&gt;</undefined>
L	Field4:
	< <undefined>&gt;</undefined>
L	Field5:
L	< <unique id="">&gt;</unique>
Ŀ	Document Type:
Ŀ	< <please select="">&gt; V</please>
L	Notes:
	Capture Cancel

This will send the report to your ECM queue.

8. While the Award Management screen in Oracle is open to the award you want to link, return to ECM and ensure that your modification document is open and in workflow. With the SPA – Award Linking in Oracle application plan selected, click on the yellow key button. This will populate all Document Keys with the information from the Award Management screen in Oracle.



9. Select the SPA Modification Agreement as the Document Type. Click the Route Forward button. This will send the document to the File Away drawer.

				▼ Notes	*
44 🖬 🝕 1	• • H H• .   A 🕹 🔺	130	R 🗋 🖨 🗑 🧟 🛠 .		
			SDA Deet Aussel 1121956/ NATIONAL SCIENCE EQUINDATIONALIST	227405) POPOTICE INICTITI IT Poporantation (	Dage 1 of 2

10. Open the Oracle report you had printed into your ECM queue.

2		Perceptive Content Expl	orer		
Eile Edit View Workflow Help					
	🕼 Representative 8 (SPAAS Award Setup) 🛛 🗣 🛜 🔲 🈂 🔍 🗸				
Views # ×	Quick Search Search				
🗉 🏘 Application Plans					
Documents	Workflow item status V is equal to V Any				
🗉 🔛 Workflow					
🖃 🛃 SPA Award Set Up	Time In Queue / Document	Oracle Award Number Modification #	Funding Source Name	Funding Source Award Number	Organization
CM Representative 1 (SPAAS Cash Mgmt Repr	3 minutes 38 seco < <please select="">&gt;</please>				
CM Representative 2 (SPAAS Cash Mgmt Repr				******	00007100 1

11. Ensure that the Award Management screen in Oracle is open to the award you want to link and that the report is open and in workflow. With the SPA – Award Linking in Oracle application plan selected, click on the yellow key button. This will populate all Document Keys with the information from the Award Management screen in Oracle.

2		Perceptive Content Viewer - Workflow - [Page 1]	_ 0 ×
) 💾 👻 📼 🖄 🗧	\$ 🗟 🖋 🕄 📖 🖕 🔍 🗶 🔁 🖽 💷	· .	
<u>File View An</u>	notation Workflow Folders Window Help		_ @ ×
7 + 8	🛶 🚞 T 🗸 🗸 🖊 🖊 🖊 🗔 🔿 🌞 👳 🗮 🗸		
Thumbnails # ×			Properties     Properties
A B B B B B     A			
台目的			Application Plan
VENELW	Award Setup Information for Awar	rd 1122229	Octobe en oppreditor plan.
ABUA	Award Setup Information for Awar	u 1122225	SPA Award Linking in Oracle 🗸 🎤
<u> </u>			
1	Award Number	1122229	Document Keys
Sec.	Fund Source Name	NATIONAL SCIENCE FOUNDATION	- Dames
1	Short Name	DBI1455540-NSF-MINDEN	CDA Dark Award
	Fund Source Award Number		Name
A DE LE	Full Name	COUPLING DEVICE	321Z18N_01MF4B18J000001
	Pre-Award Date	15-Jan-2015	Oracle Award Number
2	Start Date	15-Apr-2015	1122229
	End Date	31-Mar-2018	Funding Source Name
	Close Date	29-Jun-2018	NATIONAL SCIENCE FOUNDATION
	Award Type	GRANT	Funding Source Award Number
	Purpose	SPONSORED RESEARCH	DBI1455540
3	Status	Active	Organization
	Organization	BIOLOGICAL SCIENCES	BIOLOGICAL SCIENCES
	Funded Amount	557,150.00	Field5
	Award Amount	557,150.00	321Z18N_01MF6T1D200000N
	Revenue Hard Limit	Y	Document type
	Invoice Hard Limit	Y	SPA Award Setup Info Oracle Report V
	Funding Summary		More
	Project Number	35638	Custom Properties
	Task Number	1	SPA Modification # 001
	Total Funding Amt	557,150.00	
	Total	557,150.00	
	Descriptive Flexfield		
	Branch		
	Federal Contract Number	1455540	Notes &
	Briority Code		
99 🖪 🧃 1	་▶Ħ₩+JN ở ♠ ↓ ♣ ◊ @ ∰ ᆗ 월 @ @ ♥		
		SPA Post Award\\rep8\\\321Z18N_01MF6G1D200002K\< <please select="">&gt;</please>	Kepresentative & Page 1 of 3

12. Select the SPA Award Setup Info – Oracle Report as the Document Type. Click the Route Forward button. This will send the document to the File Away drawer.

			I		Notes	*
44 🖬 🛋 1	• • H H •   R ~ 4	4 4 4 6	k 🗊 🛶 📾 🚳 🧠 🔹			
				CDA Door Aussed 1121056 MATIONAL COENCE COUNDATIONALIC1227405 DODOTICS INSTITUT	M Depresentation (	Dage 1 of 2

- 13. Open the current FY Report Tracker. Click Award Search and type in the award number. Click Ok.
- 14. Review the reports in the tracker and add any additional reports and/or change due dates per the modification agreement. Instructions for adding reports can be found in PA01 Setting up a New Award.
- 15. Click "Print Report List"

ile <u>E</u> dit <u>V</u> iew Insert For <u>m</u> at <u>R</u> ecords Sc	ripts <u>W</u> indow <u>H</u> elp		
port Tracker			
1 / 2460 Found (Unsorted)		R	
Records	Show All New Record Delete Record Find Sort Save as Excel Save as PDF Print		Edit avo
T E			
E Home			I Print Report List
122229	Reports Due	•	
			+ Add Report
rard 1122229	Active Reports	Status SPA Rep Due E	late
Rep Zach	Interim - Technical Report	Incomplete Zach 1/15/	2017 💼 🔺
ding Source NATIONAL SCIENCE	Final - Technical Report	Incomplete Zach 7/29/	2017 📋
Name FOUNDATION	IIII Final - Recon/Financial Report	Incomplete Zach 6/29/	2018
Funding Source 074000			
ding Source Award # DBI1455540			
and Ora RIOLOGICAL SCIENCES			
			-
rard Org GL # 260100			
lame Minden, Jonathan S	Reports Completed	Status SPA Rep Due Date Si	ubmission Date
rt Date End Date Close Date	Internal Annual Review	Complete Zach 6/29/2017	5/31/2017 💼 🔺
erd Status ACTIVE			
ding \$557,150.00			
datory Cost Share O Yes   No			
ted To			v
es			
🕀 🗖 Browse 🔞			3

16. Complete the Save Records as PDF window. Choose Create email with file as attachment. Click Save.

Save Records As PDF							
Save <u>i</u> n:	🔒 Closeout Trac	king 👻	G 🤌 📂 🛄 🗸				
Recent Places Desktop Libraries	Name Archived Rep New folder Old Files Records to b Updating the	port Trackers - beginning FY17 e Updated e Closeout Tracker	Date modified 7/5/2017 5:16 PM 6/23/2017 4:37 PM 6/21/2017 9:42 AM 8/7/2015 11:53 AM 7/5/2017 11:41 AM	Type File folder File folder File folder File folder			
Computer (inter- Network	∢ File <u>n</u> ame:	III 1122229 - Report Tracker		► Save			
	Save as type:	PDF Files (*.pdf)	▼ Cancel				
	Sa <u>v</u> e:	Records being browsed	▼ Options				
	Appearan <u>c</u> e: After saving:						

- 17. A draft email window is created. Send to spa-doc-capture@andrew.cmu.edu. Add subject line "rep#."
- 18. Once the document shows up in your queue, ensure that the Award Management screen in Oracle is open to the award you want to link it to. Open the document and ensure it is in workflow. With the SPA Award Linking in Oracle application plan selected, click on the yellow key button. This will populate all Document Keys with the information from the Award Management screen in Oracle.

2			Perceptive	Content Vie	wer - Workflow - [Page 1]	
<u>File View Annot</u>	ation <u>W</u> orkflow Folders Window I	Help				_ & ×
H 🗑 📼 🖄 🖶 🤅	े 🖉 🛈 🖹 💷 🔍 💐 🕏 🖒 🤁 🖻	• II		· .		
1 🖓 🕂 🕀 🕱 🚢	T////0*	ov 🚔 🗸				
Thumbnails 👎 🗙						Properties P × \
						Application Plan
8						Select an application plan:
X 🗈 🖸 🕺						SPA - Award Linking in Oracle
<b>Q</b> •						
2	Award Setup/Modification	Review				Document Keys
	List of Reports Due					Drawer
1	Award: 1121856					SPA - Post Award 🗸
	Notes:					Name
						321Z152_01MDQQCQR000EZ3
						Oracle Award Number
2						1121856
	Report Type	Due Date	SPA Rep	Status	Submission Date	Funding Source Name
	Interim - Technical Report	07/02/2016	Autumo	Comolete	10/04/2016	NATIONAL SCIENCE FOUNDATION
		0.00200.0		comprete		Funding Source Award Number
	Internal Annual Review	12/29/2016	Autumn	Complete	03/07/2017	IIS1227495
						Organization
	Final - Recon/Financial Report	12/29/2017	Autumn	Incomplete		ROBOTICS INSTITUTE
	Final - Technical Report	12/29/2017	Autumn	Incomplete		Field5
						321Z152_01MDQLCQR000FD9
						2 T,,
						SPA Report Tracker 🗸

- 19. Select the SPA Report Tracker as the Document Type. Click the Route Forward button. This will send the document to the File Away drawer.
- 20. Create a New Document by clicking the button in the top left that looks like a sun. Select New Document.

21. In New Document Window, choose the following options (and see example below):

- a. Application Plan: SPA Award Linking in Oracle
- b. Click the yellow key button this should populate the document keys within the SPA Post Award drawer
- c. Type: SPA Modification Summary Sheet
- d. Send to workflow queue: choose your queue
- e. Click OK

New Document				
Application Plan Select an application plan SPA Award Linking in Oracle Use as default application plan Location Drawer SPA Post Award Name	Document Options  Add to version control  Submit to Content Server  Send to workflow queue  Representative 8 (SPAAS Award Setup)  Create shortcut in folder	>		
Properties Oracle Award Number [1122229 Funding Source Name [NATIONAL SCIENCE FOUNDATION Funding Source Award Number [DBI1455540 Organization BIOLOGICAL SCIENCES Field5 [321Z18N_01MF731D200000R Type [SPA Modification Summary Sheet				
Custom Properties SPA Rep Number SPA Rep Name SPA Rep Email SPA OSP Award Numbe SPA Route to CM Rep Use default values		cel		

- 22. Complete the following sections of the SPA Modification Summary Sheet according to the information in the award documents.
- General Award Information
  - Enter the Modification number as it appears on the sponsor's paperwork (For example, P00001, MOD1, 01, etc...)
  - o If the Modification is an At Risk Extension, enter RAE in the Modification number field
  - o If the Modification is a No Cost Extension, enter NCE in the Modification number field
- Award Notes
- Billing Information
  - Enter "Yes" in Route to CM Rep when any of the following is true:
    - Billing Format is EVENT
    - The sponsor is DoD
    - There is a change in billing information from the original agreement

Note: All fields with an \* (asterisk) are required

23. Click the Route Forward button. This will send the document to the manager queue for review and approval.

24. Upon approval the reviewer will Route Forward to Convert Process. This will forward the Modification Summary Sheet to the Cash Management Rep (if selected Yes) and then the document will go to File Away.