



Click® Grants Quick Reference

This Quick Reference provides concise instructions for preparing a sponsored funding application and managing awards.

[Proposal Workflow States and Transitions 3](#_Toc467261539)

[Create a Funding Proposal 9](#_Toc467261540)

[Complete Credit Distribution for a Proposal 10](#_Toc467261541)

[Complete a Budget for a Proposal 11](#_Toc467261542)

[Complete a Subaward/Subcontract Budget 12](#_Toc467261543)

[Complete a Cost Sharing Budget 13](#_Toc467261544)

[Create or Update SF424 Forms 14](#_Toc467261545)

[Export a Subaward Budget to a Grants.Gov PDF Form 15](#_Toc467261546)

[Create a Renewal Proposal 16](#_Toc467261547)

[Award Workflow and State Transitions 17](#_Toc467261548)

[Create an Award 19](#_Toc467261549)

[Set Up Award Allocations 20](#_Toc467261550)

[Reconcile the Award Budget 21](#_Toc467261551)

[Indicate Award as Advance Account 22](#_Toc467261552)

[Remove Advance Account Indicator on Award 23](#_Toc467261553)

[Create a Subaward 24](#_Toc467261554)

[Define Deliverables 25](#_Toc467261555)

[Complete Deliverables 26](#_Toc467261556)

[Create an Award Modification 27](#_Toc467261557)

[Close Out (Complete) an Award 2](#_Toc467261559)9

[Award Close-Out Checklist](#_Toc467261560) 30

# Proposal Workflow States and Transitions

**Draft**

**Department Review: Response Pending from PI**

**Specialist Review**

**Final SPO Review**

**Not Submitted**

**Department Review**

**Specialist Review: Pending Changes by PI**

**Not Funded**

**Award Notification Received**

**Pending Sponsor Review**

**Awarded**

**Completed**

**Transferred Out**

**Terminated**

**Pending Sponsor Review Award Anticipated**

**SPO Status Confirmation**

**End States**

Bi-directional   
feedback loop

**Sponsor Response Requested**

**Withdrawn from Sponsor**

**ALL STATES**

**Create   
Funding Proposal**

The States and Transitions table on the following pages show the activities various roles can perform while a proposal is in a given state, and how those activities change the state. The roles are defined below:

|  |  |
| --- | --- |
| **Role** | **Typical Activities** |
| **Study Staff** | Contribute to initial drafting of the proposal and budget. Can include Principal Investigator/Program Director (PI/PD), co-investigators at the same institution as the PI, and administrative staff for the PI’s department. May include other stakeholders, such as science contributors, and administrative staff who provide quotes for budgets, prepare budgets, or assist with formatting. |
|  |  |
| **Department Approver** | Signs off on behalf of the PI’s local unit within the institution, typically referred to as the department, division, or institute. |
| **Department Administrator** | Coordinates and develops a final proposal product and budget in accordance with institutional and agency requirements, administers and monitors contract and grant awards, including sub recipient administration in compliance with regulations, terms and conditions. |
| **Specialist Finance/Grant** | Conducts central review on behalf of the institution. This person may also be the authorized organizational representative that submits the application package electronically using the SF424 tool, or provides a signature in offline systems. |

| Proposal Workflow States and Transitions   * Activities in **bold red text** followed by an arrow **🡺** cause a state change, which is identified in the right column. * Activities involving SF424 forms and SF424 research plans appear only if the proposal is an electronic submission to a federal sponsor via Grants.Gov. * Activities available in all states are listed **in a separate table below**. | | | |
| --- | --- | --- | --- |
| **In this state…** | **These roles…** | **Can perform these activities…** | **Changing the Funding Proposal state to…** |
|  | Study Staff and Specialist Finance/Grant | * **Create Funding Submission 🡺** | * Draft |
| **Draft** | Study Staff | * **Submit for Department Review 🡺** * **Withdraw Proposal (Prior to submission to sponsor) 🡺** * Edit Funding Proposal * Create/Update SF424 (only for electronic submissions via Grants.Gov submission) * Create Additional Budget | * Department Review * Not Submitted |
| Specialist Finance/Grant | * **Submit for Department Review 🡺** * **Bypass Department Reviewer** **🡺** * View Funding Proposal * Create/Update SF424 (only for electronic submissions via Grants.Gov submission) * Create Additional Budget | * Department Review * Specialist Review |
| **Department Review** | Registered User that is a pending reviewer in the process | * **Review Proposal🡺** | * If Disapproved, goes to Department Review: Response Pending from PI * If Approved:   + If other department reviewers in the review cycle, proposal stays in Department Review   + If last department reviewer, proposal moves to Specialist Review |
| Specialist Finance/Grant | * **Bypass Department Reviewer** * Update SF424 Research Plan (for Grants.Gov SF424 applications) * Update Project Attachments (for non-Grants.gov submissions) | * If all department reviewers are bypassed or if the current reviewer is bypassed and there are no other reviewers left in the review process, the proposal moves to Specialist Review |
| Study Staff | * Update SF424 Research Plan (for Grants.Gov SF424 applications) * Update Project Attachments (for non-Grants.gov submissions) |  |
| **Department Review: Response Pending from PI** | Study Staff | * **Withdraw Proposal (Prior to submission to sponsor) 🡺** * **Submit for Department Review 🡺** * Create/Update SF424 * Update SF424 Research Plan (for Grants.Gov SF424 applications) * Update Project Attachments (for non-Grants.gov submissions) * Create Additional Budget | * Not Submitted * Department Review |
| Specialist Finance/Grant | * **Withdraw Proposal (Prior to submission to sponsor) 🡺** * **Submit for Department Review 🡺** * Create/Update SF424 * Update SF424 Research Plan (for Grants.Gov SF424 applications) * Update Project Attachments (for non-Grants.gov submissions) * Create Additional Budget | * Not Submitted * Department Review |
| **Specialist Review** | Specialist Finance/Grant | * **Final Review 🡺** * **Specialist Requests Changes 🡺**   (Specialist indicates if proposal should return to Specialist Review or go back through Department Review after proposal team makes the requested changes.)   * Update SF424 Research Plan (for Grants.Gov SF424 applications) * Update Project Attachments (for non-Grants.gov submissions) | * Final SPO Review * Specialist Review: Pending Changes by PI |
| Study Staff | * Update SF424 Research Plan (for Grants.Gov SF424 applications) * Update Project Attachments (for non-Grants.gov submissions) |  |
| **Specialist Review: Pending Changes by PI** | Study Staff | * **Submit Changes to Specialist 🡺** * **Withdraw Proposal (Prior to submission to sponsor) 🡺** * Create-Update SF424 * Create Additional Budget | * Department Review or Specialist Review * Not Submitted |
| Specialist Finance/Grant | * **Submit Changes to Specialist 🡺** * **Withdraw Proposal (Prior to submission to sponsor) 🡺** * Create Additional Budget | * Department Review or Specialist Review * Not Submitted |
| **Final SPO Review** | Specialist Finance/Grant | * **Return to Specialist Review 🡺** * **Submit to Federal Sponsor 🡺** * **Submit to Sponsor 🡺** * **Submit by PI 🡺** | * Specialist Review * Pending Sponsor Review * Pending Sponsor Review * Pending Sponsor Review |
| **Pending Sponsor Review** | Specialist Finance/Grant | * **Funding Anticipated 🡺** * **Notify SPO of Grant Status 🡺** * **Sponsor Changes Requested 🡺** * **Award Letter Received 🡺** * **Withdraw or Not Funded:**   + **From Sponsor 🡺**   + **Not Funded 🡺** | * Pending Sponsor Review Award Anticipated * SPO Status Confirmation * Sponsor Response Requested * Award Notification Received * Withdrawn from Sponsor * Not Funded |
| Study Staff (PI) | * **Notify SPO of Grant Status 🡺** | * SPO Status Confirmation |
| **SPO Status Confirmation** For evaluating PI’s funding status notification; SPO makes the final decision on disposition. | Specialist Finance/Grant | * **Funding Anticipated 🡺** * **Return to Pending Sponsor Review 🡺** * **Sponsor Changes Requested 🡺** * **Award Letter Received 🡺** * **Withdraw or Not Funded 🡺** | * Pending Sponsor Review Award Anticipated * Pending Sponsor Review * Sponsor Response Requested * Award Notification Received * Not Funded |
| **Sponsor Response Requested** | Study Staff and Specialist Finance/Grant | * **Submit JIT Response 🡺** * Update PreAward Personnel | * Pending Sponsor Review Award Anticipated |
| **Pending Sponsor Review Award Anticipated** | Specialist Finance/Grant | * **Sponsor Changes Requested 🡺** * **Award Letter Received 🡺** * **Withdraw or Not Funded 🡺** | * Sponsor Response Requested * Award Notification Received * Not Funded |
| **Award Notification Received** | Specialist Finance/Grant | * Create Funding Award * **Activate 🡺** This activity is available in the workspace of an award in the Draft state that is linked to this funding proposal. | * Awarded |
| **Awarded** | Specialist Finance/Grant | * Create Renewal * Create Funding Award |  |

| Activities Available in All States | |
| --- | --- |
| **These roles…** | **Can perform these activities…** |
| **Study Staff** | * Manage Proposal Access Rights * Email Proposal Team * Email Specialist * Add Comment * Copy (proposal) * Export Budget |
| **Specialist Finance/Grant** | * Add Internal Attachments * Assign Specialist * Email Proposal Team * Add Comment * Copy (proposal) |

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| Create a Funding Proposal | |
| This topic shows how to create a funding proposal in Grants, and check it for errors and omissions. | |
| **1**      **4c**    **4b**      **6**      **3**        **5**      4a      2 | Create the Proposal |
| 1. From your Inbox, click **Create Funding Submission**. |
| Complete the Proposal |
| 1. Fill out each page. Click **Continue** to move through the pages. 2. On the General Proposal Information page, select **Click Grants via Grants.Gov** if you will be submitting your proposal electronically from the Grants system via Grants.Gov. 3. For Grants.Gov submissions, on the Federal Grant Information page:    1. Type the **Opportunity ID** (or CFDA Number).    2. Click **Find**. Grants.Gov returns all matching opportunities, their requirements, and forms.    3. Select the desired opportunity.   Complete the SmartForm pages. |
| Finish the Proposal |
| 1. On the last page of the proposal, click **Hide/Show Errors**. 2. Correct any reported errors, then return to the last page and click **Finish**. |
| Next Step |
| [Complete Credit Distribution for a Proposal](#_Complete_Credit_Distribution) |

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| Complete Credit Distribution for a Proposal | |
| 1      2a      2b      3      4      5      6 | Find the Proposal’s Credit Distribution |
| 1. From the proposal workspace, click **Credit Distribution**. |
| Complete the Credit Distribution |
| 1. In the Department/Center/ Institute column:    1. Click **Add** to add the department that will be involved in the internal review process.    2. Click **Select** and then the department from the list. Click **OK**.   Repeat the steps above to add more departments.   1. In the Proposal Credit column,  type the percentage contribution of that person to the proposal.  The total percentage across people must be 100%. 2. In the Financial Credit column, type the percentage of the person’s budget that will be distributed to each department. 3. In the Recognition Credit column, type the percentage of recognition that each department will receive for the person’s intellectual property (ideas, plans, etc.) 4. Click **OK** to return to the proposal workspace. |
| Next Step |
| [Complete a Budget for a Proposal](#_Complete_a_Budget) |
| Complete a Budget for a Proposal | |
| When you finish a proposal, the system automatically creates a budget based on the selected sponsor (and named after the sponsor). Your next step is to fill out the sponsor budget. | |
| 1      3      4      5b   5b    5c      5a    **5d**      7      6    2 | Open the Sponsor Budget |
| 1. From the proposal workspace, select the **Budgets** tab 2. Open the sponsor budget. 3. Click **Edit Budget** on the left. |
| Complete the Budget Pages |
| 1. On the General Budget Information page, question 5.0, select **Full Details** for Grants.Gov submissions or **Per Period, Budget Category Totals** for Non-Grants.Gov submissions. 2. Complete the budget grids. For the Personnel Costs and General Costs grid (Full Details):    1. At the top, set budget variables such as inflation rate.    2. Select the number of line items to create, and click **Add**.    3. Supply the requested cost information for each row.    4. Click **Continue**. 3. On the last page, click **Add** to attach any supporting documents for internal review purposes, such as instructions. 4. When finished completing the budget pages, on the last page, click **Finish**. |
| Next Step |
| Complete other budgets if applicable:   * [Complete a Subaward/ Subcontract Budget](#_Complete_a_Subaward/Subcontract) * [Complete a Cost Sharing Budget](#_Complete_a_Cost) |

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| Complete a Subaward/Subcontract Budget | |
| **2**      **3**      **5**      **6**      4      1      7      8 | Create a Subaward/Subcontract Budget for the Sponsor |
| 1. Open the sponsor budget (see [Open the Sponsor Budget](#_Open_the_Sponsor)). 2. On the Budget Characteristics page, question 2.0, select **Yes** and then **Continue**. The system adds the Subaward-Subcontractor Sites page to the budget SmartForm. 3. On the **Subaward-Subcontractor Sites** page, question 1.0, click **Add**. 4. In the pop-up window, next to Organization, click **Select** and then the organization. Click **OK**.   Save and exit the sponsor budget when done. |
| Complete the Subaward/Subcontract Budget |
| 1. From the sponsor budget workspace, click the **Subaward/Subcontract** tab. 2. Open the subaward/subcontract budget and then click **Edit Budget** on the left. Complete the pages. 3. On the Subaward/Subcontract Budget Information page, question 6.0, select **PDF Import** for Grants.Gov submissions or **Per Period, Budget Category Totals** for Non-Grants.Gov submissions. 4. When finished completing the budget pages, on the last page, click **Finish**. |
|  |
| Complete a Cost Sharing Budget | |
| The Grants system can create a cost sharing budget that automatically reflects sponsor budget amounts in excess of salary caps, and differences between planned effort percentages and requested salary percentages. You can then edit the cost sharing budget to reflect any other types of costs that will be shared. | |
| **2**      **3**    4    **7**      1      8      **5**      6      **9** | Create a Cost Sharing Budget for the Sponsor |
| 1. Open the sponsor budget (see [Open the Sponsor Budget](#_Open_the_Sponsor)). 2. On the Budget Characteristics page, question 3.0, select **Yes**. 3. If sharing costs with a department, click **Add** and then select the department. 4. If sharing costs with a third party, select **Yes** and then click **Add** to upload the letter of commitment from the third party.   Save and exit the sponsor budget. The system creates a cost sharing budget. |
| Complete the Cost Sharing Budget |
| 1. Click the proposal name breadcrumb to return to the proposal workspace. 2. Click the **Budgets** tab. 3. Open the cost sharing budget and then click **Edit Budget** on the left and complete the pages. 4. On the General Budget Information page, question 5.0, select **Full Details** for Grants.Gov submissions or **Per Period, Budget Category Totals** for Non-Grants.Gov. 5. When finished completing the budget pages, on the last page, click **Finish**. |
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| Create or Update SF424 Forms | |
| In various proposal states, certain roles can create or update SF424 application forms, populating them with data from the proposal and related budgets. **Warning**: **If SF424 forms have been edited directly, re-creating or updating them could overwrite those edits.** | |
| 1      2      3      4    5    6    7 | Create the SF424 |
| 1. From your Inbox, on the SPO Tasks tab, open the proposal.   If it is not in your Inbox, click the **Grants** tab at the top. Find your proposal on the **All Single Proposals** tab.   1. From the proposal workspace, click **Create-Update SF424**. 2. Select the forms you want included in the SF424 application, then click **OK**. |
| Add Missing Data to the SF424 |
| 1. From the proposal workspace, on the Project Information tab, click theSF424 link. 2. From the SF424 workspace, click **Edit Grant Application** and update any required fields not mapped from the proposal and budgets. |
| Check the SF424 for Errors |
| 1. From the SF424 workspace, click **Validate Submission**. 2. If an error, click the Jump To link and fix it.    * For mapped data, update the data in the proposal or budgets, and then click **Create-Update SF424** again. Revalidate the SF424 to ensure all errors were fixed.    * For non-mapped data, update the data on the SF424 and revalidate it when done. |

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| Export a Subaward Budget to a Grants.Gov PDF Form | |
| When your department is a direct Grants.Gov awardee, the Grants system can generate the required SF424 forms from the data entered in the funding proposal. Similarly, when your department is an *indirect* Grants.Gov awardee through some other institution, the Grants system can generate the required Grants.Gov subaward budget form. However, there are a few differences in how you set up the proposal. | |
| **2**    **1**      3 | Prerequisites |
| * The proposal specifies the Select Sponsor (the Grants.Gov agency that published the original Funding Opportunity Announcement). * While not a technical requirement, it is assumed the proposal also specifies the Prime Sponsor (the primary awardee that is granting your institution a subaward.) * The proposal specifies a submission method other than “Click Grants via Grants.Gov.” * While not a technical requirement, it is assumed financial data has been entered in the funding proposal’s budget. |
| Generate a Subaward Budget PDF |
| 1. From the funding proposal workspace, click **Export Budget to Subaward PDF**. 2. In the pop-up window, click **OK**. A success message indicates the PDF was created. 3. To view the PDF, click the **History** tab, and then the **Subaward Budget Export.pdf** link. |

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| Create a Renewal Proposal | |
| You may need to modify an existing award for various reasons, for example, to make changes requested by the sponsor or your institution, to update awarded amounts, or to request an extension. | |
| 3      **4**        2    1 | Prerequisites for this Task |
| * The proposal is in the **Awarded** state. * You are logged in as a role authorized to create a renewal. |
| Find the Awarded Proposal |
| 1. Click the **Grants** tab at the top. 2. Click the **All Awards** tab and then open the proposal. |
| Complete the Renewal |
| 1. From the proposal workspace, click **Create Renewal**. 2. Edit the renewal name if appropriate and click **OK**.   See [Complete the Proposal](#_Complete_the_Proposal) for steps.  The renewal goes through the same approval and submission steps as any other funding proposal. |
|  |

# Award Workflow and State Transitions

**Draft**

**Active**

**Completed**

**Transferred Out**

**Terminated**

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**Award**

**Advance Account**

**End States**

The Award Workflow States and Transitions table on the following pages shows the activities various roles can perform while an award is in a given state, and how those activities change the state. The roles are defined as follows:

|  |  |
| --- | --- |
| **Role** | **Typical Activities** |
| **Specialist Finance/Grant** | * Processes the Notification of Award (NOA) when it is received and creates a new award to account for and manage the funds. * Enables spending to begin by activating the award, or if necessary, creating an advance account and putting the award into the Advance Award state. * Creates a continuation funding proposal based on the current award. * Creates subawards to manage any funds to be paid to subcontractors. * Creates award modifications to change attributes of an active award, to terminate an award ahead of schedule, or to document that it has followed the PI to some other institution. |

|  |  |  |  |
| --- | --- | --- | --- |
| Award Workflow States and Transitions   * Activities in **bold red text** followed by an arrow **🡺** cause a state change, which is identified in the right column. * Activities involving SF424 forms and SF424 research plans appear only if the proposal is an electronic submission to a Federal sponsor via Grants.gov. | | | |
| **In this state…** | **These roles…** | **Can perform these activities…** | **Changing the Award state to…** |
| **Draft** | Specialist Finance/Grant | * **Activate 🡺** * **Set Advance Account 🡺** * Edit Award * Create Subaward * Update Award Personnel * Manage Deliverables | * Active * Advance Account |
| **Advance Account** | Specialist Finance/Grant | * **Complete Award Setup 🡺** | * Draft |
| **Active** | Specialist Finance/Grant | * **Complete 🡺** * Create Award Modification * Create Subaward * Create Continuation * **Approve Modification:** When Modification Type is **Early Termination**, if the reason is:   + Transferred Out **🡺**   + Fund Next Competing Segment **🡺**   + Accept Other Award **🡺** | * Completed * Transferred Out * Terminated * Terminated |

| Activities Available in All States | |
| --- | --- |
| **These roles…** | **Can perform these activities…** |
| **All roles** | * Log Comment |
| **Specialist Finance/Grant** | * Set Award Relationships * Upload Award Documents * Assign Ownership * Log Private Comment * Log Correspondence |

|  |  |
| --- | --- |
| Create an Award | |
| **6**      2      **1**     On the **Pending** tab of the Grants page, click the Funding proposal for which the Notice of Grant Award was received.    **3**    **4**    **7**      **8**    5 | Prerequisites for this Task |
| * A NOA letter has been received. * The proposal is in a state in which the **Award Letter Received** activity is available. * You are logged in as a role authorized to perform the **Award Letter Received** activity. |
| Find the Proposal |
| 1. Click the **Grants** tab at the top. 2. On the **All Single Proposals** tab, open the proposal. |
| Record Receipt of the NOA Letter |
| 1. From the proposal workspace, click **Award Letter Received**. 2. Fill out the page and click **OK**.   The proposal moves to the **Award Notification Received** state and an email is sent to the proposal team indicating the award is being set up. |
| Create the Award |
| 1. From the proposal workspace, click **Create Funding Award**. 2. Fill out the page and click **Continue**.See [Set Up Award Allocations](#_Set_Up_Award) and [Reconcile the Award Budget](#_Reconcile_the_Award) to set up allocations now.   On the final page, click **Finish**. This creates a new award in the **Draft** state that you can still edit.   1. When finished setting up the award, in the award workspace, click **Activate**. 2. If the amounts are correct,  click **OK**.   The award transitions to the **Active** state and the proposal transitions to the **Awarded** state. |
| Set Up Award Allocations | |
| You can define allocations when setting up the award or afterward. The Grants system creates default allocations with $0 amounts based on the award period. You can update default allocations, delete them, or create additional ones. For example, you might create an allocation to track funds for a supplement or one with $0 to document a no-cost extension. | |
| **1**        **3**      **2**      4      **7**      6      **5**    Authorized Amount is $0  until budget reconciliation  is complete | Prerequisites for this Task |
| Open the award SmartForm. |
| Add, Update, or Delete Allocations |
| 1. On the Funding Award page, ensure the start and end dates are correct as they are used to set default allocation periods. 2. Jump to the **Award Budgets & Allocations** page. 3. To add a new allocation or update a default allocation, click either **Add** or **Update**. 4. Fill out the Create or Edit Funding Allocations page. If the sponsor has released funds for this period, click **Yes** for **Authorized**.   Do not mark them as authorized until the NOA has been received for that period.   1. Enter the direct and indirect amounts for this period. 2. Click **OK**. The award allocations are updated.   Repeat steps above to add or update allocation periods.   1. Delete any allocations you don’t want to keep. |
| Next Step |
| [Reconcile the Award Budget](#_Reconcile_the_Award) |
| Reconcile the Award Budget | |
| During award allocation setup, you entered and authorized award amounts (previous section). If those amounts differ from the funding proposal’s budget, you must adjust the award budget accordingly. Like award allocation setup, budget reconciliation can be done when setting up the award or afterward. | |
| 1        **2**    3          5      **4**      6 | Prerequisites for this Task |
| Open the award SmartForm. |
| Reconcile Budget Amounts |
| 1. Jump to the **Budget Reconciliation** page. 2. Select the allocation to reconcile. (The menu lists only authorized allocations.) 3. Click **Import** to populate the categories with amounts from the funding proposal’s budget. 4. Check the funding proposal budget period from which to import budget amounts and click **OK**.   The award budget categories populate with amounts derived from the funding proposal budget.   1. In the Adjustment column, type the amount by which to adjust the imported amounts so the difference between the award and authorized amounts, in the top-right corner, equals $0.   If cost-sharing is enabled on the award setup page, a column for cost share amounts also appears.   1. To adjust salaries or fringe benefits, click the blue hyperlink and then add, edit, or remove details as needed. |

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| Indicate Award as Advance Account | |
| On occasion, the Sponsored Programs Office may need to authorize spending before the proposal has been formally awarded. When these situations occur, you can alert Grants users that this is being done by putting the award into the **Advance Account** state. | |
| **3**    **4**      **2**    1 | Prerequisites for this Task |
| * An award has been set up and is in the **Draft** state. * You are logged in as a role authorized to perform the **Set Advance Account** activity. |
| Find the Draft Award |
| 1. Click the **Grants** tab at the top. 2. Click the **All Awards** tab and then open the award. |
| Put the Award into the Advance Account State |
| 1. From the award workspace, click **Set Advance Account**. 2. In the pop-up window, add a comment and upload documents, if appropriate, then click **OK**.   The award enters the **Advance Account** state.  When advance account spending ends, the award should be moved out of the Advance Account state. See [Remove Advance Account Indicator on Award](#_Remove_Advance_Account_1). |

|  |  |
| --- | --- |
| Remove Advance Account Indicator on Award | |
| On occasion, the Sponsored Programs Office may need to authorize spending before the proposal has been formally awarded (see [Indicate Award as Advance Account](#_Indicate_Award_as)). When the NOA is received, the advance account indicator must be removed. The award should be moved from the **Advance Award** state to the **Active** state. | |
| **3**      **2**    **4**    1      5      6 | Prerequisites for this Task |
| * An award has been set up and is in the **Advance Award** state. * You are logged in as a role authorized to perform the **Complete Award Setup** activity. |
| Find the Award in Advance Account |
| 1. Click the **Grants** tab at the top. 2. Click the **All Awards** tab and then open the award. |
| Activate the Award. |
| 1. From the award workspace, click **Complete Account Setup**. 2. In the pop-up window, add a comment and upload documents, if appropriate, then click **OK**.   The award returns to the **Draft** state.   1. From the award workspace, click **Activate**. 2. If satisfied with the amounts, click **OK**.   The award transitions to the **Active** state. |

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| Create a Subaward | |
| You create a subaward to manage award funds designated for a sub-recipient. Setting up a subaward is similar to setting up an award; however, subawards can have their own unique workflow and data-collection pages. A subaward can be set up and go through the approval cycle while its parent award is in the **Draft** state, in other words, they can be worked on in parallel. However, a subaward cannot be approved until its parent award is in the **Active** state. | |
| 3      4        2    1      5 | Prerequisites for this Task |
| * An award has been created and is in the **Draft** or **Active** state. * You are logged in to your Grants site as a role that can perform the **Create Subaward** activity. |
| Find the Draft or Active Award |
| 1. Click the **Grants** tab at the top. 2. Click the **All Awards** tab and then open the award. |
| Create the Subaward. |
| 1. From the award workspace, click **Create Subaward**. 2. Fill out each page. Click **Continue** to move through the pages. Keep in mind:  * Typically, subawards are set up for a single year. * The start date should not precede the start date of the parent sward. * The subaward recipient organization is not imported from the original funding proposal; you must select it on the subaward page.  1. Click **Finish** on the last page to go to the subaward workspace.   The new subaward is in the **Draft: Active Award** state. |

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| Define Deliverables | |
| Deliverables are used to track technical or financial requirements for a sponsored award such as deadlines, special reports, progress reports, and other award requirements. | |
| 1      3        2      4      6      5 | Prerequisites for this Task |
| * You are logged in as a role that can edit awards. * Open the award SmartForm. |
| Add Deliverables to the Award |
| 1. In the award SmartForm, jump to the **Deliverables** page. 2. Navigate to the Deliverables page and click **Add**. 3. Fill out the Add Deliverable page and click **OK**.   The Deliverables page lists the deliverables for each period.   1. Use the **Delete** button to remove deliverable definitions. Save your changes to the award.   The responsible party and other staff designated will receive email at configurable intervals before the due date and up until the deliverable is “complete”. |
| Manage and Track Deliverables |
| 1. The deliverables appear on the Deliverables tab of the award workspace.   From this tab, you can see the owner of the deliverable, its status, and whether the deliverable has been completed.   1. The award owner can modify deliverables using the **Manage Deliverables** activity in the award workspace. |
| Next Step |
| [Complete Deliverables](#_Complete_Deliverables) |

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| Complete Deliverables | |
| Deliverables are used to track deadlines, special reports, progress reports, and other award requirements. | |
| 1      **2**        **3**      4      5 | Prerequisites for this Task |
| * You are logged in as a role that can edit awards. * You are designated responsible for deliverables on an award. * Open the award SmartForm. |
| Mark Deliverable as Completed |
| 1. From the award workspace, click the **Deliverables** tab. 2. Click **Complete** for the desired deliverable. 3. On the Complete Deliverable page, click **Add**. 4. Browse to and add the deliverable documents, then click **OK**. 5. Fill out the rest of the Complete Deliverable page, and click **OK**.   On the **Deliverables** tab, the deliverable no longer has a **Complete** button, and the Status changed to “Completed.” |

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| Create an Award Modification | |
| You may need to modify an existing award for various reasons, for example, to make changes requested by the sponsor or your institution, to update awarded amounts, or to request an extension. | |
| 3        **5**      **4**        2    1      6      7      8 | Prerequisites for this Task |
| * The award is in the **Active** state. * Your role authorizes you to edit awards. |
| Find the Active Award |
| 1. Click the **Grants** tab at the top. 2. Click the **All Awards** tab and then open the award. |
| Create an Award Modification |
| 1. From the award workspace, click **Create Award Modification**. |
| 1. Update the name assigned by the system so it gives more information about the type of modification. 2. Select the Modification Type.  |  | | --- | | *Note: If you select* ***YES*** *for question 5.0, when you finish the modification, all subawards transition to the* ***Subaward Review/Update Required*** *state, requiring approval before they can be activated.* |  1. Complete each page, and click **Continue**. On the final page, click **Finish**.   This creates a new award  modification in the **Draft** state that you can still edit. |
| Approve a Modification |
| 1. From the proposal workspace, click **Approve**. 2. Click **OK** the pop-up window.   The award modification moves to the **Approved** state. |
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| Close Out (Complete) an Award | |
| The purpose of the award closeout process is to close out and reconcile the award at the end of the performance period and to submit all required reports to the sponsor. Many other tasks are involved in closing out an award (see [Award Close-Out Checklist](#_Award_Close-Out_Checklist)). | |
| 3      **4**      2    1 | Prerequisites for this Task |
| * You are logged in as a role that can edit awards. * The award is in the **Active** state. |
| Find the Active Award |
| 1. Click the **Grants** tab at the top. 2. Click the **All Awards** tab and then open the award. |
| Close Out Award |
| 1. From the award workspace, click **Complete**. 2. In the pop-up window, optionally add a comment and documents, then click **OK**.   The award state changes to **Completed** and you can no longer edit the award or create modifications for it. |

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| Award Close-Out Checklist |
| A thorough close-out should be performed for all awards to help ensure financial compliance and reduce audit risk.  To ensure a thorough close-out, use the following checklist, or revise it to meet sponsor and institutional requirements. |
| * Review the terminated project/award list (end date is prior to today’s date). * Identify a project to close. * Ensure the final report or invoice has been issued (manual invoice or via an agency’s website, eRA Commons for example). * Obtain screen prints from the operating system. * Verify total award budget per the system equals the budget. * Review the expenditures for unallowable costs. * Verify fringe benefit and indirect costs. * Verify cost share and all spending restrictions have been met. * Ensure that expenditures tie to the reported and billed amounts. If no report or invoice was due, complete a reconciliation of the expenditures to ensure they are allowable. * Ensure open commitments or encumbrances are zero.  Verify whether they be carried forward to the next budget period. * Ensure cash has been received. * Verify that under expended and deficit balances have been handled appropriately. * Ensure receipt of PI and/or department agreement or concurrence. * Verify all secondary files or subawards have been reviewed. * Ensure all other end-of-award reports are completed (patent, technical, etc.). * In the Grants system, change the award state from “Active” to “Closed.” (See [Close Out Award](#_Close_Out_Award).) * File the documentation in the file folder:   + Signed copy of the checklist noting the date closed   + Screen prints and other report printouts from your operating system   + PI and/or department agreement or concurrence of final expenditures |

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