



Contracts and Grants SOP: Overview (includes Award and Proposal)

SOP Owner: Sponsored Financial Services

Version Number, Date Revised: #3, 01/2021

Date Implemented:

Approval(s): Sponsored Financial Services

Standard Operating Procedure

1. Purpose

Contracts and Grants (C&G) module supports post-award financial requirements for sponsored activity. Proposal (PRPL) and Award (AWRD) e-docs will provide project information to support effort certification routing and financial reporting, including reporting access.

The Research Administration Support System (RASS) utilized by the Office of Sponsored Programs (OSP) will continue to be the system of record for all proposals and awards. Submitted proposals will be maintained in RASS only. KFS will utilize a batch feed (i.e. integration) for systematic creation and update of awarded proposals. Once an agreement is executed, it will be created in Kuali to support post-award financial functionality and reporting. Award information will be maintained via the Award e-doc and updated as RASS records are updated.

RASS will provide project details, including agreement documentation. Project financial reporting is available Oracle dashboards, including Sponsored Financial Activity, Web Fin2, and others.

Faculty that are designated as the primary Award Project Director (Lead Principal Investigator: PI) on the Award e-doc will automatically be assigned the derived role of Principle Investigator / Account Manager (PI/AM). This role provides reporting access for all accounts associated with the award. Faculty members who are the Account Manager on an account will automatically be assigned the derived role of PI/AM, which provides reporting access for all accounts on which they are named Account Manager.

2. Scope (intended audience)

- KFS users that work with sponsored projects
- Individuals who will utilize reporting dashboards for award financial information

3. Prerequisites (Forms / Tools)

- Access to KFS and / or reporting dashboards
- Training on KFS Basics and Inquiries
- Understanding of the effort certification process / workflow
- Account e-doc SOP and tutorial



- Clarification on permissions / roles
- Cornell Business Rules

4. **University Policy** (Note: new functionality for Cornell; policy is *under analysis*.)

5. **Responsibilities**

- Award Project Director (Contract & Grant Project Director):
 - is responsible for entire project, irrespective of accounts
 - is considered the lead Principal Investigator (PI), based on the OSP and Sponsor records
 - Co-PIs (assigned by the sponsoring agency) will be designated on the award document
- Account Project Director (Award Project Director)
 - is the Project Director (PD) associated with the account on AWRD e-doc
 - will approve Effort Certification (not utilized at Cornell)
 - is the Account Manager (as designated on the account)
 - is the PI, Co-PI, Team Lead, or other individual having oversight responsibility for effort certification
- Department Administrators
- Business Service Centers / Financial Transaction Centers
- Central
 - C&G Award Workgroup (i.e., Sponsored Financial Services)

6. **Procedure**

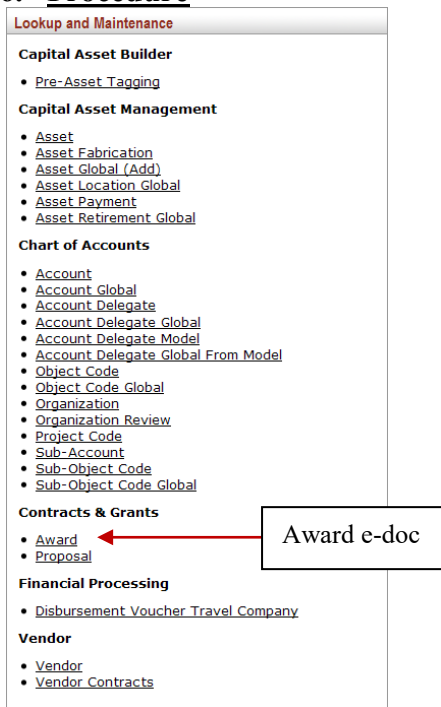




Figure 1 – Contracts & Grants, Lookup and Maintenance e-docs

Award Lookup

Proposal Number: <input type="text"/>	Agency Number: <input type="text"/>
Award Document Number: <input type="text"/>	Fund Manager Principal Name: <input type="text"/>
Total Amount: <input type="text"/>	Start Date From: <input type="text"/>
Start Date To: <input type="text"/>	Stop Date From: <input type="text"/>
Stop Date To: <input type="text"/>	Last billed date from: <input type="text"/>
Last Billed Date To: <input type="text"/>	Project Title: <input type="text"/>
Grant Number: <input type="text"/>	Grant Description: <input type="text"/>
Status: <input type="text"/>	Pass Through Agency Number: <input type="text"/>
Purpose: <input type="text"/>	Subcontractor Number: <input type="text"/>
Project Director Principal Name: <input type="text"/>	Organization Code: <input type="text"/>
Award Account Number: <input type="text"/>	Billing Frequency: <input type="text"/>
Exclude from Invoicing: <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Both	Additional Forms Required: <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Both
Additional Forms Description: <input type="text"/>	Minimum Invoice Amount: <input type="text"/>

Figure 2 – Award Lookup (A tutorial that demonstrates “Lookup” functionality is available.)

Award lookup allows you to search for information in KFS pertaining to the award. The Proposal number is the Award number and is also the OSP number. The Award e-doc (Document Type AWRD) is systematically created and updated from the system of record, RASS. The proposal is created in KFS only to support the Kuali business rules. The proposal record is not generally referenced in KFS.



	EXPAND ALL	COLLAPSE ALL
DOCUMENT OVERVIEW		▼
AWARD MAINTENANCE		▼
ACCOUNTS		▼
PROJECT DIRECTORS		▼
FUND MANAGERS		▼
ORGANIZATIONS		▼
INVOICING		▼
SUBCONTRACTORS		▼
NOTES AND ATTACHMENTS (0)		▼
AD HOC RECIPIENTS		▼
ROUTE LOG		▼

Figure 3 – Award e-doc

The Award document includes its own unique tabs: Award Maintenance, Accounts, Project Directors, Organizations, and Subcontractors, in addition to the standard tabs.

Note: after entering information in individual tabs, select the **add** () button. (applies to Accounts tab, Project Directors tab, Organizations tab, and Subcontractors tab.)

Award Maintenance tab contains basic information identifying the project, including information on the sponsoring agency, project dates, funding, and purpose.

All agreement attributes are consistent with the RASS application.

Table 1 Award Maintenance tab: field definitions

Field Name *Description (* indicates a required field)*

-Bolded Items reflect reporting implications-

Proposal Number	* Search for the associated proposal number from the proposal lookup. In KFS, proposal number is the OSP number.
Status	As determined by OSP
Agency Number	* The number that uniquely identifies an external funding agency.
Agency Name	Official, full title of the potential funding agency. (System generated based on agency number.)
Project Title	* Official project name.
Start Date	* The date on which the project is to begin.



Stop Date	* The date on which the project is anticipated to end
Budget Start Date	The date on which the project is to begin, or the budget period begins. Start date of the project.
Budget Stop Date	The date on which the obligated budget period is to end (Note: budgeted period expiration will be designated as the expiration date of the Contract Control Account.)
Direct Cost Amount	* Cornell will be placing the anticipated direct costs for this field.
Indirect Cost Amount	* Cornell will be placing the anticipated indirect costs for this field.
Total Amount	Display only. Displays the total dollar amount, calculated from Direct Cost Amount + Indirect Cost Amount.
Budget Total Amount	This is the obligated budget, the total funding authorized to date.
Entry Date	* The date that this award is entered into the system. This will be the date that the batch creates the Award record from RASS.
Close Date	Display only; system generated. Functionality not used at Cornell
Agency Future 1 Amount	<i>Cornell is not utilizing this field at this time.</i>
Agency Future 2 Amount	<i>Cornell is not utilizing this field at this time.</i>
Agency Future 3 Amount	<i>Cornell is not utilizing this field at this time.</i>
Award Type	Integrated with Kualu using batch feed from RASS. S-RASS:
Grant Number	Unique number assigned by an external agency for a specific contract or grant. Not all agencies assign grant numbers, but if available, is an identifier for a particular award.
Grant Description	* Code that describes the type of award: contract, grant, cooperative agreement, etc.
Addendum Number	A number that may be assigned to identify an addendum. <i>Cornell is not utilizing this field at this time.</i>
Award Type	* Type of award being made: EZRA. Indicates that the system of record is EZRA.
Purpose	* The nature of work to be completed; i.e., the function. (Research, Public Service, etc.)
Federal Funded Amount	Cornell is not utilizing this attribute
Federal Pass Through	Check box selected indicates that this award involves federal pass through funds. Note: federal agency awards money to the non-federal granting agency, which in turn is passed along to Cornell through an award



Pass Through Agency Number	The code to uniquely identify the agency from which the funding originates.
Pass Through Agency Name	Display only. The originating agency of any federal pass-through funds for this award. System generated, and updatable only upon a change in the Federal Pass Through Agency Number.
Prime Agreement Number	Unique number assigned by the prime agency for a specific contract or grant. Not all agencies assign grant numbers
Federal Pass Through Funded Amount	Dollar amount identified as federal pass-through funds for the award.
Allocated University Computing Services Amount	Cornell is not utilizing this attribute
Addendum Number	Cornell is not utilizing this attribute
Letter of Credit Fund Group	The Letter of Credit (LOC) identifier used for applicable federal cash draws.
Letter of Credit Account ID #	Account number assigned by the sponsoring agency and associated with the Letter of Credit Fund Group Code.
Award Document Number	Cornell is not utilizing this attribute
Agency Analyst Name	Cornell is not utilizing this attribute
Agency Analyst Number	Cornell is not utilizing this attribute
Cost Share Required	Flag to indicate whether or not cost share is required. EZRA and the agreement documentation will indicate the matching requirements.
Final Financial Report Due	Flag to indicate whether or not a final financial report is required. A final report may be either an invoice or financial report; if checked, box will indicate Yes .
Final Financial Report Due Date	Date that final financial report is due. Per Cost Transfer policy, all financial activity should be complete within 30 days of financial report due date.
Active Indicator	Checked if award is active. An Award will be inactivated when all financial activity is complete; the project is financially balanced and all financial deliverables are submitted.



Accounts tab

Accounts tab must be completed to reference at least one account number housing the funds for this award. Multiple accounts may be associated with one award.

Table 2 Accounts tab: field definitions

Field Name Description (indicates a required field)*

-Bolded Items have access implications-

Chart of Accounts Code	* Code for the chart that should be associated with the account that houses the award fund.
Account Number	* Enter the account number(s) that is associated with the Award. This will include the Contract Control Account and all associated accounts (i.e. project related accounts.) A default account, AWDACCT, will be associated with the award upon creation from the RASS integration.
Account Name	Display only; after an account is selected, the name of the account populates automatically.
Project Director (PD) User ID	* Enter NetID of the Account Project Director responsible for this account. If multiple project directors are involved in the award, each may require a separate account that represents their portion of the project. <i>Best Practice recommendation:</i> Project Director for the account will be the Account Manager, or is the individual responsible for effort certification.
Director Name	Display only; system-generated based on NetID of Project Director: first and last name.
Purchase Order Number	Refer to the Contract & Grant Billing – Process Narrative
Active Indicator	Accounts that are active will present in the dashboard. All account associated with a project are viewable by the lead PI. <i>Only accounts associated with awards in error should be inactive.</i>

Project Directors tab

Project Directors tab identifies the individual(s) responsible for the direction of the project; this is the C&G Award Project Director(s). Each award must have at least one primary C&G Award Project Director assigned. Multiple Project Directors can be associated with the same award, but only one can be the primary Project Director.

Table 4 Project Directors tab: field definitions

Field Name Description (indicates a required field)*

-Bolded Items have access implications-



Business Rules for KFS C&G e-docs.

Business rules, below, apply to setting up an award, which is limited to central use, only.

- A proposal number must be entered and also must exist in the Proposal table.
- A status code must be entered / selected.
- An agency must be entered / selected.
- Entry of a project title is required. Enter the title as listed on sponsor forms.
- Start and stop dates are required. The stop date cannot be earlier than the start date (it can be the same, though).
- The direct cost amount is required. \$0 is acceptable. (Cornell’s Project Amount)
- The indirect cost amount is required. \$0 is acceptable. (Not using this field)
- An entry date is required.
- A grant description code is required.
- An account number is required.
- Entry of at least one project director is required on both the Accounts tab and on the Project Directors tab.
- A chart / org is required.

Workflow

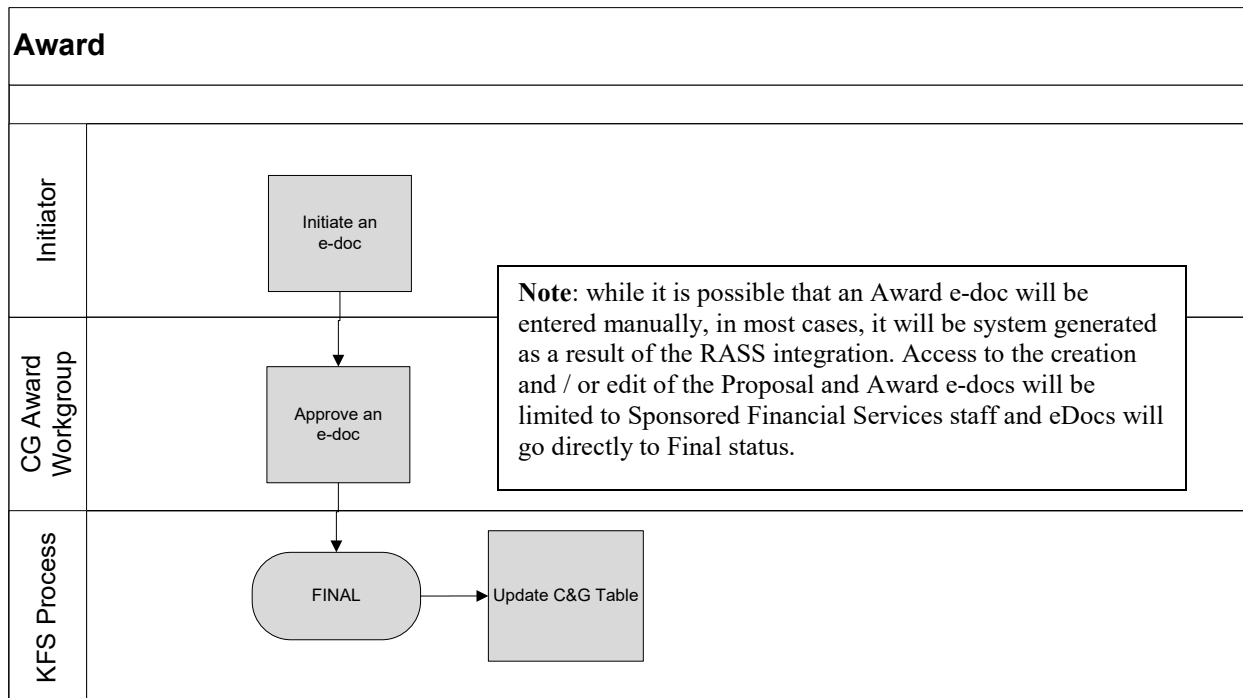


Figure 4 – Workflow

7. Definitions



[KFS at Cornell Glossary](#)

[KFS Acronym Glossary](#)

8. **References**

[KFS Information](#)

[Research Administration Support System](#) – Guide

[Research Administration Support System](#) - Application