Purpose

PNT is responsible for reviewing, assessing the risk, and making approval decisions for all at-risk requests received from units. Approved requests are routed to AMT for processing. In general, standard processing work instructions for new award set-up and modification processing will be followed; however, this job aid will identify standard exceptions for AMT GCOs to use while processing all at-risk scenarios and making award and account Smart Form (SF) entries in ERA.

Table of Contents

Pre-Award At-Risk Setup
  STEP 1: Verification
  STEP 2: Exceptions for Completing Account Smart Form Entries
  STEP 3: Exceptions for Completing Award Smart Form Entries
Processing a Modification to Remove Pre-Award At-Risk
  STEP 1: Exceptions for Completing Award Modification Smart Form Entries
  STEP 2: Exceptions for Completing Account Update Smart Form Entries
Processing a Modification to Add Post-Award At-Risk
  STEP 1: Exceptions for Completing Award Modification Smart Form Entries
  STEP 2: Exceptions for Completing Account Update Smart Form Entries
Processing a Modification to Remove Post-Award At-Risk
  STEP 1: Exceptions for Completing Award Modification Smart Form Entries
  STEP 2: Exceptions for Completing Account Update Smart Form Entries

Pre-Award At-Risk Setup

When a pre-award at-risk request is approved, the proposal state will change to one of the following:

- Agreement Under Review & At-Risk Activation Approved
- Approved for At-Risk Activation

Proposals in these states will populate on the AMT Task List tab of the Proposals site in ERA. AMT students review this tab twice daily and complete the New Funding Award action to create an Award (AWD) site. Standard new award setup work instructions apply, with the following exceptions.

STEP 1: Verification

Full verification is still required for a pre-award at-risk award setup, however not all award elements may be known at the time.

Budget, At-Risk Period and F&A Reviews

The AMT GCO is required to review the Pre-Award At-Risk Request Form to verify the approved at-risk period and funding. The requested duration of the at-risk period will normally be limited to 3 months, and the requested budget will be limited to 25% of the anticipated budget, unless an approved exception has been documented by PNT. The requested at-risk budget does not have to be a standard 25% proration of the anticipated budget categories; the PI/Unit has the discretion to request funding in categories required to begin appropriate startup activities. However, the F&A rate used should match the proposal F&A rate, reviewing for F&A waivers as appropriate, and the requested at-risk budget cannot request funds in a budget category not originally included in the proposed budget.

EXAMPLE: If the proposal budget did not include a request for capital equipment or foreign travel,
the at-risk form cannot include budget to be loaded into those budget categories. An at-risk form is not the appropriate time for a unit to be requesting re-budgets.

While not impossible, it is unusual for proposed subawards to be included in a pre-award at-risk request. Subawards introduce additional risk to the use of university funds to guarantee pre-award activities and should only be included in exceptional circumstances. Senior management approval is usually required for such exceptions.

**Compliance Special Reviews**

ORIA monitors, reviews, and approves compliance for regulated aspects of sponsored projects. The same restrictions apply to a pre-award at-risk award setup as a normal award setup. Award setup should be held until all compliance review items have been completed/resolved or an exception has been approved by ORIA allowing AMT to proceed.

**STEP 2: Exceptions for Completing Account Smart Form Entries**

If the New Funding Award action was completed by a student worker and the AMT GCO is continuing the pre-award at-risk setup, begin with the account setup.

If the New Funding Award action is being completed by the AMT GCO, please skip to STEP 3 and follow the steps for creating the new award first. At a minimum, Award SF 1.0 must be completed to create the ERA AWD ID which is required to create an account.

**Create Account**: Select the Create Account action from the AWD workspace.

**SF 1.0 – Account Setup Information**

**Q4.0 – P.O. Number**: Enter “At-Risk” in this field

**Q10.0 – Account Start Date**: Enter the start date of the at-risk period.

**Q11.0 – Account End Date**: Enter one day after the start date.

**Q12.0 – ASU End Date**: Date of the approved-at risk period; At-Risk is reason.

**Q14.0 – Method Selection**: Select “Preactivation – No Payment request on pre-award funding”
SF 2.0 – Additional Information – No special instructions for this form.

SF 3.0 – F&A Cost Information – No special instructions for this form.

Continue Award Setup: Return to the AWD workspace after completing the account setup.

STEP 3: Exceptions for Completing Award Smart Form Entries

All SFs are required, and all questions should be completed with the information available or known. These standardized at-risk entries should be used when identified as required in this job aid or when information is unknown:

SF 1.0 – Award Setup:

Q3.0 – Sponsor Point of Contact: If known, enter contact here. If unknown, filter by “Organization” and search “Unknown” during the Select Person process. A TBD entry can be used as a placeholder until the point of contact has been identified.

Q6.0 – Originating Award Number: If there is an originating/prime sponsor on the award and the Originating Award Number is known, enter it here. If unknown, enter “UNKNOWN” until the correct number is identified.

Q8.0 – Sponsor Award Number and CFDA:

- **Sponsor Award Number**: Enter “At-Risk” as the sponsor award number.
- **If Federal enter CFDA**: If the sponsor or originating/prime sponsor is federal, a CFDA number is required. If unknown, enter the CFDA number prefix, the first two digits of the sponsor’s CFDA number, along with CNT (for contracts) or RD (for research proposal types). **EXAMPLE: 98.CNT**. Search for sponsor listings at https://alpha.sam.gov/search?index=cfda.

Q9.0 – Award Dates and ASU End Date/Reason:

- **Award Start Date**: Enter the start date of the at-risk period.
- **Award End Date**: Enter one day after the start date.
- **ASU End Date**: Enter the end date of the approved at-risk period.
- **ASU End Date Reason**: Select “At-Risk” from the drop-down box.

Q10.0 – Approved for At-Risk: Select “Yes” for approved for at-risk.

Note: Additional calculated fields will appear when “Yes” is selected. These fields will later be populated based on your at-risk funding entries made on Funding/Budget Allocations. For now,
they will show as $0.00 or blank and are operating as expected.

**SF 2.0 – Project Information**

**Q3.0 – Obligated Expiration Date:** Enter the same date that had been entered for Q9.0 Award End Date on SF 1.0 (one day after the start date).

**SF 2.1 – Additional Award Details** – No special instructions for this form.

**NOTE:** After the award is activated, Q2.0 Billing Limit Override should still show $0.00 since at-risk funding will not be billed to the sponsor.

**SF 3.0 – Funding Proposals** – No special instructions for this form.

**SF 4.0 – Terms and Conditions** – No special instructions for this form.

**SF 5.0 – Authorized Award Budget**

**Create/Edit Authorized Award Budget Allocations:** If a budget allocation has been created from the proposal, select Update for the first period allocation. If no allocations were created, select Add to create a new allocation.

**Funding Allocation Pop-Up Window:** An at-risk budget allocation should be created with the following entries.

**Q1.0 – Name:** “At-Risk” should be present in the name of the allocation.

**Q4.0 – Start Date:** Start date of the approved at-risk period.

**Q5.0 – End Date:** Enter same date entered for Q10.0 Award End Date on SF 1.0 and SF 2.0 Q3.0.

**Q7.0 – Sponsors Award ID:** This should auto-fill from SF 1.0 with "At-Risk".

**Q8.0 – Period Number:** “1”

**Q9.0 – Authorized:** Select “Yes”

**Direct:** Enter the direct cost portion of the at-risk approved funding.

**F&A:** Enter the F&A portion of the at-risk approved funding.

**Total:** This is a calculated field.
At-Risk Setup/Removal Job Aid

At-Risk Direct: Enter the direct cost portion of the at-risk approved funding.
At-Risk F&A: Enter the F&A portion of the at-risk approved funding.
At-Risk Total: This is a calculated field.
At-Risk Effective Date: Start date of the approved at-risk period.

Q10.0 – Select Account: Add the account that has been set up for the at-risk period.
If an account has not been set up yet, please review STEP 2.
NOTE: For pre-award at-risk awards, it is expected the normal funding entries and at-risk funding entries will be equal since no sponsor funds have been authorized yet.

SF 5.1 – Budget Reconciliation – No special instructions for this form.
SF 6.0 – Lead Unit Investigator Allocations – No special instructions for this form.
SF 7.0 – Special Review – No special instructions for this form.
SF 8.0 – Completed Award – No special instructions for this form.

Deliverable Schedule
No deliverable schedule should be created for awards in At-Risk status.

Activation
Once all special reviews are completed and no other issues exist, select the Activate action from the Award workspace, which activates the award and associated account(s).

Other Notes

Award Workspace At-Risk Indicators: An award with at-risk funding authorized is easily recognizable from the Award Workspace due to the red at-risk banner.

Accounts

The budget information of the award workspace will display the at-risk total.

SF 1.0 – Award Setup: After an at-risk budget allocation has been created with at-risk funding, and saved, these fields will update as seen below.
SF 5.0 – Create/Edit Authorized Award Budget Allocations: On the budget allocation smart form, the allocations will be totaled, with the calculations updating after a form save, including an at-risk funding total. There is also a column showing the total of at-risk funding associated with a budget allocation.

Processing a Modification to Remove Pre-Award At-Risk

When processing a modification to release pre-award at-risk funding, it is important to review all SFs and prior entries to ensure the executed award information has been updated properly, as the number of fields that were left blank or as “Unknown” will vary from award to award.

STEP 1: Exceptions for Completing Award Modification Smart Form Entries

Award Modification Request – No special instructions for this form.
AMT Review – No special instructions for this form.

SF 1.0 – Award Setup

Some common fields that may require update during this type of modification include:

- Q3.0 – Sponsor Point of Contact
- Q6.0 – Originating/Prime Award Info
- Q8.0 – Sponsor Award Number, CFDA

These fields will require updates every time this type of modification is processed:

- Q9.0 – Award End Date: Enter the award end date from the award notice.

- Q9.0 – ASU End Date and End Date Reason:
  - ASU End Date: Clear the ASU End Date entry.
  - ASU End Date Reason: Field will disappear when ASU End Date is cleared.

- Q10.0 – Approved for At-Risk: Leave as “Yes”; this field will change to ”No” when the modification is completed, and the red at-risk banner will no longer be displayed on the award.

SF 2.0 – Project Information

Some common fields that may require update during this type of modification include:

- Q2.0 – Total Anticipated Direct Cost
- Q2.0 – Total Anticipated F&A Cost
- Q5.0 – Does this Award include Cost Share?

These fields will require updates every time this type of modification is processed:

- Q3.0 – Obligated Expiration Date: Enter the obligated end date from the award notice.
SF 2.1 – Additional Award Modification Details – No special instructions for this form.

SF 3.0 – Funding Proposals – No special instructions for this form.

SF 4.0 – Terms and Conditions – No special instructions for this form.

SF 5.0 – Authorized Award Budget

**Edit Award Allocations:** Locate the budget allocation(s) with at-risk budget dollars. You will need to “Add” a funding action for each allocation that requires an update.

**Add or Update Funding Action Pop-Up Window:** Update any entries required to match the award notice. At a minimum, update the following entries.

**Q2.0 – Funding Allocation Name:** Remove “At-Risk” from the name field.

**Q6.0 – End Date:** Enter the obligated end date from the award notice.

**Q9.0 – Sponsor Award ID:** Enter the award ID from the award notice.

**Q10.0 – Authorized:** Select “Yes”

**Q10.0 – Enter the Awarded Direct and F&A amounts for this period:**

- **Direct:** Enter the direct cost obligated by the award.
- **F&A:** Enter the F&A portion obligated by the award.
- **Total:** This is a calculated field.

Specify At-Risk information below and include in Award amounts above:

**At-Risk Direct:** Clear the At-Risk Direct entry.
**At-Risk F&A:** Clear the At-Risk F&A entry.
**At-Risk Total:** This is a calculated field.
**At-Risk Effective Date:** Clear the At-Risk Effective Date entry.

SF 5.1 – Budget Reconciliation – No special instructions for this form.

**Completed Award Modification** – No special instructions for this form.
Continue Account Update: Navigate to the Account Workspace and proceed to **STEP 2**.

**STEP 2: Exceptions for Completing Account Update Smart Form Entries**

To access the Account smart forms in Edit mode, you must first run the Update Account activity:

**SF 1.0 Account Setup Information**

Update all fields as appropriate; at a minimum, these fields will need to be updated:

- **Q3.0 – Name:** If “At-Risk” had been added to the account name, please remove.
- **Q4.0 – P.O. Number:** Clear “At-Risk”, either leave blank or add number from award.
- **Q11.0 – Account End Date:** Enter the obligated end date from the award notice.
- **Q12.0 – ASU End Date:** Confirm the date and reason fields were emptied during the award modification process; clear the data if necessary.
- **Q14.0 – Method Selection:** Select the appropriate billing method according to the instructions provided in the award notice.

**SF 2.0 – Additional Information** – No special instructions for this form.

**SF 3.0 – F&A Cost Information** – No special instructions for this form.

**Continue Award Modification**

Return to the Award Workspace after completing the Account updates.

**NOTE**: If any new accounts were created during the modification process, these will need to be manually activated before completing the modification or they will not feed to Workday.

**Deliverable Schedule**

**IMPORTANT**: Add a deliverable schedule since one was not created during Pre-Award at-risk setup.

**Complete Modification**

Once all updates are completed and no other outstanding issues exist, select the Complete action from the left side of the Modification workspace.

**Funding Proposal**

Run the “At-Risk Closed” activity on the associated FP site, so the state of the site changes from “Awarded and At-Risk Activation Approved” to “Awarded”

**Processing a Modification to Add Post-Award At-Risk**

These steps outline exceptions to the normal modification process when adding at-risk time and/or funding to an existing award via the Award Change Request process.
STEP 1: Exceptions for Completing Award Modification Smart Forms

Award Modification Request
This form will already have been completed by the unit RA for PNT to review and approve the request. Make updates as appropriate.

AMT Review – No special instructions for this form.

SF 1.0 – Award Setup

Q9.0 – ASU End Date and ASU End Date Reason:
ASU End Date: Enter the end date of the approved at-risk period.
ASU End Date Reason: Select “At-Risk” as the reason.

Q10.0 – Approved for At-Risk: Select “Yes”, the additional at-risk fields will appear.

SKIP the following SFs:
SF 2.0 Project Information
SF 2.1 Additional Award Modification Details
SF 3.0 Funding Proposals
SF 4.0 Terms and Conditions

SF 5.0 – Authorized Award Budget

Edit Award Allocations: Locate the budget allocation(s) that require at-risk time and/or budget dollars. You will need to “Add” a funding action for each allocation that requires an update. If the budget allocation does not exist, “Add” a new allocation.

OPTION 1: Adding At-Risk Time and Budget to an Existing Allocation

Add or Edit Funding Action Pop-Up Window: Update any entries required to add at-risk time and budget to an existing allocation. At a minimum, update the following:

Q6.0 – End Date: Leave as existing obligated end date, ASU end date is updated on SF 1.0.

Q10.0 – Enter the Awarded Direct and F&A amounts for this Period:

Direct: Add the direct portion of the at-risk approved funding to the existing direct budget already authorized on the allocation.
F&A: Add the F&A portion of the at-risk approved funding to the existing F&A budget already authorized on the allocation.
Total: This is a calculated field.
Specify At-Risk information below and include in Award amounts above:

**At-Risk Direct:** Enter only the direct portion of the at-risk approved funding.
**At-Risk F&A:** Enter only the F&A portion of the at-risk approved funding.
**At-Risk Total:** This is a calculated field.
**At-Risk Effective Date:** Start date of the approved at-risk period.

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**OPTION 2: Adding At-Risk Time and Budget to a New Allocation**

**Funding Allocation Pop-Up Window:** An at-risk budget allocation should be created with the following entries.

**Q1.0 – Name:** "At-Risk" should be present in the name of the allocation.

- Name:
  
  Award Period 2 - At-Risk

**Q4.0 – Start Date:** Start date of the approved at-risk period.

- Start Date:
  
  9/1/2020

**Q5.0 – End Date:** One day after start date.

- End Date:
  
  9/2/2020

**Q8.0 – Period Number:** Select an appropriate number for the period being added.

**Q9.0 – Authorized:** Select "Yes"

**Q9.0 – Enter the Awarded Direct and F&A Amounts for this Period:**

- Direct: Enter the direct cost portion of the at-risk approved funding.
- F&A: Enter the F&A portion of the at-risk approved funding.
- Total: This is a calculated field.

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Specify At-Risk information below and include in Award amounts above:

**At-Risk Direct:** Enter the direct cost portion of the at-risk approved funding.
**At-Risk F&A:** Enter the F&A portion of the at-risk approved funding.
**At-Risk Total:** This is a calculated field.
**At-Risk Effective Date:** Start date of the approved at-risk period.
Select Account: Add the account that has been setup for the at-risk period. If an account has not been set up yet, please review STEP 2.

SF 5.1 – Budget Reconciliation – No special instructions for this form.
Completed Award Modification – No special instructions for this form.
Continue Account Update: Navigate to the Account Workspace and proceed to STEP 2.

STEP 2: Exceptions for Completing Account Update Smart Form Entries

OPTION 1: Adding At-Risk Time and Budget to an Existing Account

To access the Account smart forms in Edit mode, you must first run the Update Account activity.

SF 1.0 – Account Setup Information

Update all fields as appropriate, at a minimum, these fields will need to be updated:

Q12.0 – ASU End Date: Confirm the date and reason fields were updated during the award modification process, add the data if necessary.

SF 2.0 – Additional Information – No special instructions for this form.
SF 3.0 – F&A Cost Information – No special instructions for this form.

OPTION 2: Adding At-Risk Time and Budget to a New Account

Create Account: Select the Create Account action from the Award Workspace.

SF 1.0 – Account Setup Information

Q4.0 – P.O. Number: Enter “At-Risk” in this field

Q10.0 – Account Start Date: Enter the start date of the at-risk period.
**At-Risk Setup/Removal Job Aid**

**Q11.0 – Account End Date:** Enter one day after the start date.

**Q12.0 – ASU End Date:** Enter the end date of the approved at-risk period.

**Q12.0 – ASU End Date Reason:** Select “At-Risk” from the drop-down box.

**SF 2.0 – Additional Information** – No special instructions for this form.

**SF 3.0 – F&A Cost Information** – No special instructions for this form.

**Continue Award Modification**

Return to the Award Workspace after completing the Account updates.

**Complete Modification**

Once all updates are completed and no other outstanding issues exist, select the Complete action from the left side of the Modification workspace, which processes all award changes back to the award.

**NOTE:** If any new accounts were created during the modification process, these will need to be manually activated before completing the modification or they will not feed.

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**Processing a Modification to Remove Post-Award At-Risk**

These steps outline exceptions to the normal modification process when removing post-award at-risk time and/or funding that had been applied to an existing award. This process has similarities to processing a modification to remove Pre-Award at-risk, however, it should involve fewer updates.

**STEP 1: Exceptions for Completing Award Modification Smart Form Entries**

**Award Modification Request**

This form will already have been completed by the unit RA for PNT to review and approve the request. Make updates as appropriate.

**AMT Review** – No special instructions for this form.

**SF 1.0 – Award Setup**

These fields will require updates every time this type of modification is processed:

- **Q9.0 – Award End Date:** Enter the award end date from the award notice. Clear the ASU End Date and ASU End Date Reason.

- **Q10.0 – Approved for At-Risk:** Leave as “Yes”; this field will change to “No” when the modification is completed, and the red at-risk banner will no longer be displayed on the award.

**SF 2.0 – Project Information**

- **Q3.0 – Obligated Expiration Date:** Enter the obligated end date from the award notice.

**SF 2.1 – Additional Award Modification Details** – No special instructions for this form.
SF 3.0 – Funding Proposals - No special instructions for this form.
SF 4.0 – Terms and Conditions – No special instructions for this form.
SF 5.0 – Authorized Award Budgets

Edit Award Allocations: Locate the budget allocation(s) with at-risk budget dollars. “Add” a funding action for each allocation that requires an update.

Add or Edit Funding Action Pop-Up Window: Update any entries required to match the award notice. At a minimum, update the following entries.

- Q2.0 – Funding Allocation Name: Remove “At-Risk” from the name field.
- Q6.0 – End Date: Enter the end date from the award notice.
- Q9.0 – Sponsors Award ID: Enter the award ID from the award notice.
- Q10.0 – Enter the Awarded Direct and F&A Amounts for this Period:
  - Direct: Enter the direct cost portion obligated by the award.
  - F&A: Enter the F&A portion obligated by the award.
  - Total: This is a calculated field.

Specify At-Risk information below and include in Award amounts above:

- At-Risk Direct: Clear the At-Risk Direct entry.
- At-Risk F&A: Clear the At-Risk F&A entry.
- At-Risk Total: This is a calculated field.
- At-Risk Effective Date: Clear the At-Risk Effective Date entry.

SF 5.1 – Budget Reconciliation – No special instructions for this form.
Completed Award Modification – No special instructions for this form.

Continue Account Update: Navigate to the Account Workspace and proceed to STEP 2.

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STEP 2: Exceptions for Completing Account Update Smart Form Entries

To access the Account smart forms in Edit mode, you must first run the Update Account activity:

**SF 1.0 – Account Setup Information**

The following steps may vary depending on whether a new account had been set up for the at-risk funding or if the at-risk funding was added to an existing account. Update all fields as appropriate, at a minimum, these fields will need to be updated:

- Q3.0 – Name: If “At-Risk” had been added to the account name, remove.
- Q4.0 – P.O. Number: Clear “At-Risk”, either leave blank or add number from award.
- Q11.0 – Account End Date: Enter the end date from the award notice.
- Q12.0 – ASU End Date: Confirm the date and reason fields were emptied during the award modification process, clear the data if necessary.
- Q14.0 – Method Selection: Ensure the appropriate billing method is selected according to the instructions provided in the award notice.

**SF 2.0 – Additional Information** – No special instructions for this form.

**SF 3.0 – F&A Cost Information** – No special instructions for this form.

Continue Award Modification
Return to the Award Workspace after completing the Account updates.

**Deliverable Schedule**

**IMPORTANT:** Update the deliverable schedule since this had not been done during the post-award at-risk extension.

**Complete Modification**

Once all updates are completed and no other issues exist, select the Complete action from Modification workspace, which processes all award changes.

**Funding Proposal**

If the funding tied to an award modification is under a new proposal site, run the “At-Risk Closed” activity on the associated FP site, so the state of the site changes from “Awarded and At-Risk Activation Approved” to “Awarded”