PURPOSE

To document the steps required of the Award Management Team (AMT) to manage emails received in the notifications@asu.edu inbox. Most emails come from three sources:

- Public inboxes ASU.Awards@asu.edu and Awards.Management@asu.edu – award notices and award amendments
- ERA Agreements generated emails titled, "ERA Agreements – Executed Award Notification (EAN)"
- Unit Research Advancement (RA) Staff - general inquiries about previously activated tasks, as well as Award Change Requests for Awards with Fiscal Delegates.

NOTIFICATIONS MONITORING SCHEDULE

AMT student staff manage the Notifications inbox; Student supervisors are responsible for oversight. If the student supervisors are out of office, or additional coverage is needed, AMT has instituted the team-assist schedule below. Student supervisors should notify AMT staff team leads prior to being out of office to identify coverage.

Team 1	Team 2	Team 3
March	February	January
June	May	April
September	August	July
December	November	October

TOOLS AND RESOURCES

- Access to Notifications inbox: Outlook > Public Folders > All Public Folders > Departments > Research Administration > ORSPA Awards Management > Notifications@asu.edu. Add this folder to Favorites:
    - Right click on folder and select "Add to Favorites"
    - Select "Options>>"
    - Select "Add subfolders of this folder" (Add all subfolders) and "Automatically add new subfolders" (Add all subfolders) and click "Add"
- Award Management Team (AMT) FAQ Page
- Access to ERA (All Staff)
- Access to RA SharePoint (SP) (RA Staff)
- Access to AMT O365 (AMT Staff)

PROCESS

1. Create Outlook Category code assignments based on the following criteria:
    - **Activations: (Orange)** - Create or update Verification task or Award Change Request
    - **AMT – Forward (Olive)** – Forward to AMT GCO
    - **CMT – Forward (Dark Olive)** –Forward to cashmanagement@asu.edu

  - **PNT – Forward (Purple)** – Forward to PNT GCO or run "Notify PNT" action in ERA
  - **No Action (Steel)** – No action required
  - **Hold (Blue)** – Needs more information before task can be established
  - **Subawards (Yellow)** – Forward to subawards@asu.edu
  - **Urgent: (Red)** – Contact supervisor or team overseeing inbox for action
  - **AMT AD (Dark Red)** –Items that require AMT Assistant Director attention

2. Open Notifications inbox in Outlook (refer to Tools and Resources for inbox location).
3. Within inbox, work in order from oldest to newest. If multiple staff are managing the inbox at concurrent times, flag name first to avoid duplication of efforts.
4. Review email content to identify proposal or award. See chart below for identifying tips.
5. For emails that do not fit any of the below categories, flag for supervisor review.

Email Content	**Identifying Tip**
ERA Agreements – EAN	Includes links to the ERA Agreements and ERA Proposals workspace with information needed for the AMT GCO to establish and administer account(s). When this email is received in Notifications, ERA updates the ERA Agreement workspace state to "Executed/Awarded" and the ERA proposal workspace to "Awarded." The fully executed award for setup can be retrieved two ways within ERA: 1. Select the link to the "Agreement Task ID" and access the "Attachments" tab under "Final Documents" 2. Select the link to the "Funding Proposal ID" and access the "Notes to AMT" tab under "Agreement Finalized" For questions, contact the GCO Agreement Reviewer located on the ERA Proposal workspace Project Information tab
ASU Sponsored Grant Account Number	Typically, emails that reference an ASU grant account number means an active award exists; therefore, ERA should be used to locate the award.
Proposal Number	When a proposal number is provided, ERA should be used to locate the proposal. Once the proposal is located, ERA should be used to determine if any accounts have been set up to fund the proposal.
Sponsor Award Number	First, search for the Sponsor Award Number in the ERA Module. If nothing appears, use other identifying information, such as project title or PI name, in ERA Awards or ERA Proposals.

6. Once proposal or award information is known, review email and documents to determine the action(s) requested.
   6.1. Reviewing a Proposal: Has a proposal been fully reviewed by PNT? There are 2 ways to find out if a proposal has been fully reviewed by PNT or OIRC – (1) Access the

report Proposals Submitted with No Review and search by FP Number in the Find field. If nothing is found, the proposal is fully reviewed or (2) Click "The PNT has updated the review status" button in the History section of the ERA Workspace.

6.2. If the proposal is NOT fully reviewed, contact assigned GCO by running the ERA Activity "Notify PNT" asking that they complete their full institutional review of the proposal and continue.

7. Refer to the table below for the processing of standard award items.

Email Content	**Required Action(s)**
Pre-Award At-Risk Approval New Funding Award	For pre-award at-risk requests on ERA proposals, approvals are documented in ERA. Twice daily, AMT Students review the ERA AMT Task List and set up verification tasks for any new approvals that appear on the list. Approvals also come via email from PNT GCO staff. For FP sites in "Approved for At-Risk Activation Status": 1. Run "New Funding Award" activity on proposal site 2. Fill out Smart Form (SF) 1.0. Most items will auto-fill from the proposal, but the below items will need to be addressed: a. 1.0 – Mark as RUSH b. 9.0 – Sponsor Award Number – use "At-Risk" c. 10.0 –Start and End Dates d. 11.0 – Upload the approved at-risk form e. Click "Save" then "Continue" f. Once on SF 2.0, document the new ERA Award number (AWD ID), then click "Exit" 3. Locate the new ERA Award if not already in the Award workspace. a. Click on "Manage Tasks" b. Click on the "Verification Task" c. Change type to "At-Risk" d. Assign the Award Setup GCO to the task e. In Task Description, add date, initials, PI, sponsor, and any applicable notes f. Click "OK" twice to finalize task changes
ERA Agreements – EAN – New Award – No AWD ID New Funding Award	1. Determine if an award (AWD) ID already exists (i.e. at-risk award was previously set up). If AWD exists, and EAN contains a new award, see ERA Agreements – EAN – New Award – Existing AWD ID. If no AWD ID exists, move to Step 2. 2. Run "New Funding Award" activity on the awarded proposal site. a. Note: If the proposal site is in a submitted state and has a banner that says "Department Reviews Incomplete" then run "Email RA" activity and ask unit to complete department reviews before awarding FP site and creating New Funding Award. Hold email in inbox until resolved. 3. Fill out Smart Form (SF) 1.0 for the New Award. Most items will Auto-Fill from the proposal, but the below items will need to be addressed:

	a. 1.0 – Mark if this is a RUSH setup (Payroll, Hiring, Subaward, etc.) b. 9.0 – Sponsor Award Number (Type "TBD" if it is not readily identifiable) c. 10.0 – Award Start and End Dates. (Make sure the end date is AFTER the start date) d. 11.0 – Upload the award documents e. Click "Save" and then "Continue" f. Once on SF 2.0, document the new ERA Award number, then click "Exit" 4. Create new award folder in the SharePoint Award Storage Site with 'Working File' sub-folder. 5. Locate the new ERA Award if not currently already in the Award. a. Click on "Manage Tasks" b. Click on the "Verification Task" c. Assign the Award Setup GCO of the Award to the Verification Task. d. In task description, add date, initials, PI, sponsor, and any notes. e. Click "OK" twice to finalize changes
ERA Agreements – EAN – New Award – Existing AWD ID Verification Task	1. If EAN contains a new award, and there is an existing AWD ID, create a new Verification task. a. Find AWD site in ERA b. Run "Manage Tasks" activity c. Add a new Verification task, filling in all required fields and assign to the Award Setup GCO d. Attach award documents e. Click "Ok" twice to finalize changes
ERA Agreements – EAN – Award Modification (Amendment), or **Email containing amendment** Award Change Request	1. Search for duplicate tasks prior to setting up a new task using the information obtained from ERA and the email. a. In ERA, find the Award in Grants > Awards > Search Award > Modifications, or by Grants > Dashboards > All Modifications > Search Award b. If results appear, sort by Modified Date. Review State/Status to determine if any modifications are not Complete. c. Review tasks not in a Complete state/status by opening each task and reviewing the notes in "View Award Modification > Award Modification Request" section which will describe the action(s) needed or taken. Proceed to step 2 once it has been verified that the task information is different than the information in the email. 2. If modification is tied to a new proposal site, link the FP site to the AWD site. If modification is related to existing award, move to Step 3 a. On AWD site, run "Add FP to this Award" activity b. Search for FP, select FP, and click "Ok"

	3. On award site, run "Create Award Change Request" activity. Note: Modification tasks cannot be opened on expired awards. If the Award is "Expired" in ERA, ask AMT GCO to reactivate award. 4. Using help text on Award Change Request Smart Form (SF), rename modification based on changes needed 5. Answer all required fields 6. Save, then exit SF. 7. On modification workspace, click "Submit for Review"

8. Refer to the table below for the processing of consortium-related items.

Email content	**Action Required**
Consortium Member Agreements and Budgets New Membership	**New Membership**: • Arrives as new FP • "Member is in the title • The sponsor is an external organization (non-ASU/non-Consortium) • The sponsor is not the federal government (i.e. not NSF) **ACTION**: **Do not create a new award. Do not create an Award Change Request.** 1. Review the NOA in the FP workspace to confirm this is truly a membership, not a project. 2. Once confirmed, link the FP to the Manager (Main) Award for the consortium. 3. Create a SP folder for the member. (There should be prior examples. Some have member folders, and others are under the activations folder. Default: Create the folder under activations, and use "DATE_Member Name_NOA".) 4. Save the auto-generated email from ERA to the SP folder. 5. Look for any additional emails in the Notifications inbox from PNT/Office of Industry Research & Collaborations (OIRC) GCOs regarding this proposal. Emails should confirm that this is a new member. 6. If there is an email from CMT regarding the same proposal, it should not be saved here – a separate Award Change Request is needed - see the "New Funds" section for what to do with CMT emails. **REVIEW/LOOKOUT**: To confirm this is really a new member proposal - 1. Check the NOA on the FP workspace. a. If it is an agreement/contract with an industry/business/non-federal organization, and references "membership" throughout the document, and does not have "amendment" in the title, this is a new member. 2. For any other kind of NOA, it is not a new member. See other sections to find how this should be handled. 3. Be on the lookout for FPs that say "member" in the title with a project NOA, or "project" in the title with a membership NOA. If

	you see these, contact the AMT GCO before taking any action. Mostly likely, unit needs to submit a 2nd FP.

Consortium Member Agreements and Budgets
 	
Renewal/Revision to Existing Membership
	Renewal/Revision to Existing Membership
	• Arrives as Revision FP (FP#_Rev#)
	• "Member" is in the title
	• Sponsor is an external (non-ASU/non-Consortium) organization
	• Sponsor is not the federal government (i.e. not NSF)
	ACTION: Do not create a new award. Do not create an Award Change Request.
	1. Review the NOA in the FP workspace to confirm this is truly a membership, not a project.
	2. Once confirmed, link the FP to the Manager (Main) Award for the consortium.
	3. Create a SP folder for the member amendment. ("DATE_ Member Name_MOD")
	4. Save the auto-generated email from ERA to the SP folder.
	5. Look for any additional emails in the Notifications inbox from PNT/OIRC GCOs regarding this proposal. Emails should confirm that this is an existing member being modified.
	6. If there is an email from CMT regarding the same proposal, it should not be saved here – a separate Award Change Request is needed - see the "New Funds" section for what to do with CMT emails.
	REVIEW/LOOKOUT: To confirm this is really a member revision/renewal proposal -
	7. Check the Notice of Award on the FP workspace.
	   a. NOA should be a member agreement amendment.
	8. Be on the lookout for New FPs that have member amendments as the NOA.
	   a. This means the unit used "Renewal", instead of "Revision", on the original FP. ERA generated a new proposal number, instead of "_Rev#", but this is still a mod to an existing member.

Consortium Member Agreements and Budgets New Project	**New Project** • Arrives as New FP • "Project" is in the title • Sponsor is an internal ASU Consortium or unit **ACTION: Create a new award and create an Award Change Request.** 1. Review the NOA in the FP workspace to confirm this is truly a project, not a membership. 2. Create a new funding award and verification task. 3. Create a SP folder for the new award, per usual setup instructions. 4. Save the auto-generated email from ERA to the SP folder. 5. Look for any additional emails in the Notifications inbox from PNT/OIRC GCOs regarding this proposal. Emails should confirm that this is a new project. Save to the SP folder.

	6. If there is an email from CMT regarding this proposal, it should not be saved here - a separate Award Change Request is needed - see the "New Funds" section for what to do with CMT emails. 7. Create a SP folder for a modification on the consortium manager award (this will be a separate award in ERA), as "Date_BU DEC". 8. Create an Award Change Request in ERA for the consortium manager award. In the notes, write: "Mod created to decrease the budget on the manager by $$ for a new project AWD###." (Include the amount and award # of the new project that was created in the 2nd step.) REVIEW/LOOKOUT: To confirm this is really a new project - 1. Check the Notice of Award on the FP workspace. a. NOA should be a letter/email on consortium letterhead to a PI indicating that their project has been selected for funding. 2. **Be on the lookout for New FPs that have "project" in the title with member agreements/amendments as the NOA.**
Consortium Member Agreements and Budgets Renewal/Revision to Existing Project	**Renewal/Revision to Existing Project** • Arrives as Revision FP (FP#_Rev#) • "Project" is in title • Sponsor is an internal ASU Consortium or unit **ACTION: Create two Award Change Requests. Do not create a new award.** 1. Review the NOA in the FP workspace to confirm this is truly a project, not a membership. 2. Link the FP to the existing project award. 3. Create a SP folder for the mod on the project award. "DATE_MOD" 4. Save the auto-generated email from ERA to the SP folder. 5. Look for any additional emails in the Notifications inbox from PNT/OIRC GCOs regarding this proposal. Emails should confirm that this is a revision to an existing project. Save to the SP folder. 6. If there is an email from CMT regarding this proposal, it should not be saved here - a separate Award Change Request is needed - see the "New Funds" section for what to do with CMT emails. 7. Create an Award Change Request in ERA for the project award. In the notes, write: "Mod task created to increase existing project by $$. Separate mod task created for manager award." (Include amount from FP.)

	8. Create a SP folder for a modification on the consortium manager award (this will be a separate award in ERA), as "Date_BU DEC". 9. Create an Award Change Request in ERA for the consortium manager award. In the notes, write: "Mod task created to decrease the budget on the manager by $$ for mod to existing project AWD###. Separate mod task created for project award." (Include the amount and award # of the project.) **REVIEW/LOOKOUT: To confirm this is an existing project,** 1. Check the Notice of Award on the FP workspace. a. NOA should be a letter/email on consortium letterhead to a PI indicating that their project has been selected for *additional* funding (additional time may be included). 2. **Be on the lookout for New FPs that have "project" in the title with an amendment letter as NOA.** a. This means the unit used "Renewal", instead of "Revision", on the original FP. ERA generated a new proposal number, instead of "_Rev#", but this is still a mod to an existing project.
Consortium Member Agreements and Budgets New Funds Deposited by CMT	**New Funds Deposited by CMT** • Arrive as email notification from CMT staff • Email references ASU Consortium and manager account number, and mentions an amount has been deposited; it should also list the member name that the funds were received from **ACTION: Create an Award Change Request.** 1. Create a SP folder for the mod on the manager award, as "DATE_BU INC". 2. Save the email from CMT to the SP folder. 3. Look for any additional emails from the unit RAs in the Notifications inbox. Emails may confirm that member funding has been received from a member or may be asking for confirmation. 4. Create an Award Change Request in ERA for the consortium manager award. In the notes, write: "Mod task created to increase budget on the manager by $$ for member payment rec'd from XX. AMT GCO should create separate task for admin award, if applicable." (Include the amount and the name of the member from the CMT email.)
Consortium Member Agreements and Budgets	**New Increment from NSF** • Arrive as amendment emails, as any other NSF amendment • May/may not have an associated FP; most consortium proposals contain all funds in the original proposal/FP (revision FPs are likely not required)

New Increment from NSF	**ACTION: Create an Award Change Request for the award**. 1. Follow usual mod instructions for creating an Award Change Request in ERA

9. Refer to the table below for the processing of non-activation action items.

Inquiries Regarding Previously Activated Tasks	1. Locate verification or modification task in ERA and identify AMT GCO assigned to task. 2. Forward email to AMT GCO that processed the task with a comment, "Forwarding for your review/response"
Inquiries About Awards Forwarded to PNT for Review	1. Forward email to AMT Award Setup GCO to identify Agreement Reviewer by accessing the ERA proposal workspace, Project Information Tab. Once identified, AMT GCO will meet with Agreement Reviewer.

10. For emails which have been determined as duplicate requests, change category to 'No Action', check off as complete, and move to Uploaded folder.