Contracts and Grants
Purpose of Module

The Contracts and Grants module is intended to provide a means to manage and track extramural funding proposals and awards. It can provide Current and Pending Support reports for individual PIs. It produces summary reports describing proposal- and award-related activity. These reports have been optimized to support the Annual Report requirements placed upon Organized Research Units (ORUs) by the Office of Research.

The C&G module is also integrated with the basic GUS Budget module to facilitate creating and managing Projects which are associated with extramural awards.

General Overview of Functions

Proposals – Allows entry and tracking of proposal information including; Title, Agency information, PIs and related summer salary, dates, funding levels, matching funds, subagreements, research locations, special approvals which may be required, related research centers, and others.

If a proposal is successful, the proposal information can be used to automatically create a related Award.

A single Proposal can be related to single or multiple Awards.

Awards - Allows entry and tracking of Award information including; Title, Agency information, PIs and related summer salary, dates, expected funding increments, No-Cost Extensions, matching funds, subagreements, research locations, special approvals which may be required, related research centers, and others. In addition you can create and view related Projects.

A descriptive abstract describing the work in detail can be added. This is used by ORUs to help fulfill Annual Report requirements.

Award information can be used by GUS to help create Projects related to an Award without manual reentry of the Award data.

A single Award can be related to single or multiple Projects and can be
related to single or multiple Proposals.

Funding Agencies – Allows entry of information related to funding agencies including; name, abbreviation and type (federal, state, private, etc.). Agencies can be subdivided into divisions and programs.

Finds and displays all Proposals, Awards and Projects related to a funding agency.
This information is accessible in both the Projects:Funding Agencies menu and the C & G:Funding Agencies menu.

Match Sources – Similar to Funding Agencies except focused more toward sources of Matching Funds. Match Sources can be identified by name and type. Contact information may be included.

Displays all Proposals and Awards related to a particular source of Matching Funds.

Matching Funds – Allows display and query of information related to all Matching Funds for both Proposals and Awards. Though intended principally for display and query purposes, Matching Fund information can also be edited.

Sub agreements – allows display and query of information related to all Subagreements for both Proposals and Awards. Though intended principally for display and query purposes, Subagreement information can also be edited.

Reports – Produces reports of Proposal and Award activity as related to individual PIs and to the Department as a whole. Current reports are: PIs – Current and Pending Support; Department – Funding Agencies, Agency Totals, Active PIs, PI Activity, Abstract Summary, Proposals Log and Awards Log.

Rather than directly print these reports GUS produces a document in a word-processing window similar to Microsoft Word. The user can then decide how to format the document and can either print the document or save it to disk in a variety of file types.

Report Preferences – Allows user to define formatting preferences for some
System Requirements:

The report processing, abstract and title areas use a 4D word-processing component called 4D Write. The C&G module requires the purchase of sufficient 4D Write licenses to support the number of users who will use the C&G module. Note that a department with 10 GUS users may need only 2 or 3 4D Write licenses. Currently (May, 2004) individual licenses are $85-$100 and license 5-packs are $380-$450 depending upon the purchase method.

Detailed Description of Functions

Proposals

This area is intended to keep track of extramural funding proposals. The information entered here will be used as part of Current and Pending Support reports for individual PIs and as part of the departmental annual reports. In addition, should the Proposal be funded, virtually all of the information entered here can be transferred into the Awards area of the C&G module without retyping.

Selecting "Proposals" from the C&G menu displays the currently entered proposals.

The initial display defaults to show only those proposals which are “Active”. “Active” proposals are "In Prep" or "Submitted". Proposals which have been "Awarded", "Denied" or "Withdrawn" are hidden.
Along the top of the Proposals display form are controls and data entry fields which can be used to quickly perform searches through the proposal data.

For example, near the upper left corner are two data entry fields and two pull-down menus which can be used to find all of the proposals related to a particular PI. This can be accomplished by manually entering the appropriate PI code, selecting the PI code from the pull-down menu, by entering the PI's last name or by selecting the PI name from the pull-down menu. As different selection criteria are entered, the pull-down menus change to reflect the current selection of proposals. If you would like to see all proposals, click on the "Show All" button.

Note that you may use 4D's wild-card symbol, "@", when you type in search criteria. Entering "bo@" into the PI Last Name field would find all proposals for "Bowers", "Borer", "Boondock", etc. The PI does not have to be the first of multiple PIs on a single award, though you can restrict the search to first PIs by checking the "Primary PI Only" checkbox. The wildcard can also be used as a shortcut for entering PI names. If you wished to find all of the proposals for a PI named "Brzezinski" you would only need to enter a unique portion of the name. In this case you could use "brz@" – saving you both typing time and having to remember how to spell it.
You can do quick searches of the proposals by PI, proposal status and type, funding agency, research center, Office of Research record number and by title words. These search criteria are additive. If the PI last name is "Jones" and the proposal status is "Awarded", you will only see proposals on which Jones is a PI AND the proposal status is "Awarded".

Searches based on other criteria and more complex searches and can be done using the "Query" button near the bottom of the form.

Creating and editing Proposals:

Proposals are usually created by clicking on the "New" button near the bottom of the main proposal display form. In some cases it may be desirable to create a copy of an existing proposal and modify a few data fields rather than reenter all of the proposal data. This can be done by clicking on the "Duplicate" button near the bottom of the main proposal display form.
When the blank form opens you will see that there are four tabs: Summary, PI Info, Match/Subs, Misc and History. You are not required to enter data in all fields.

The Summary tab allows you to see and enter general information about this proposal. It also displays brief summaries of information which is displayed more fully on other pages of this form.
Information items unique to this page include proposal title, agency, agency number, proposed funding dates, amounts, proposal status, type, center affiliation (if any), indirect cost rate type, Office of Research record number, date and fiscal year submitted. The Notes and Supporting Document Information are both general entry fields for any notes which you wish to enter. The Supporting Document Information is intended for notes particularly related to supporting documents for this proposal. For example you might enter the name and location of spreadsheets which were used for budget estimates.

The proposal title field is actually a word processing field. This enables you to format the text of the title as needed. Formatting possibilities include bold-face, italics, underlining, alternate fonts (such as Greek characters) and others.

Because the space for the title is relatively small the word processing menus and toolbars are not displayed. However, if you click on the small box at the lower right corner of the title field (between the vertical and horizontal scroll bars) you can display or hide the word-processing menu bar.
If you choose to display the menu bar you can open the title in its own word-processing window by selecting "Goto Full Window" under the File menu. You can return to the original form either by clicking the close box on the full window or selecting "Return to Form" under the word-processing file menu.

PIs may be entered by double-clicking in the "PIs" area of the page. You will be presented with a list consisting of all of your active departmental PIs. You can select the PIs for this proposal and clicking on the arrow buttons or by clicking on the PI name in the "Available PIs" column and then dragging-and-dropping them into the "Selected PIs" column. If you use the arrow keys the PI will be placed in the destination array in alphabetical order. If you drag-and-drop the PIs you can place them in any order you wish. You can also manage the PI list via the "PIs" tab.

The Agency must be entered from the pull-down menu. If you need to add a new agency close the Proposals form and go to the C&G:Funding Agencies menu and create the agency. When you reopen the proposal input form the new agency will be in the list.

The "Research Location(s)" and "Special Approvals Required" display areas provide condensed summaries of data from the "Misc" page. Clicking on these areas will take you to the "Misc" page where this data can be entered or modified.
The "PI Info" tab allows you to edit the list of PIs associated with a proposal. In addition you can enter Appointment and Summary Salary information for each PI.

To add, remove or change the PI listing order click on the "Add/Remove PIs" button near the lower left of the page.

Appointment and Summer Salary information for each PI, which is needed for Current and Pending Support reports, can be entered directly into the display areas of the form. You can also double-click on individual PIs and enter the data via a separate input form.

The "Match/Subs" tab is used to enter information about any Matching Funds or Subagreements which may be associated with this proposal.
Double-clicking on either a blank line or on the column headers of the Matching Funds display will bring up a data entry form in which you can enter information describing any matching funds which might be associated with this proposal. This information can include a description of the match, the type of match, estimated value, funding dates, the funding agency, agency contact info, PI contact info and general notes.
Double-clicking on either a blank line or on the column headers of the Subagreements display will open a data entry form in which you can enter information describing any subagreements which might be associated with this proposal. This can include agency, contact info, agreement numbers, dates, amounts and general notes.
The "Misc" tab contains data entry areas which allow you to record research locations, special approvals which may be needed, proposal descriptors, and other agencies to which this proposal may have been submitted. There is also an area which shows which Awards may be related to this Proposal.
The "History" tab contains a log of changes related to this Proposal. Most of the log entries are automatically generated, but you can manually add notes by clicking the "Add Note" button. Except for adding notes, the history is not editable.

Converting a Proposal to an Award:

If you change the Proposal Status to "Awarded" you will be asked at the time you close the proposal whether you wish to create an Award. If you do, an Award record will be created using the data entered in the Proposal. In general you will probably want to create the related award. It will save you a considerable amount of typing.
Deleting a Proposal:

To delete a Proposal first open it by double-clicking on it in the main proposals display form (C&G: Proposals). After the Proposal has opened, click on the "Delete Proposal" button near the bottom of the form.

Awards

Selecting "Awards" from the C&G menu displays the currently entered awards.

The initial display defaults to show all Awards.

Along the top of the awards display form are controls and data entry fields which can be used to quickly perform searches through the award data.

Awards may be created from the Proposal screen when the Proposal Status is changed to "Awarded" or they may be manually created by clicking on the "New" button near the bottom of the main Award display form.

If you use the "New" button to create an Award, a blank form will open with seven tabs: Summary, PI Info, Budget, Match/Subs, Misc, Abstract and History. You are not required to enter data in all fields.
If you create the award from an existing proposal by changing the proposal status to “Awarded”, the data from the proposal will be automatically entered in the new award. The Summary page allows you to see and enter general information about this award. It also displays brief summaries of information which is displayed more fully on other pages of this form.

Information items unique to this page include award title, agency, agency number, funding dates, amounts, award status, type, center affiliation (if any), indirect cost rate type, Office of Research record number, date and fiscal year submitted.

Two OR record number fields are visible. The upper field is the initial record number for this Award. The lower field is the OR record number of the latest increment received for this Award.

The Notes and Supporting Document Information are both general entry fields for any notes which you wish to enter. The Supporting Document Information is intended for notes particularly related to supporting documents for this award.
example you might enter the name and location of spreadsheets which were used for budget estimates.

The award title field is actually a word processing field. This enables you to format the text of the title as needed. Formatting possibilities include bold-face, italics, underlining, alternate fonts (such as Greek characters) and others.

Because the space for the title is relatively small the word processing menus and toolbars are not displayed. However, if you click on the small box at the lower right corner of the title field (between the vertical and horizontal scroll bars) you can display or hide the word-processing menu bar.

If you choose to display the menu bar you can open the title in its own word-processing window by selecting "Goto Full Window" under the word processing window File menu. You can return to the form either by clicking the close box on the full window or selecting "Return to Form" under the word-processing File menu.

PIs may be entered by double-clicking in the "PIs" area of the page. You will be presented with a list consisting of all of your active departmental PIs. You can select the PIs for this proposal and clicking on the arrow buttons or by clicking on the PI name in the "Available PIs" column and then dragging-and-dropping them into the "Selected PIs" column. If you use the arrow keys the PI will be placed in the destination array in alphabetical order. If you drag-and-drop the PIs you can place them in any order you wish. You can also manage the PI list via the "PIs" tab.

The Agency must be entered from the pull-down menu. If you need to add a new agency close the Awards form and go to the C&G:Funding Agencies menu and create the agency. When you reopen the award input form the new agency will be in the list.
The "Research Location(s)" and "Special Approvals Required" display areas provide condensed summaries of data from the "Misc" page. "Award Conditions" are conditions which affect the way in which we may use this award. These conditions are included in the award documentation provided by the Office of Research. Clicking on these areas will take you to the "Misc" page where this data can be entered or modified.

The "PI Info" tab allows you to edit the PIs associated with an award. In addition it allows you to enter Appointment and Summary Salary information for each PI.

To add, remove or change the PI listing order click on the "Add/Remove PIs" button near the lower left of the page.

Appointment and Summer Salary information for each PI, which is needed for Current and Pending Support reports, can be entered directly into the display areas of the form. You can also double-click on individual PIs and enter the data via a separate input form.
The "Budget" tab is used to enter and display information regarding the funding increments for this award. It is also can be used to create and display any Projects which are associated with this Award. A single award may have one or many associated projects.
Double-clicking on the column headers or on a blank line in the "Funding Increments" subform will open another form which will allow you to enter a number, description, start and end dates, increment amount, status and Office of Research record number for this increment. If there are matching funds or subagreements which relate to this increment, that information can be entered here as well.

When this tab is first selected any Projects in the Budget Module which are related to this Award will be displayed. Projects are currently related to awards by their Agency number. This means that you can continue to create projects using the Project:Projects menu in the Budget module if you wish. As long as the Agency numbers in the Project and the Award match they will be associated.

You may see further information regarding the related Projects by double-clicking on the Project of interest.

New Projects may be created by clicking on the "Create Project(s)…" button. A "Create Projects" form will open. Near the center of the form enter the number of projects you wish to create and hit the tab key. The new project(s) will appear in the subform listing.
You can enter the Project Code and Amount for each project directly in the white areas of the subform. To enter the PI(s) for each project double-click on the project of interest. PIs for projects will typically be the same as those on the award or a subset of the award PIs. In some cases you may wish to treat some other person (e.g. a graduate student) as a PI for some portion of the award. GUS allows you to use anyone who has been identified as a PI (Projects:PIs). They do not have to explicitly be part of the award.

When you have entered the desired information clicking the "Create the Projects" button will actually create the new project records. Much of the information in the new Projects will be copied from the related Award information. The Project information may be further edited from the Budget Module.

**Note that should you create projects and then close the main award display without clicking the “Done with Award” button none of the new projects will be saved.**

The "Match/Subs" page is used to enter information about any Matching Funds or Subagreements which may be associated with this Award. In the Proposals area this information is associated with the entire proposal. In contrast, in the Awards area this information is associated with specific funding increments.
Double-clicking on either a blank line or on the column headers of the Matching Funds display will bring up a data entry form in which you can enter information describing any matching funds which might be associated with this award. This information can include a description of the match, the type of match, estimated value, funding dates, the funding agency, agency contact info, PI contact info and general notes. You will need to indicate to which funding increment these matching funds should be associated.
Double-clicking on either a blank line or on the column headers of the Subagreements display will open a data entry form in which you can enter information describing any subagreements which might be associated with this proposal. This can include agency, contact info, agreement numbers, dates, amounts and general notes. You will need to indicate to which funding increment this subagreement should be associated.
The "Misc" tab contains data entry areas which will allow you to record research locations, special approvals which may be needed, award descriptors, and special conditions associated with this Award. There is also an area which shows which Proposals may be related to this Award.
The “Abstract” tab provides a word-processing area where an abstract describing this award may be entered. The abstract may be typed in manually or it may be copied from another word processing program such as Microsoft Word and pasted into GUS. Note that formatted text can be moved either to or from this area while retaining the formatting simply by copying and pasting.
The "History" tab contains a log of changes related to this Award. Most of the log entries are automatically generated, but you can manually add notes by clicking the "Add Note" button. Except for adding notes, the history is not editable.
Deleting an Award:

To delete an award first open it by double-clicking on it in the main awards display form (C&G: Awards). After the award has opened, click on the "Delete Award" button near the bottom of the form. Awards may be deleted even if there are related projects. Deleting an award will not delete related projects.

Funding Agencies

Funding Agencies are any organizations to which we may submit proposals or from which we may receive awards. Funding agencies must be entered in this area before they can be used in proposal or award records.

Choosing the C&G:Funding Agencies menu item displays all of the currently entered funding agencies. The search fields at the top of the form provide shortcuts to search for particular agencies. More complex searches can be done using the "Query" button near the bottom of the form.
New funding agency records may be created by clicking on the “New” button near the bottom of the form or by using the “New” keyboard shortcut (Command-N {apple-N} on Mac or Control-N on Windows).

You may enter an agency name, division, program, type (federal, state, private, etc.) and abbreviation. You do not need to break an agency into division and program components if your reporting requirements don’t require that level of detail. You may type directly into any of the data fields, though pull-down menus are available for the Division, Program and Type fields to help encourage data consistency.
Double-clicking on an agency will show all of the descriptive information about that agency as well as any proposals, awards or projects which are associated with that agency.

Deleting a Funding Agency:

To delete a funding agency, open it by double-clicking on it the C&G:Funding Agencies form. Click on the “Delete Agency” button.

Agencies which have been used by a project, proposal or award may not be deleted.
However, an agency may be deleted if you reassign all projects, proposals and awards related to that agency to another agency. This could be useful if you wished to consolidate multiple related agency listings into a single listing (e.g. multiple NSF variants into a single NSF listing) or if agency information has been entered inconsistently and you wish to regularize the data.

Match Sources:

The Match Sources menu item (C&G:Match Sources) is similar in form and function to the Funding Agencies menu item except that it deals with sources for matching funds.
New sources are added by clicking on the “New” button near the bottom of the form.

Double-clicking on a source will allow you to enter detailed information as well as display information about Proposals and Awards related to this source of matching funds.

Matching Funds
The Matching Funds menu item (C&G:Matching Funds) provides a quick way to view and edit existing matching funds records for both awards and proposals.

Double-clicking on any of the detail lines will display more information. Some of the data will be editable here. Some editing may require access via the Proposals or Awards input forms.
New matching funds records must be created via the Proposals input form or the Awards input form.

Subagreements

The Subagreements menu item (C&G:Subagreements) provides a quick way to view and edit existing subagreement records for both awards and proposals.
Double-clicking on a line will show more detailed information about the subagreement. Some of the data will be editable here. Other portions may require access via the Proposals or Awards input forms to make changes.

New subagreement records must be created via the Proposals input form or the Awards input form.

**Reports**

The Reports menu item (C&G:Reports) is used to produce reports related to contract and grants information. The majority of the reports are optimized to support the reporting needs of Organized Research Units as mandated by the Office of Research. Departments may find the reports to be useful as well.

These reports differ from reports in other areas of GUS in that they are not immediately printed. Instead a report with tab-delimited data is produced and placed in a 4D Write word processing area. Because no report-specific tab stops are set in this area they can look incomplete or messy until the user sets appropriate tab stops and other formatting. However, by creating the report at this intermediate level the user is given more freedom to both control the final report format and to use the report as data within other programs. The user has the option of either formatting and printing the report directly from GUS or to export the report in a number of formats using either the File:Save As menu option or by copying and pasting.

Currently built-in reports are:

Current and Pending support -current and pending support for an individual PI. This will not show either proposals or awards which a PI may have at other departments.
Abstract Summary – a listing of all Award abstracts within a given fiscal year or date interval

Funding Agencies – all funding agencies which were active within a given fiscal year or date interval

Agency Totals – summary of dollars received from each agency within a given fiscal year or date period. Agencies are sorted by agency type (federal, etc). Totals are displayed as both dollar amounts and as a percent of total funds received.

Active PIs – a list of all PIs who were active during a given fiscal year or date period. List includes name, title and home department.

PI Activity – a list of all PIs who were active during a given fiscal year or date period including information about their proposal and award activity. List includes name, number and total dollar amount of proposals, number and total dollar amount of awards.

Awards Log – a list of all Awards received during a given fiscal year or date period. Data includes PIs, award title, begin and end dates and award amounts. Awards are sorted and totaled by funding agency.

Proposals Log – a list of all Proposals made during a given fiscal year or date period. Data includes PIs, proposal title, begin and end dates, proposed award amounts and proposal status (Awarded, Denied, etc.). Proposals are sorted and totaled by funding agency.

Awards Log (OR Format) – similar to Awards Log above, but formatted to more closely match the reports produced by the Office of Research.

Proposals Log (OR Format) – similar to Proposals Log above, but formatted to more closely match the reports produced by the Office of Research.

**Report Preferences**

This menu item is used to set formatting preferences for the C&G reports. Currently preferences may be set only for the Abstract Summary.