



## Guide Contents

<b>Purpose &amp; Use</b> .....	<b>2</b>
<b>Information Needed</b> .....	<b>2</b>
Required .....	2
Recommended .....	2
<b>Form Routing</b> .....	<b>2</b>
Statuses .....	2
Responsibilities & Procedures .....	3
<b>General Instructions</b> .....	<b>5</b>
Export Control Restrictions .....	5
Agency-Specific Instructions .....	5
<b>Form Instructions</b> .....	<b>6</b>
Pre-Populate (Optional) .....	6
Principal Investigator .....	6
Form Type .....	7
Proposal .....	7
Award .....	7
Schedule of Tasks .....	8
General Task Entry .....	8
Attachments .....	9
Comments .....	9
Form Signatures & Reviews .....	9
Workday Signatures & Reviews .....	10
Routing & Status .....	10
<b>Workday Review Instructions</b> .....	<b>10</b>
<b>Contacts</b> .....	<b>11</b>
Technical Issues .....	11
Research Policy/Scenario Questions .....	11
<b>Document Notes</b> .....	<b>12</b>

## Purpose & Use

This internal form is used to ensure that all tasks relevant to an award are entered into Workday correctly.

## Information Needed

### Required

- PI name
- Award number
- Email address of next recipient

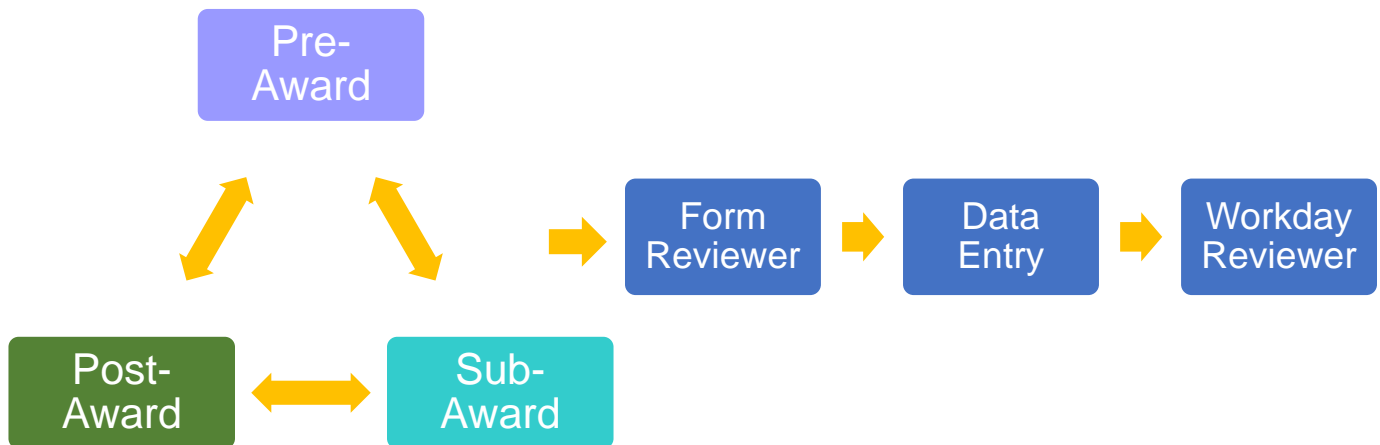
### Recommended

- Proposal Routing form ID
- Sponsor
- Award start and end dates
- Relevant attachments
- Required tasks and
- Due dates for required tasks
- Whether or not subawards are involved

## Form Routing

**The Award Task Compliance form does not route automatically.** You must enter an email address in the “Email Form To” field at the bottom of the form in order to send the form to another staff member.

If you do not wish to email the form to another staff member, click **Save Work**.



## Statuses

### Incomplete

The form opens in **Incomplete** status and can be edited by the initiator. The initiator can save progress on an Incomplete form by clicking the **Save Work** button in the bottom-left-hand corner of the screen.

### Submitted

If the form is submitted without a signature, the form will enter **Submitted** status. The form will remain in **Submitted** status until someone signs the form.

The following three statuses may occur in *any* order.

### Pre-Award Signed

If the form is submitted with a Pre-Award Signature, it will enter **Pre-Award Signed** status.

### Post-Award Signed

If the form is submitted with a Post-Award Signature, it will enter **Post-Award Signed** status.

### Sub-Award Signed

If the form is submitted with a Sub-Award Signature, it will enter **Sub-Award Signed** status.

The following three statuses occur in a *defined* order.

### Form Reviewed

If the form is submitted with a Form Reviewer signature, it will enter **Form Reviewed** status. The form will remain in **Form Reviewed** status until a Data Entry Signature is entered.

### Data Entered

If the form is submitted with a Data Entry Signature, the form will enter **Data Entered** status. The form will remain in **Data Entered** status until the Workday Reviewer signs the form.

### Completed

If the form is submitted with a Workday Reviewer Signature, the form will enter **Completed** status. Though the form can still be edited, a form in **Completed** status indicates it should not need to be changed again.

## Responsibilities & Procedures

Role	Recipient						
Initiator	Whoever created the award in Workday						
Pre-Award	Whoever created the award in Workday						
Post-Award	<table> <tr> <td><i>COLAEHD, COBA, Medicaid, TRAC:</i></td> <td>Jesse Sherrell</td> </tr> <tr> <td><i>COS except Computer Science:</i></td> <td>Bing Leng</td> </tr> <tr> <td><i>All else:</i></td> <td>Charles Chaisson</td> </tr> </table>	<i>COLAEHD, COBA, Medicaid, TRAC:</i>	Jesse Sherrell	<i>COS except Computer Science:</i>	Bing Leng	<i>All else:</i>	Charles Chaisson
<i>COLAEHD, COBA, Medicaid, TRAC:</i>	Jesse Sherrell						
<i>COS except Computer Science:</i>	Bing Leng						
<i>All else:</i>	Charles Chaisson						
Sub-Award	Burt Neal						
Form Reviewer	<i>Weekly Meeting</i> Data should be verified by someone other than who entered it into the form						
Data Entry	Student Worker (or anyone)						
Workday Reviewer	<table> <tr> <td><i>Create New:</i></td> <td>Liz Sigler</td> </tr> <tr> <td><i>Update Existing:</i></td> <td>Julie Landry</td> </tr> </table>	<i>Create New:</i>	Liz Sigler	<i>Update Existing:</i>	Julie Landry		
<i>Create New:</i>	Liz Sigler						
<i>Update Existing:</i>	Julie Landry						

### **Initiator**

The form may be initiated by anyone, including a student worker. In order to save a form, the initiator must enter the Principal Investigator contact information, the form type, and the award number.

### **Pre-Award**

The Pre-Award team member who created the award will review the award document and enter task due dates for any required compliance reports, special conditions, progress reports, deliverables, or invention reports. For no cost extensions, the Pre-Award team member should (1) complete the prior Expiration Notice task and enter a new Expiration Notice task for the new end date, as well as (2) cancel the prior final invoice/progress report tasks and enter new final invoice and report tasks.

If a proposal routing form is selected, some items may auto-populate based on the proposal. Confirm and update all tasks as necessary based on the award document.

Once completed, sign the form and send it to the Post-Award or Sub-Award team member assigned to the award, if their signatures are necessary. Enter the needed signer's email address in the **Email Form To** field and click the **Send** button.

If the form is ready to be reviewed, click **Save Work**.

### **Post-Award**

The Post-Award team member assigned to the award will review the award document and enter task due dates for any required financial and invoice reports.

Once completed, sign the form and send it to the Pre-Award or Sub-Award team member assigned to the award, if their signatures are necessary. Enter the needed signer's email address in the **Email Form To** field and click the **Send** button.

If the form is ready to be reviewed, click **Save Work**.

### **Sub-Award**

If there are subawards involved in an award, the Sub-Award team member will review the award document and enter task due dates for any required reports or financial documents for *each* subaward.

Once completed, sign the form and send it to the Pre-Award or Post-Award team member assigned to the award, if their signatures are necessary. Enter the needed signer's email address in the **Email Form To** field and click the **Send** button.

If the form is ready to be reviewed, click **Save Work**.

### **Form Reviewer**

After the form has been completed by the Pre-Award and Post-Award team member (and the Sub-Award team member, if necessary), the form will be listed in the **2. Unreviewed** view in the list of entries.

The form reviewer—whether an individual or a group—should compare every task entered in the form to the award contract and compare all entered award information to the award in Workday.

Once all information has been confirmed, sign the form and click **Save Work** or send it to the email address of the team member who will enter the data.

### **Data Entry**

After the form has been reviewed, it will be listed in the **3. Reviewed** view in the list of entries.

The data must be entered into Workday. Once all data has been entered into Workday, sign the form.

Send the form to the email address of the Workday Reviewer. Enter the needed signer's email address in the **Email Form To** field and click the **Send** button.

**The same person cannot enter a Data Entry Signature *and* a Workday Reviewer Signature.  
You may not enter the data AND review it.**

### **Workday Reviewer**

After the data has been entered into Workday, the form will be listed in the **4. Entered** view in the list of entries, and the Workday Reviewer will receive an email notification that the form has been shared for processing.

The Workday Reviewer will compare all tasks on the Award Task Compliance form with the tasks and assignments entered into Workday. Once all entered data has been confirmed, sign the form and click **Save Work**. Then, either download the PDF of the completed form from the confirmation screen or use the **Create Document** feature in Cognito Forms to generate a PDF of the completed Award Task Compliance form and upload it into Workday.

Detailed instructions are included [below](#).

## **General Instructions**

Enter the due dates for all tasks as required in the contract (unless task due dates do not follow a set calendar schedule).

When entering into Workday, the "Award Task Type" should match the items marked "Yes" below.

## **Export Control Restrictions**

If a report involves control restrictions, do not upload the report into Workday. Instead, upload a document that contains the following statement:

Final report was turned in by the PI. Since the award has export control restrictions, the report was given to the Director of External Collaboration to maintain the file in a secure location.  
Certified by RA: XX/XX/XXXX.

In the comments section of the task, write:

Report is in the care of the Director of External Collaboration, not in Workday.

## **Agency-Specific Instructions**

### **U.S. Department of Health & Human Services, including National Institutes of Health (NIH)**

- Requires RCR training

### **National Science Foundation (NSF)**

- Requires RCR training

### **All federal grants or contracts >\$30,000 including pass-through**

- Requires FFATA unless a vendor agreement is in place

## Form Instructions

### Pre-Populate (Optional)

**Pre-Populate (Optional)**

If desired, either enter the Form ID from the Proposal Routing form or select the PI from the list to pre-populate this form with some previously-entered information.

Selecting the PI will filter the Proposal Routing Lookup dropdown, if you would like to select the form rather than enter its ID.

All information can be changed or removed as necessary.

**Select the PI...**

**Select the Proposal Routing Form**      **Or enter Proposal Routing Form ID**

1. **Select the PI...:** Select the name of the principal investigator to default contact information and to generate a list of proposal routing forms entered in Cognito Forms.
2. **Select the Proposal Routing Form:** If known/desired, select the related proposal routing form from the dropdown list. This will pre-populate many fields in the Award Task Compliance form.
3. **Or enter Proposal Routing Form ID:** If not auto-populated, enter the Form ID from a previously-created Proposal Routing SharePoint form.

NOTE: All auto-populated information can be changed or removed as necessary.

### Principal Investigator

**Principal Investigator**

**First Name \***

**Last Name \***

**Email \***

**College \***      **Department \***

Update as necessary—e.g. if for a Center/Institute.

1. **First Name:** Enter the first name of the principal investigator if not auto-populated.
2. **Last Name:** Enter the last name of the principal investigator if not auto-populated.
3. **Email:** Enter the UNO email address for the principal investigator if not auto-populated. The PI will not receive any emails about this form. This field will determine the Form ID.
4. **College:** Select the PI's college from the dropdown menu if not auto-populated.
5. **Department:** Select the PI's department from the dropdown menu if not auto-populated.

## Form Type

**Form Type**

Are we creating new tasks on an award for the first time? Or are we updating existing tasks? \*

Create New  Update Existing

The only tasks that should be entered on this form are the ones that need to be updated in Workday.

Why is the update necessary?

Extension  New Protocols

Additional Funds  Other

Additional Training

1. Indicate whether you are creating tasks for a new award or updating a set of existing tasks.
2. If you are updating a set of existing tasks, only enter the tasks that need to be updated in Workday.
  - a. Indicate why the update is necessary by checking the box for all relevant options.
  - b. If the award has been extended, you will need to enter the new end date further down in the form.

## Proposal

1. **Workday Proposal Number:** Copy and paste the proposal number from Workday. If you selected a Proposal Routing form above, this will auto-populate.
2. **Title:** Enter the title of the proposal. If you selected a Proposal Routing form above, this will auto-populate.

**Proposal**

Workday Proposal Number

Copy and paste the exact number from Workday. Capitalization must match Workday.

Title

## Award

**Award**

Workday Award Number \*

Copy and paste the exact number from Workday. Capitalization must match Workday.

Sponsor

Start Date

Are there subawards involved?

Yes  No

1. **Workday Award Number:** Copy and paste the award number from Workday.
 

NOTE: The form will alert you if there are other task compliance forms associated with this award number. All related forms will be listed by their Form ID, type, and current status.
2. **Sponsor:** Select the award sponsor from the dropdown menu.

3. **Award Start Date:** Enter or select the start date for the award.
4. **Award End Date:** If creating a new form or updating for an extension, enter or select the end date for the award.
5. **Are there subawards involved:** Indicate whether subawards are involved. If “Yes” is selected, the Subaward section and Sub-Award Signature will appear and be required.

## Schedule of Tasks

**Schedule of Tasks**

**Pre-Award**

**Compliance Reports**

**Animal subject approval?**  
 No  Yes

**Conflict of interest?**  
 No  Yes

1. Scroll through the Pre-Award, Post-Award, and/or Sub-Award lists of possible tasks.
2. Select **Yes** to add information about a task. Some items may auto-populate based on the selected Proposal Routing form.

## General Task Entry

NOTE: Most task entry items will generally resemble the one to the right once **Yes** is selected.

1. **Recurrence:** Select the appropriate recurrence based on the language in the award document. If the dates do not recur based on any particular schedule, select **N/A**. If the award document requires an item “30 days after the end date” or similar, select **Other** and enter the requirement listed in the award document.

**Progress report - interim?**  
 No  Yes

**Recurrence**  
 N/A  Monthly  Quarterly  Semi-Annually  Annually  Other

⊗ **Task 1**

**Task Due Date \***

m/d/yyyy

[+ Add more if necessary](#)

2. **Task Due Date:** Enter or select the date when the task is due to be completed.

NOTE: The task due date is the only date that will be entered into Workday.

3. Add more task items if necessary.

NOTE: If you selected Monthly, Quarterly, Semi-Annually, or Annually as the **Recurrence**, then subsequent dates will auto-populate based on the first date entered.

4. For most compliance report tasks, you will also need to enter a protocol number.

## Attachments

1. **Add Attachment:** If relevant, click the **Add Attachment** button to add an attachment to the form.
2. **Describe attachment:** Enter a name or description for the document you are attaching.
3. **Attachment:** Click the button to browse to the file on your computer and attach it. Alternatively, drag and drop a file from your computer's File Explorer.
4. You may add more attachments as necessary.

## Comments

1. **Add comment:** If relevant, click the **Add comment** button to add a comment to the form.
2. Type your comment in the box that appears. Your username and the date may auto-populate above the comment. If your name does not auto-populate, enter it.
3. If necessary, click the **Add comment** button again to add more comments.

## Form Signatures & Reviews

This section should be used **BEFORE** the tasks have been entered into Workday.

1. Enter your name in the appropriate place to sign the form.
2. When you click away from the field, your username and the date will auto-populate beside your signature.

## Workday Signatures & Reviews

This section should be used **AFTER** the tasks have been entered into Workday.

### Workday Signatures & Reviews

If you need to unlock any signatures, contact the Form Manager for assistance.

<b>Data Entry Signature</b>	<b>Date</b>
<b>Workday Reviewer Signature</b>	<b>Date</b>

1. Enter your name in the appropriate place to sign the form.
2. When you click away from the field, your username and the date will auto-populate beside your signature.
3. Click **Save Work**.

## Routing & Status

### Routing & Status

You should not need to manually change the Form Status, but you may do so here.

You may also enter the email address of the person who must review the form after you. Please note, the Cognito Email To field will not automatically update or empty—but the form has been set up to force confirmation.

<b>Email Form To...</b>	<b>Form Status (should not have to change)</b>
<input style="width: 90%;" type="text"/>	<input style="border: none; background-color: #f0f0f0;" type="text" value="Submitted"/> ▾

**Have you cleared, updated, or confirmed the above email address?**

Yes

**Save Work**

1. **Email Form To:** If you wish to send the form to another team member, enter their email address here. Once an email address is entered into this field, it remains until someone removes or changes it.
2. **Form Status:** You should not have to change the form status; but you may do so here.
3. In order to click the **Send** button, you must confirm that you wish to send the form to the entered email address. The **Send** button will not be visible if no email address is entered in **Email Form To...**

## Workday Review Instructions

After the data has been entered into Workday, the form will be listed in the **4. Entered** view in the list of entries, and the Workday Reviewer will receive an email notification that the form has been shared for processing.

The Workday Reviewer should:

1. Click the link in the email to open the Award Task Compliance form.
2. In a new tab, open Workday and run the **Award Task Status - UNO** report for the award number listed in the Award Task Compliance form.
3. Compare all tasks on the Award Task Compliance form with the tasks entered into Workday. Tasks should match exactly.
4. Review the Assigned Workers for each task.
  - a. Pre-Award items should be assigned to Pre-Award staff members, the PI, and any co-PIs.
  - b. Post-Award items should be assigned to a Post-Award staff member.
  - c. Compliance items should be assigned to the Compliance staff member.
5. Once all data has been confirmed, sign the Award Task Compliance form.
6. Click the **Complete** button in Cognito Forms.
7. A confirmation screen should display. Download the PDF of the completed Award Task Compliance form. *NOTE: You may also use the **Create Document** feature in the Cognito Forms entries view.*
8. In Workday, at the top of the **Award Task Status - UNO** report, the award name will be displayed as a blue hyperlink. Click the three dots (the “Related Actions”) next to the award name.
9. A pop-up menu will appear. Hover over **Award** in the left-hand sidebar.
10. A second pop-up menu will appear. Click **Manage Attachments**. A new screen will appear.
11. Drag and drop the downloaded PDF of the completed Award Task Compliance form from your computer into Workday.
12. **Comment:** If you are reviewing the first tasks created, enter “Create New”; if you are reviewing an update to the tasks, enter “Update #1” with the number of the update and an explanation for the update (e.g. “Update #2 no cost extension to 12/31/28” or “Update #3 Tarr RCR completion”).
13. **Attachment Category:** Select **UNO Award Task Compliance Form (Final Reviewed)**.
14. Click the **OK** button at the bottom of the page.

## Contacts

### Technical Issues

If you encounter a technical issue with the Cognito Form or if you need to unlock the signatures, contact Julie Landry at [jelandr1@uno.edu](mailto:jelandr1@uno.edu).

### Research Policy/Scenario Questions

If you have a question about recommended policies for using this form, contact Carol Lunn at [clunn1@uno.edu](mailto:clunn1@uno.edu).

## Document Notes

**Developed by:**

Julie Landry, Res Dev Administrator  
Office of Research  
(504) 280-4752  
[jelandr1@uno.edu](mailto:jelandr1@uno.edu)

Created: July 28, 2023

**Last updated by:**

Julie Landry, Res Dev Administrator  
Office of Research  
(504) 280-4752  
[jelandr1@uno.edu](mailto:jelandr1@uno.edu)

Updated: November 11, 2024