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INTRODUCTION

This manual has been developed to serve as documentation of the procedures and standards for entering proposals and contracts using the ORACLE-based TTI Information System (TTI-IS). It covers data entry for five forms:

Proposal Detail Form: This form will be used to enter information about and track the progress of proposals.

Contract Detail Form: This form will be used to update and enter information on contracts, link contracts to projects, and track deliverables associated with each contract.

Deliverables Detail: RDO staff will use this form to enter information about deliverables, assign report numbers to deliverables, and track deliverables.

ITEC Tracking: ITEC staff will use this form to enter information about and track deliverables and to print reports.

Sponsor Administration: The RDO Sponsor Administrator will use this form to enter information about new sponsors.

RDO General Codes: The RDO Administrator will use this form to update codes used on the Proposal Detail and Contract Detail forms.

SUMMARY OF PROCESS

Records concerning administration of sponsored research projects are comprised of data entered directly into ORACLE via data entry forms and data imported from FAMIS. The data imported from FAMIS includes budget information as well as some contractual information known as project attributes.

Project

A project is a research effort typically consisting of a proposal, a contract comprised of one or more tasks, one or more spending accounts, and may result in one or more deliverables.
• A proposal which, if accepted by the sponsor, results in a contract.
• A contract which is comprised of one or more task.
• A task which may result in one or more deliverable.
• Deliverables which are physical products resulting from the research.
• Each task may have its own spending account.

Proposals

A research project originates when a researcher decides to write a proposal in response to a Request for Proposal (RFP) made by sponsor. The researcher writes the proposal with the help of TTI’s Research Development Office (RDO). As the proposal is developed, RDO enters the information about it into the Sponsored Research Project Administration module of the ORACLE-based TTI Information System via the Proposal Detail form. This module automatically assigns a unique TTI Proposal Number consisting of the format Pyyyyynn, where “P” represents proposal, yyyy is the fiscal year in which the proposal is submitted, and nnn is an incremental number generated by the computer. Example: P2001034

During the proposal phase of the process negotiations between TTI and the sponsor take place, and the contract is written and modified until both sides are satisfied with the details. All parties then sign the contract. At this point it passes from the proposal phase to the contract phase.

Contracts and Tasks

When a proposal becomes a contract, the system assigns a TTI Contract Number to it based on the TTI Proposal Number of the proposal record from which it was created. Example: P2001034 would create C2001034. The information pertaining to the new contract is then entered into the Contract Detail form. The contract side of the module is more complex than the proposal side in that a research project may consist of multiple contracts where each contract defines of one or more tasks. A task represents an individual part of the research work identified in the contract.

Spending Accounts

Tasks exist as a means of accounting for the contract’s budget information. In response to information received from RDO, TTI’s Business Office will post, into FAMIS, one or more unique spending account numbers consisting of a six-digit
Subsidiary Ledger (SL) number and a five-digit Sub Account (SA) number. Each SL/SA combination represents a task in the project. This FAMIS information is periodically imported into the ORACLE database. The RDO administrator for the project will then associate each task with its corresponding SL/SA.

There are three budgeting possibilities where tasks are concerned.

1. The entire contract consists of one task. In this case the spending account number will have an SA consisting of all zeroes (e.g. 410283 / 00000). All the money spent in performing the task will be tracked by this spending account number.

   EXAMPLE:  
   SL/SA  410283 / 00000  
   Budget of  $200,000.00

2. The contract is subdivided at its inception into multiple tasks. In this case the contract is assigned an umbrella spending account number with an SA of 0000 as in case 1, but this spending account number will have a budget of zero. The money spent on each task will be accounted for in the spending accounts where each individual task's SA will be assigned 00001, 00002, etc.

   EXAMPLE:  
   SL/SA  410283 / 00000  
   Budget of  $0.00  
   SL/SA  410283 / 00001  
   Budget of  $150,000.00  
   SL/SA  410283 / 00002  
   Budget of  $50,000.00  

   The contract’s total budget is  $200,000.00

3. The contract begins as one task, but has additional tasks added at later dates. In this case, the task with SA 00000 will have a spending account which actually has money in it, and any task or tasks added later will also have spending accounts.

   Example:  
   SL/SA  410283 / 00000  
   Budget of $150,000.00  created in 1998.  
   SL/SA  410283 / 00001  
   Budget of $125,000.00  added in 1999.  
   SL/SA  410283 / 00002  
   Budget of  $25,000.00  added in 2000.  

   The contract’s total budget is  $300,000.00
Additional tasks added after the initial creation of the contract are referred to as **Order/Authorizations**. Sponsors use terms other than Order/Authorizations. The most common are Work Order, Task Order, and Work Authorization; but all refer to the same thing: the creation of a new task within an existing contract.

Contract numbers reflect this tasking methodology in a **parent / child** relationship. In each of the three cases described above, the initial contract record, created at the time the proposal is signed, is referred to as the parent contract record. Using the example TTI Contract Number from above, the parent contract record would be assigned C2001034. This TTI Contract Number would eventually be assigned a unique SL/SA combination. There is nothing magical about the parent contract record. It is simply the first task created in the contract. Any additional tasks are then assigned the same TTI Contract Number with a numeric incremental suffix added. Using the third case from above as an example:

<table>
<thead>
<tr>
<th>TTI Contract Number</th>
<th>SL/SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>C2001034</td>
<td>410283 / 00000</td>
</tr>
<tr>
<td>C2001034.1</td>
<td>410283 / 00001</td>
</tr>
<tr>
<td>C2001034.2</td>
<td>410283 / 00002</td>
</tr>
</tbody>
</table>

**IMPORTANT NOTE:** Although in this example each child’s suffix corresponds to each SA numerically, this will not always be the case. Child suffixes and SA’s are two distinctly different entities whose values are totally unrelated to one another.

**Project Deliverables**

Usually, the sponsor would like to see a product result from the research. The product could be anything ranging from a report to a video to a software program. These products are referred to as deliverables and are defined in the contract between TTI and the sponsor. In some cases each task will have its own set of deliverables. Deliverables have several dates associated with them. The contract will state when they are due to be delivered to the sponsor. Keeping up with these due and transmittal dates is referred to as deliverables tracking.

Once a contract has been funded, each RDO research administrator is responsible for contract compliance which includes the initial entry of deliverables per contract requirements and monitoring the status deliverables. Each deliverable entered into the system must have a tracking organization declared...
for it. The tracking organization will be either RDO or ITEC, and the Sponsored Research Administrative module provides for the communication of these dates between RDO, ITEC and the researcher.

RDO is responsible for tracking all deliverables submittals except those for the TxDOT Research Management Committee (RMC) Program. All deliverables for the TxDOT RMC Program require submittal through ITEC for editing and official transmittal to TxDOT.

The table on the following pages shows a breakdown of the tracking organization by SL group as well as transmittal procedures. Note: An extra benefit is the automatic updating of each author’s resume when reports are tracked by RDO and ITEC.

**Project Termination**

A project is terminated when the **period of performance** declared for it in the contract ends, but deliverables may continue to be delivered even after the termination of a contract.
<table>
<thead>
<tr>
<th>SL No. Series</th>
<th>Description</th>
<th>Tracking Organization</th>
<th>Transmittal Procedures</th>
<th>Comments</th>
</tr>
</thead>
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<tr>
<td>401000 – 401999</td>
<td>International Center for Aggregates Research (ICAR)</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>402000 – 402999</td>
<td>Contracts with Texas State Agencies</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>403000 – 405999</td>
<td>Other Directly Administered Contracts</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>407000 – 408999</td>
<td>TxDOT Interagency Contracts (IACs)</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>410000 – 424999</td>
<td>TxDOT Research Projects</td>
<td>ITEC</td>
<td>Deliverables are submitted through ITEC for editing and official transmittal to TxDOT.</td>
<td>This includes products such as videotapes, software, etc. In most cases, TxDOT requires a Technical Report Documentation Page (TDRP) accompany these products.</td>
</tr>
<tr>
<td>425000 – 425999</td>
<td>TxDOT/FHWA 100% Federally Funded</td>
<td>ITEC</td>
<td>Deliverables are submitted through ITEC for editing and official transmittal to TxDOT.</td>
<td>This includes products such as videotapes, software, etc. In most cases, TxDOT requires a Technical Report Documentation Page (TDRP) accompany these products.</td>
</tr>
<tr>
<td>SL No. Series</td>
<td>Description</td>
<td>Tracking Organization</td>
<td>Transmittal Procedures</td>
<td>Comments</td>
</tr>
<tr>
<td>---------------------</td>
<td>--------------------------------------------------</td>
<td>-----------------------</td>
<td>-----------------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>427000 – 449999</td>
<td>TxDOT Research Projects</td>
<td>ITEC</td>
<td>Deliverables are submitted through ITEC for editing and official transmittal to TxDOT.</td>
<td>This includes products such as videotapes, software, etc. In most cases, TxDOT requires a Technical Report Documentation Page (TDRP) accompany these products.</td>
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<tr>
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<td>This includes products such as videotapes, software, etc. In most cases, TxDOT requires a Technical Report Documentation Page (TDRP) accompany these products.</td>
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<td>460000 – 461999</td>
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<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>466000 – 466999</td>
<td>Regional Transportation Center (RTC)</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>470000 – 479999</td>
<td>Research Foundation (RF)</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
<tr>
<td>481000 – 481999</td>
<td>ITS Center for Excellence</td>
<td>RDO</td>
<td>Deliverables are submitted directly to sponsor with copy of transmittal letter and report cover to RDO.</td>
<td>Submit copy of report to ITEC for TTI Library.</td>
</tr>
</tbody>
</table>
1. GETTING STARTED

1.1. OPENING FORMS AND QUERYING

- To open a form, click on **SRPA** on the menu bar and select the appropriate form.

![TTI Information System Main Menu](image-url)

**TTI Information System**

Figure 1.a. TTI-IS Main Menu
Figure 1.b. Contract Detail Form in Query Mode

Before adding any information, query to see whether this information already exists in the database.

- By default, the form you open will be in query mode.
- You may query for contract records using either the **Contract Detail form** or the **Contract Summary form**. However, if you use the **Contract Summary form** your query will only retrieve contract records that have projects linked to them. Therefore records for pending work orders will not be retrieved. To query for pending work orders, use the **Contract Hierarchy form** linked from the **Contract Detail form**. (See Section 3.3.1)

- Enter all or part of the term you wish to query. The query is not case sensitive.

**The truncation symbol is % and must be placed anywhere text is omitted.**


• To execute the query:
  • Press F8, OR
  • Click Query on the menu bar and select Execute from the menu, OR
  • Click .

• To cancel the query and go to data entry mode:
  • Click Query on the menu bar and select Cancel from the menu, OR
  • Click .

Once you have successfully queried, the form will automatically return to data entry mode.

Required fields - indicated by bolded prompts as in the form shown above. All of these fields must be entered prior to saving a newly created record.

1.2. MESSAGE BAR

The bottom of the screen includes a gray message bar. This bar provides information regarding mode, records, saving, and errors.

• Mode: Check the message bar to see whether you are in query mode or data entry mode. If you are in query mode, the message bar will tell you and give you hints about querying. It will read Enter a query; press F8 to execute, Ctrl+q to cancel on the top line and Enter-Query below that. (See Figure 1.b.) If you are not in query mode, these sections will be blank.

• Records: After querying, check the message bar to see how many records your query has retrieved.
  • If the bar reads Record: 1/1, you will know that your query retrieved one record.
  • If the bar reads Record: 1/? , you will know that your query retrieved multiple records. If your query results in multiple records, click until you reach the correct record. You are in now data entry mode and may edit the records in this form.
  
  **NOTE:** The gray bar will not tell you how many records you have retrieved until you reach the last record. (i.e. If your query retrieves five records, once you reach the fifth record the gray bar will read Record: 5/5.)

• If your query results in multiple records, but does not find the record you need, add it by clicking to insert a new record.

• If your query does not retrieve any records, the message bar will read Query caused no records to be retrieved. Re-enter. Re-enter your query using a
different term or cancel the query by clicking 📋. After canceling, you will be in data entry mode and may add a new record.

- **Saving:**
  - When you successfully save a record, the message bar will read **Transaction complete: n record(s) applied and saved.** (n = number of records saved)
  - If you attempt to save before a required field has been entered, the bar will read **Field must be entered**, and the cursor will go to that field.
  - If you attempt to save a record that is not unique, the message bar will show you this and will prohibit your save. **This should not happen, since you will have queried for the record before attempting to add it.**
  - If you attempt to save but have not made any changes, the bar will read **No changes to save.**

- **Errors:**
  - If an error prevents you from saving or from entering information, an error message will display in the message bar.

### 1.3. FUNCTION KEYS

For a list of keys and their functions, click **Help** on the menu bar and select **Keys** from the pull-down menu.

![TTI Information System Help Menu](image)

Figure 1.c. Form with "Keys" Selected from the Help Menu
1.4. PICK LISTS

Some fields in the various forms have lists of values from which to choose. The purpose of the pick list is to ensure consistent data entry. Every value in the pick list is a record in the database. Fields that have associated pick lists have \[\text{ down arrow }\] next to the field.

Figure 1.d. Field with Associated Pick List

Figure 1.e. RDO Personnel Pick List

- Click \[\text{ down arrow }\] to search a list of the values alphabetically.
- Place your cursor in the Find box before the %. Enter the first few letters of the value you want and click Find. To select a value, highlight it and click OK.
- You may also type in the first few letters of a unique value and press the Tab key, and the system will fill in the value.

Some pick lists, such as the list for RDO Personnel, contain preferred values and cannot be modified.
Other pick lists can be modified. Fields with modifiable pick lists have next to.

Figure 1. Field with Associated Modifiable Pick List
1.5. MODIFYING PICK LISTS

- **Before adding to the pick list, check to be sure that the value is not already there.** If you do not find the value, click cancel on the pick list dialog box.
- **Click** this icon. This is a shortcut that takes you to a form in which you can enter the data you wish to add without closing the original form in which you are working.

**EXAMPLE:** Clicking this icon next to the **Sponsor Institution** field (Figure 1.f.) will take you to the **Sponsor Information** form in data entry mode.

![Sponsor Information Form](image)

- Enter the data, save, and close the form by clicking this icon. Closing the form will bring you back to the original form you were using, and you can continue entering data.
- In some cases, certain fields and icons will be "grayed out" which means these fields require special permissions, such as a supervisor might have, to update.
1.6. SAVING

Information that you enter will not automatically be saved. Save by clicking before you exit any form.

1.7. DELETING

Each form may have only one record per form, or it may have several records per form. You may delete one record on the form or all the records on the form, one at a time.

To delete a record:
- Place your cursor in any field of the record.
- Click after you have deleted the record or records you wish to delete, as the deletion is not automatically saved.
- To delete additional records, place your cursor in the first field of the next record and repeat the process.
2. **BUSINESS RULES**

Business rules have been defined in order to facilitate the entry of consistent data. This section lists those business rules that apply to the entire Sponsored Research Project Administration (SRPA) module. In addition, business rules applicable to particular subsets of the SRPA module are defined in the sections documenting those subsets.

1. If it is not in the paperwork, it is not entered into the system. This avoids confusion and discrepancies between what shows up in the computer and what is found in the hardcopy file folders. Comment fields are provided at key points in the various forms to allow information not directly reflected in the paperwork to be recorded.

2. Comment fields are to be used for recording only information that is never to be used as selection criteria for reporting purposes.

3. Dates associated with Proposal and Contract Statuses will reflect when agreements are signed. Date fields that are part of the Proposal and Contract records will reflect when things are contractually required.
3. PROPOSAL DETAIL FORM

The Proposal Detail form allows you to enter data related to a proposal. To open the form, click on SRPA and select Proposal » Proposal Detail.

![TTI Information System](image)

Figure 3.a. SRPA Menu with Proposal Detail Selected.
Figure 3.b. Proposal Detail Form

When you open this form, you will automatically be in query mode.

- Query to retrieve the proposal record you wish to modify. If you wish to enter a new proposal record, query first to see whether the proposal record has already been entered.

Enter new proposals or update existing proposals using the following procedures.

**IMPORTANT:** Be sure and use a full four digit year in all date fields.

### 3.1. TABS

The *Proposal Detail form* has a series of tabs. Tabs are a way of organizing related data. Each tab on a single Proposal record relates to that individual proposal.
3.2. PROPOSAL TAB

The first tab on the Proposal Detail form is the Proposal tab. (See Figure 3.a.)

- The TTI Proposal No. is automatically generated. The number will always begin with P followed by the current fiscal year and a three-digit number generated by the system. (i.e. P2000123.)
- Fiscal Year - Use the four digit number (i.e. 2000). This reflects the first fiscal year for which the project will be active.
- Title - The title of the project.
- RDO Administrator - The RDO person responsible for this project. The list of values will display only RDO employees.
- If applicable, select the Center Code from the pick list. If the project will be conducted by a TTI division or program rather than a center, leave this field blank. The division or program code will be associated with the PI.
- RF Number - Only used for Texas A&M Research Foundation project proposals.
- Flow Through Type - If selected, this field indicates that the money being used to pay TTI did not originate with the immediate sponsor. The value entered here reflects the type of money that is flowing through the immediate sponsor. Use this field only if there is a Flow Through Sponsor. The values available in the list are "Federal", "State" and "Private."
- Source of Funding - The values in this list break down the source of funding by type. **NOTE:** The rules for using these codes are not clearly mandated as of yet. BUS is seeking clarification and will communicate this information to RDO as soon as it is available.
- Period of Performance - The Start Date (mm/dd/yyyy) and Term Date (mm/dd/yyyy) fields reflect the entire contractual life of the project. The Period of Performance for a project should only be changed by creating a modification record for the contract using the Term Extension or Term Reduction contract statuses.
- Current Year - Often times, a project that spans multiple years will have to be re-negotiated each year. In this event, the Start Date (mm/dd/yyyy) and End Date (mm/dd/yyyy) fields reflect the contractual date the work begins and ends for that year. Specifically:

  **Start Date** = The day the contract authorizes work to begin.
  **End Date** = The day the contract requires the work to stop.

These dates may be specified by the contract in the following ways:
- Explicitly, from date to date.
- Upon execution of the contract (i.e. date of the final signature), and to last for a specific period of time.
- Upon execution of the contract (i.e. date of the final signature), with a specific end date.
The proposal form, however, will reflect these dates only for the first year. Subsequent re-negotiated annual dates will be reflected in the contract form.

If applicable, select the correct CDFA code. The detailed codes are only present for the Department of Transportation (group 20). If a code is in a CFDA group other than 20, the general code of "000" can be used if the actual code is unknown. The general codes for all groups are:

10.000 Department of Agriculture (USDA)
11.000 Department of Commerce
12.000 Department of Defense (DoD)
84.000 Department of Education
81.000 Department of Energy
93.000 Department of Health and Human Services (HHS)
14.000 Department of Housing and Urban Development (HUD)
16.000 Department of Justice
17.000 Department of Labor
19.000 Department of State
20.000 Department of Transportation
64.000 Department of Veterans Affairs
15.000 Department of the Interior
21.000 Department of the Treasury

If applicable, select the appropriate AZ (Arizona) or NJ (New Jersey) code.

Immediate Sponsor - The institution which is contracting TTI directly. Click the to get a list of sponsors.

Note: If the sponsor you are looking for doesn't exist, contact the Sponsor Administrator to have it entered.

If TxDOT box - The three fields contained in this box are to be updated only if the immediate sponsor is the Texas Department of Transportation.

Program - This field can only be updated if TxDOT has been selected as the immediate sponsor. The list of programs currently available are:

HS  Highway Safety
RMC1  Pavements
RMC2  Transportation Planning
RMC3  Geometric Design, Right-of-Way, Environment, and Hydraulics
RMC4  Traffic Operations
RMC5  Structures
IAC/LOA  IAC/LOA
RMC1-pre1998 Management and Policy
RMC2-pre1998 Multimodal Transportation
RMC3-pre1998 Right-of-Way (ROW), Hydraulics and Environmental Conservation
RMC4-pre1998 Roadway Planning and Design
RMC5-pre1998 Structures (including bridge rails)
RMC6-pre1998 Pavements
RMC7-pre1998 Materials
RMC8-pre1998 Construction and Maintenance
RMC9-pre1998 Traffic Operations (also includes safety appurtenances)

Important: A special distinction must be made when selecting an RMC program. The list of 1-5 are different currently than they were prior to 1998, and both have been listed here.

- **Type** - Program MUST be entered before entry is allowed into this field. The list of values for this field shows only those items pertaining to the selected Program. For example, if the program chosen is "Highway Safety", then only the 410 and 402 types would appear.

Lists of types that appear:

For Highway Safety Programs
- 410 Alcohol Only
- 402 Highway Safety except Alcohol

For IAC Programs
- IAC Interagency Contract
- LOA Letter of Agreement

For RMC Programs
- DDO Division, District and Office (Historical Only)
- 500 Federally Funded (FHWA)
- IMP Implementation Program
- RMC-only RMC Only

- **Funding District, Division, Office** - Program MUST be entered before this field can be updated.

- **Flow Through Sponsor** - TTI tracks the source of money one level beyond the Immediate Sponsor. For example, a federal agency gives money to TxDOT that is then used to contract research from TTI. TxDOT would be the immediate sponsor, and the federal agency would be the flow through sponsor. Click the button to get a list of flow through sponsors.

**Note:** If the sponsor you are looking for doesn't exist, contact the Sponsor Administrator to have it entered.

- To view detailed information about an immediate or flow through sponsor institution that has already been entered, click **Detail** on the Proposal tab. This will take you to the complete Sponsor Information form for that sponsor where you will be able to update certain fields such as sponsor aliases, address and phone. Click **X** to close the Sponsor Information form and return to the Proposal tab.
• **Sponsor Contract Number** - This is the immediate sponsor's reference number for the project.

• Select or add the **Administrative Contact** and/or **Technical Contact**, if applicable. Clicking will take you to a blank **Non-TTI Person form**. TTI employees should not be designated as sponsor contacts, and hence do not appear in the list of outside persons. **Important:** Before adding a new outside person in this form, please be certain that they do not appear in the list of outside people already.

![Non-TTI Person Form](image)

**Figure 3.e. Non-TTI Person Form**

**Non-TTI Person Form**

- On the **Non-TTI Person form**, enter the **Name** of the contact and a **Designation**, if applicable. Other information may be entered if available. **Important:** In order to keep the list of outside persons as clean as possible, do not put dot's after initials, and do not combine multiple initials into one field.

- Save, then click to close the **Non-TTI Person form** and return to the **Proposal tab**.

- To view detailed information about an Administrative Contact that has already been entered, click **Detail** on the **Proposal tab**. This will take you to the complete **Non-TTI Person form** for that contact. Use this form to updated information about an existing individual.

- On the **Proposal tab**, select or add the **Technical Contact**, if applicable. Follow the same procedure as that for Administrative Contact.
• Add any comments relevant to the proposal in the **General Comments** section. **Important:** Keep in mind that comment fields cannot be used as search criteria in reporting.

**View/Edit Abstract**

• To add, view, or edit the proposal abstract, click ![View/Edit Abstract](image). This will take you to the **Abstract** form.

![Abstract Form](image)

**Figure 3.f. Abstract Form**

• Enter or edit the proposal abstract.
• Save and close the form. Closing will return you to the **Proposal tab**.
3.3. BUDGET TAB

The **Budget tab** allows you to enter the proposed funding and the breakdowns of expenses estimated for the proposed project. This budget is specific to RDO’s needs and does not reflect all the budget categories stored in FAMIS.

![Figure 3.g. Budget Tab](image)

- Enter the **Proposed Funding**. This is the amount proposed to begin the contract.
- Enter the **Proposed Contract Amount**. This is the total amount for the entire life of the contract.
- Select the **Indirect Rate**.
- Enter the **Amounts** for the budget items which apply. A complete explanation on how to calculate each item can be found in Appendix B: Calculation of Budget Fields.
- Enter any **Cost Share Amount and/or Comments**. An explanation of Cost Sharing can be obtained from the intranet at: [http://ttinet.tamu.edu/Contracts_Grants/rules_regulations/cost_sharing.stm](http://ttinet.tamu.edu/Contracts_Grants/rules_regulations/cost_sharing.stm)
The **Status** tab allows you to enter the *current condition* of the proposal. The dates associated with proposal statuses typically reflect signature dates on pieces of paper.

Each Proposal Status is a separate record in the database.

![Figure 3.h. Status Tab](image)

When certain statuses are entered, the user is queried as to whether a modification record should be generated. These statuses are marked with an asterisk (*). In a case where multiple modifications are requested on the same piece of paper (e.g. on the same date), the first submitted status should be allowed to generate the new modification record. For each succeeding submitted status, the user should indicate “No” to the query.

Select the appropriate **Proposal Status** and enter the **Status Date**. The statuses are:

- **Logged** – This status is NO LONGER USED. It was originally created automatically when a new proposal is created. The **Status Date** was the date the record is entered. With the implementation of proposal history, the proposal version
of the contract side’s Entry Date field has been added to the proposal record. Hence, the Logged status is no longer needed.

- **Routed** - Indicates that the proposal has been sent off for signatures. It can be used anywhere in the process as necessary. The **Status Date** is the date the proposal is routed.
- **No Bid** - TTI decides not to bid on the contract. The **Status Date** is the date the record is entered. Proposal dies, and no further action occurs.
- **Submitted** - The date the proposal was sent to the sponsor.

**Previously Reported Indicator** – Since the implementation of the audit code, this box is no longer updateable by the user. Originally, they would check this box only when entering historical proposal statuses (from Paradox or contract files) that have been previously reported on an Office of University Research (OUR) report. This will prevent the information from appearing on the current month’s OUR report.

After the proposal is submitted, the following can be done during the negotiation phase:

- **Withdrawn** - TTI decides to withdraw the proposal after it has been submitted to the sponsor. The proposal dies. The **Status Date** is the date the sponsor is notified. No further action occurs.
- **Non-Funding Revision Submitted** - TTI submits a revised proposal that has nothing to do with the proposed amount. The **Status Date** is the date a revised proposal is sent to the sponsor. If the sponsor requests a revision of a revision, then a second Revised Proposal Submitted status will be posted, and so on for as many revisions as the sponsor requests.
- **Funding Revision Submitted** - TTI submits a revised proposal that changes the proposed amount. The **Status Date** is the date a revised proposal is sent to the sponsor. If the sponsor requests a revision of a revision, then a second Revised Proposal Submitted status will be posted, and so on for as many revisions as the sponsor requests.
- **Correct Proposed Funding** – On occasion a proposed amount will be entered and reported on the OUR report incorrectly. Since it has already been reported, the audit code will not let the amount be changed. The Correct Proposed Funding status is used to make a correction entry, generating a new modification record. The amount of this entry will be the difference between the correct amount and the incorrectly reported amount.
  
  Example: The incorrect amount previously reported was 30,000.00 and was supposed to be 25,000.00. The user would enter a correction amount of –5000.00. This correcting entry will show up on the next month’s our report.
- **Clarification Submitted** - TTI submits clarification of its proposal. The **Status Date** is the date the clarification is submitted to the sponsor.
- **BAFO Submitted** – This status is NO LONGER USED. TTI submits its best and final offer (BAFO). The **Status Date** is the date the offer is submitted to the sponsor.
After the negotiation phase, the following can be done:

- **Rejected** - The sponsor rejects the proposal, and the proposal dies. No further action occurs. The **Status Date** is the date the sponsor notifies TTI.

- **Funded Awaiting Execution** - This status is particular to TxDOT contracts and indicates that TxDOT has notified TTI that the proposal will be funded, but TTI has not yet received the signed contract.

- **Signed** - TTI has received the signed contract. The **Status Date** is the date the contract was signed. The signature date is not to be confused with the contract record’s **Start Date** field, which is defined as the date the contract calls for the work to start.

A status of **Signed** indicates that TTI has a signed contract in hand. Therefore the system will automatically create a **contract record**, copy all the **proposal information** into that record and take the user to the **Contract Detail form** where s/he can make any updates to the contract s/he needs to. In addition, a copy of the proposal’s signed status will be posted to the contract status table with the same date. This is done for reporting purposes.
Proposal Status Order

Logged

Routed

Submitted

No Bid

Withdrawn

BAFO Submitted

Clarification Submitted

Revised Proposal Submitted

Funded

Awaiting Execution

Signed

Rejected

Contract Record Created
3.5. PI TAB

The **PI tab** allows you to enter the name(s) of the principal investigator(s) for the proposed project and note their role order.

![Figure 3.i. PI Tab](image)

- Select the **Name** of the TTI PI from the pick list. All current TTI employees are included in this list.
- To enter the **Name** of a non-TTI PI who is not on the pick list, click ![image]. This will take you to the **Non-TTI Person** form in data entry mode. (See Figure 2.d.)
- Enter the **Role Order** of each PI. This is done rather than listing individuals as Co-PIs.
3.6. ACTION DATE TAB

Proposal Action Dates:

- **Submittal Due Date** – The date the proposal is due to the sponsor.

- **Check Status for Pending/Funded/Rejected** – date reflecting a reminder for the RDO administrator to check with the sponsor regarding the status of a submitted proposal.

![Image of Action Date Tab](image)
The **Joint tab** allows you to enter the name(s) of institution(s) with which TTI will be conducting the proposed project. *Joint institutions are not sponsors.*

![Joint Tab](image)

**Figure 3.k. Joint Tab**

- Select or add the **Joint Institution**.
- To add an institution, click ![Add Institution](image). This will take you to a new **Institution Information form** in data entry mode.
Institution Information Form

**Basic/Address tab**
- Enter the **Institution Name**.
- Enter the **Type Code**.
- Enter the **Street** address and **City**.
- Select the **State**, if the institution is in the United States.
- Enter the **Zip Code**.
- Enter the **Country**, if the institution is outside the United States.
Phone tab

- Enter the phone number(s) for the institution, as well as the **Extension** and **Country Phone Code**, if applicable. Include the **Area Code**, even for local phone numbers. Enter the seven-digit **Number** without breaks or hyphenation.
- Enter the **Fax** number, including the **Area Code**. Enter the **Country Phone Code**, if applicable.
- Click the **Delete** buttons next to each entry to delete phone or fax numbers.

- On the **Joint tab** click [Detail] to view the complete **Institution Information** form for Joint Institutions already entered.
- If the institution is the Lead institution, click on the **Lead** box on the **Joint tab** to place a check mark in the box. *The Lead institution is the institution responsible for the tracking of the project.*
- Enter the **Joint Amount**. This is the amount of funding allocated to the joint institution.
4. CONTRACT DETAIL FORM

When a status of signed is entered for a proposal record, a contract record will automatically be created. Use the Contract Detail form to update contract records. The form is similar to the Proposal Detail form in appearance, and some of the data entry rules are the same.

To open the form, click on SRPA and select Contract ▸ Contract Detail.

When you open the form, you will be in query mode. Query to find the contract record you wish to modify.

You may also access the Contract Detail form from the Contract Summary form (See Section 4.2.).
In order to effectively use the system, it is important to understand the following rules:

1. **A task (or child) contract record** is created for **accounting/tracking purposes only**. Each task (child) represents a contractual task, to be associated with a unique FAMIS project account number (SL/SA combination) and/or its own set of deliverables.

2. A **Order/Authorization** is a **pending** (i.e. Submitted) child contract that, if Executed, will generate one or more tasks (or children) for an existing contract. Sponsors use terms other than Order/Authorization, the most common being Work Order, Task Order and Work Authorization, but all these terms mean the same thing. If multiple tasks are added to a project as the result of a single Order/Authorization, each task will have its own unique numeric suffix and will be associated with a single FAMIS SL/SA project accounting number, but each task will have the same Order/Authorization number.

3. A **modification contract record** is created for **historical tracking purposes only**. The modification contract record will have the same TTI Contract Number as the original contract record. The difference between the original contract record and the modification is determined by the **effective date**. The record with the latest entry date will always contain the most recent information about the contract.

4. **Modification records** can be created from **parent and child records**. **Modification records** can only be created from the most recent version of a contract record. However, all earlier **modification records** can be updated.

5. **One contract record can be associated with one and only one SL/SA (spending account number) combination**. Otherwise, it becomes impossible to know which deliverables are associated with which FAMIS budget and FAMIS attribute records.

6. **An SL/SA (spending account) combination can have more than one contract record associated with it**. Each new proposal generates a new contract that adds new deliverables to the existing SL/SA. The compliance project with SL/SA 400001/00000 is a good example of this.

7. For those TxDOT projects which get new spending account's every year, a contract modification record is created via a **Continuation Budget** contract status, and the new spending account for the new fiscal year will be linked to it.
8. The **Period of Performance** reflects the entire life of the project. For example, a five-year contract might have a start date of 9/1/2000 and an end date of 8/30/2005.

9. Each fiscal year, projects which are continued will have a new contractual start and end date. The start date may or may not be the same as the date the agreement is signed. This is common with TxDOT projects. Typically:
   - Year one - The *Annual Agreement* and *Project Agreement* must always both be signed. The date that specifies when the work is to start MUST be same in both documents.
   - Succeeding years - The *Supplemental Agreement* and *Project Agreement* must always both be signed. The date as to when the work starts MUST be same in both docs.

   Each year, the contract's Budget Continuation Executed status date will be set to the date the *Project Agreement* is signed. On the Contract form, the Current Year's **Start Date** and **End Date** fields will reflect the contractual dates that work is to begin and end for the current fiscal year.

10. When a modification record is created, all budget fields created will be blank except for the **Total Award Amount**, **Total Contract Amount** and Indirect Cost Rate fields. If a modification involves increased or decreased funding, only the newly awarded amount will be reflected in the **Award Amount** field and the budget category fields. If a modification has nothing to do with increased or decreased funding, it should be left blank. Although the situation should never occur, multiple statuses generating individual award amounts must *never* be set on the same modification record with their award amounts being added together.
4.2. CONTRACT SUMMARY FORM

Use the Contract Summary Form to query for individual contract records or to view a contract’s parent record and all its task (child) and modification records.

NOTE: Only contract records associated with a FAMIS project account number (SL/SA combination) will be displayed on this form. For example a submitted order/authorization that is not yet executed will not be displayed, since it is not yet associated with an SL/SA.

4.b. Contract Summary Form

- To query, enter all or part of the term you wish to find. You may query using any field except the Effective Date field.
- To access the Contract Detail form for a particular record, click Detail.

4.3. CONTRACT DETAIL FORM TABS

Like the Proposal form, the Contact form has a series of tabs that organize related data.
4.4. CONTRACT TAB

The first tab on the Contract Detail form is the Contract tab. (See Figure 4.c.) This tab allows you to update or view the basic information regarding the contract, and to access the Contract Hierarchy form and Link Project form.

The basic information that appears on the contract record will come from the proposal record that has been given a status of signed. The majority of entry fields on the Contract tab of the contract detail form follow the same methods as explained in the proposal detail form section, 3.2. PROPOSAL TAB.

- The TTI Contract Number will be the same as the TTI Proposal Number for the associated proposal, except the $P$ will be replaced by a $C$.

EXAMPLE:  
TTI Proposal Number:  P1994172  
TTI Contract Number:  C1994172
• **Fiscal Year.** *Use the four digit number* (i.e. 2000). This reflects the *first* fiscal year for which the project will be active. This field will be updated each year in contract modification records created as a result of the **Budget Continuation** contract status.

• **Period of Performance** - The **Start Date** and **Term Date** fields reflect the entire contractual life of the project. The Period of Performance for a project should only be changed by creating a modification record for the contract using the **Term Extension** or **Term Reduction** contract statuses.

• **Current Year** - Often times, a project that spans multiple years will have to be re-negotiated each year. In this event, the **Start Date (mm/dd/yyyy)** and **End Date (mm/dd/yyyy)** fields reflect the contractual date the work begins and ends. Specifically:

  **Start Date** = The day the contract authorizes work to begin.
  **End Date** = The day the contract requires the work to stop.

  These dates may be specified by the contract in the following ways:
  - Explicitly, from date to date.
  - Upon execution of the contract (i.e. date of the final signature), and to last for a specific period of time
  - Upon execution of the contract (i.e. date of the final signature), with a specific end date.

• Click the View/Edit Abstract button to access the **Abstract form.** Add, view or edit the contract abstract as you would a proposal abstract. (See page 14.)

• Click the Contract Hierarchy button to access the **Contract Hierarchy form** which shows any tasks (children) associated with the contract.

• Entry of Sponsor Information is the same as described for the Proposal Detail form in section, 3.2. PROPOSAL TAB.
4.4.1. Contract Hierarchy Form

The Contract Hierarchy form shows the parent contract record and the task contract records associated with it. The first contract record created is also known as the "parent" contract, and the task contracts are also known as the "children" contracts.

To create a new Task (child) record:

- Click [Create New Task] under the Main Contract record.
- This will bring you to a new Contract Detail form. The TTI Contract Number will be automatically generated, and the Entry Date will default to the current date.
- The TTI Contract Number generated will be the TTI Contract Number of the main (parent) contract with a dot (.) and a number annexed. (i.e. C1994172.1)
  The number will be generated sequentially by the system.
- Enter the data as you would for any contract record.
To view or update a Task (child) record:

- Click **View / Update** under the Task Contract record. This will take you to the Contract Detail form for that task in data entry mode.

### 4.4.2. Order/Authorizations

Additional tasks added after the initial creation of the contract are referred to as Order/Authorizations. See page vi.

**Order/Authorization contract resulting in one task:**

- Create the order/authorization record as you would a new task (child) record.
- On the Status tab of the new child record, enter Order/Authorization Logged and the Date.
- When the proposal for this order/authorization is actually submitted to the sponsor, post a status of Order/Authorization Submitted and the Date.
- Because the task contract is pending (and, therefore, not linked to a FAMIS SL/SA) this record will not appear on the Contract Summary form.
- If the work order is rejected, post a status of Order/Authorization Rejected. No further action will occur.
- If the work order is executed, post a status of Order/Authorization Executed and the Date.
- As soon as the project SL/SA is imported from FAMIS, link the work order record to the SL/SA. (See section 4.4.1.) The task (child) and will appear on the Contract Summary form.

**Order/Authorization contract resulting in multiple tasks:**

In the event that an Order/Authorization results contractually in more than one task, each task will need to have a child record created for it. Each child is created as shown above. The number appearing on the hardcopy of the Order/Authorization contract will be entered into the Order/Authorization field of each child record in order to show that each task came from the same Order/Authorization contract.
4.4.3. Link Project Form

Clicking the Link Project button allows you to associate a contract with a specific project title and subledger/subaccount (SL/SA) number.

Select from either the pick list for:
- the **SL/SA** (FAMIS Subledger / Subaccount) number of the project.
  or
- the **Title** of the project.

Project SL/SAs and titles will be imported into the pick list from FAMIS daily.
4.5. AUDIT TRAIL METHODOLOGY

The SRPA module has built into it a methodology for guaranteeing the integrity of the submitted and awarded amounts entered into contract records which appear on reports that are generated by it. It is important for the user to understand how this methodology works. A detailed explanation of the audit trail methodology is provided in Appendix C: Audit Trail Methodology.

4.6. BUDGET TAB

This tab allows you to enter total contract budget, as well as breakdowns of costs.

- **Proposed Amount** – The amount proposed when the current contractual transaction is submitted. **IMPORTANT:** Multiple proposed amounts MUST NOT
be combined on a single contract modification record. Each status that results in money being proposed must generate a new contract modification record.

- **Award Amount** – Money that is awarded as part of the current contractual transaction. **IMPORTANT:** Multiple award amounts MUST NOT be combined on a single contract modification record. Each status that results in money being awarded must generate a new contract modification record.

- **Total Award Amount** – Total money awarded to this unique contract number since the project’s inception.

**EXAMPLE:**

A proposal for $200,000.00 is accepted by the sponsor who awards half the money up front. The initial contract record’s award fields would be:

- Award Amount: $100,000.00
- Total Award Amount: $100,000.00
- Total Contract Amount: $200,000.00

A month later, a change of scope is executed resulting in a modification record, but having no affect on the bottom line amount. The new modification record’s award fields would be:

- Award Amount: $0.00
- Total Award Amount: $100,000.00
- Total Contract Amount: $100,000.00

The Award Amount is zero because this record does not reflect any new money transactions. All the budget fields would be zero as well.

Two months later, the sponsor decides to increase the amount of money awarded to the project by $50,000.00. The modification record resulting from this budget increase would reflect the transaction in its award fields as follows:

- Award Amount: $50,000.00
- Total Award Amount: $150,000.00
- Total Contract Amount: $200,000.00

The budget items would reflect only how this new $50,000.00 is to be

- **Total Contract Amount** – Total money expected over the lifetime of the contract.

- **Indirect Rate** – The indirect rates are selected from a pick list. The Standard Negotiated Rate (SNR) is used for “TxDOT 100% Federal Funds”, “Research Foundation” and “Private, Federal and Other Through TTI” types of contracts.
• Enter the **Amounts** for the budget items which apply. A complete explanation on how to calculate each item can be found in Appendix B: Calculation of Budget Fields.
• Enter any **Cost Share Amount and/or Comments**. An explanation of Cost Sharing can be obtained from the intranet at: [http://ttinet.tamu.edu/Contracts_Grants/rules_regulations/cost_sharing.stm](http://ttinet.tamu.edu/Contracts_Grants/rules_regulations/cost_sharing.stm)

### 4.7. STATUS TAB

The **Status** tab allows you to enter the *current condition* of the contract. The dates associated with contract statuses typically reflect signature dates on pieces of paper.

![Status Tab](Image)

**Figure 4.g. StatusTab**

• Enter the **Status date** *(required)* and select the **Contract Status** and. Statuses are listed on pages 34-35.
• **Previously Reported Indicator** – With the implementation of the audit code, this box is no longer updateable by the user. Originally they checked this box *only* when entering historical contract statuses (from Paradox or contract files) that have been previously reported on an Office of University Research (OUR) report. This will stop the contract information from appearing on the current month’s OUR report.
When certain statuses are entered, the user is queried as to whether a modification record should be generated. These statuses are marked with an asterisk (*). In a case where multiple modifications are requested on the same piece of paper (e.g. on the same date), the first submitted status should be allowed to generate the new modification record. For each succeeding submitted status, the user should indicate “No” to the query.

**Contract statuses:**

Used to increase or decrease the bottom line award amount.
- *Budget Decrease Submitted*
- Budget Decrease Rejected
- Budget Decrease Executed – automatically adds award to total award amount
- *Budget Increase Submitted*
- Budget Increase Rejected
- Budget Increase Executed – automatically adds award to total award amount

Used to change line items; bottom line award amount stays the same.
- *Budget Revision Submitted*
- Budget Revision Rejected
- Budget Revision Executed

Used more miscellaneous revisions.
- Additional Revision(s)

Used to continue a multi-year contract into the next fiscal year.
- *Continuation Budget Submitted*
- Continuation Budget Rejected
- Continuation Budget Executed

- Used to post a modification record with an award amount necessary to correct a previously misreported proposal or award amount. On occasion an amount will be entered and reported on the OUR report incorrectly. Since it has already been reported, the audit code will not let the amount be changed. The following two statuses are used to make a correction entry, generating a new modification record. The amount of this entry will be the difference between the correct amount and the incorrectly reported amount.

  **Example:** The incorrect amount previously reported was 30,000.00 and was supposed to be 25,000.00. The user would enter a correction amount of – 5000.00. This correcting entry will show up on the next month’s our report.

- *Correct Submitted Amount*
- *Correct Award Amount*
Used to add and remove deliverables.
- **Deliverable(s) Add Submitted**
- **Deliverable(s) Add Rejected**
- **Deliverable(s) Add Executed**
- **Deliverable(s) Remove Submitted**
- **Deliverable(s) Remove Rejected**
- **Deliverable(s) Remove Executed**

Used to request an extension to the deliverables’ due dates.
- **Deliverable Duedate Extension Requested**
- **Deliverable Duedate Extension Executed**
- **Deliverable Duedate Extension Rejected**

Used to extend the period of performance.
- **Term Extension Submitted**
- **Term Extension Rejected**
- **Term Extension Executed**

Used to change a principal investigator.
- **PI Change Submitted**
- **PI Change Rejected**
- **PI Change Executed**

Used to change the scope of the contract.
- **Revised Scope Submitted**
- **Revised Scope Rejected**
- **Revised Scope Executed**

Used to generate new task(s) within existing contracts.
- **Order/Authorization Submitted**
- **Order/Authorization Executed** – automatically adds award to total award amount
- **Order/Authorization Rejected**

Used to shorten a contract’s period of performance
- **Term Reduction Submitted**
- **Term Reduction Executed**
- **Term Reduction Rejected**

Used to terminate contracts.
- **Terminated End of Project** – Used when RDO receives notice from TTI’s Business Office or the Research Foundation.
- **Terminated for Cause** – Used when a contract terminates, prior to the end of the period of performance, due to a breech of contract by either the sponsor or TTI.
• **Terminated for Convenience** – Used when the contract is terminated by either the sponsor or TTI for convenience rather than for breach of contract.

Created automatically when the Proposal Status of Signed is set.

• **Signed**
4.8. PI TAB

Like the PI tab on the Proposal Detail form, the **PI tab** on the Contract Detail form allows you to add information on the principal investigator(s) responsible for the project. Please see Section 3.5. for instructions on completing the PI tab.

4.9. DELIVERABLE TAB

The **Deliverable** tab allows RDO to view all the deliverables associated with the contract. Deliverables are associated with the **TTI Contract Number** and will show up on the Deliverable tab of any of the modification records for that TTI Contract Number.
Enter the Deliverable Number (Dlv No.). Deliverable numbers must be unique and are obtained from the paper contract.

Select the Tracking Organization (RDO or ITEC). Note that once ITEC is selected and the record is saved, the tracking organization may not be changed.

Select the Deliverable Type.
- Deliverable types fall into two categories: administrative and non-administrative. Monthly, quarterly, and semi-annual progress reports are administrative deliverables. All other deliverable types are non-administrative.
- Selecting a Progress Report as a Deliverable Type tells the system that the particular deliverable record is for an administrative deliverable. Clicking on these records will take you to the Administrative Deliverables form. (See Section 3.9.)
- Selecting any other Deliverable Type tells the system that the particular deliverable record is for a non-administrative deliverable. Clicking on these records will take you to the Deliverables Detail form. (See Section 3.8.)

Complete the date fields as necessary:
- **Due Date**: This is the contractual due date for the first submission of the deliverable, whether or not it is a draft. In the case of drafts, statuses will be used to indicate dates of subsequent drafts. If the tracking organization has been set to ITEC, a status of "Submit: Date due" will be automatically posted to the Deliverable Detail record when this date is entered by RDO. In order to insert or change this field, the Tracking Organization must have been specified.

The Submitted Date, Transmittal Due Date, and Transmitted Date fields are entered directly on the Deliverables tab if RDO is the tracking organization. Otherwise, they are updated automatically based on specific statuses entered by ITEC via the ITEC Tracking form. (See Section 5.)

- **Submitted Date**: This is the date the first submission is actually sent to the sponsor.
- **2nd and 3rd Draft Due** dates: Some contracts call for drafts due on particular dates. Certain statuses set in the ITEC Tracking form will update the 2nd Draft Due and 2nd Draft Submitted fields. RDO can enter these dates directly on the deliverable tab.
- **Transmittal Due Date**: This is the deadline the sponsor has specified for the publication of the deliverable.
- **Transmitted Date**: This is the date the published material is delivered to the sponsor.
• **Extension Date**: When an extension is requested for a deliverable, the date requested is entered into this field by RDO. If the extension is executed, RDO then copies this date into the appropriate **Date Due** field and blanks out the **Extension Date** field. If the extension is rejected, the **Extension Date** field is blanked out. Therefore, if there is a date in the **Extension Date** field, an extension is pending.

• The **Report Number** should only be added or updated via the **Deliverable tab** on the **Contract Detail** form (as opposed to the **Deliverable Detail** form). The reason for this is that for multi-volume deliverables, all the details records will be updated automatically if the **Report Number** is updated on the **Deliverable tab**.

• The **Active field** is a check box that is either checked (Yes) or unchecked (No). If the deliverable is removed from the contract, this field must be unchecked to indicate it is no longer an active part of the contract. The default value for a new deliverable is checked.

• **Description**: The contractual description of the deliverable. In the case of TxDOT RMC deliverables, the description is entered from the contractual TxDOT deliverable table’s Description column.

• **TxDOT Comments**: Contractual sponsor comments concerning the deliverable. In the case of TxDOT RMC deliverables, the comment is entered from the contractual TxDOT deliverable table’s Comments column.

• **RDO Notes**: Reserved specifically for informational notes made by RDO staff.

• To add or edit the **TxDOT Comments** field, click . This will take you to the **Deliverable Status Comments form**, where you can add or change any comments. The **RDO Notes** field works similarly.

![Figure 4.i. Deliverable Status Comments Form](image)
4.10. DELIVERABLE DETAIL FORM

For non-administrative deliverable types, click on the Deliverable tab to access the Deliverable Detail form.

The Deliverable Detail form has two tabs, the Deliverable Details tab and the ITEC Status tab.

The information displayed on the ITEC Status tab is read-only. The tab allows RDO to view ITEC’s deliverables tracking as recorded on the ITEC Tracking form (see Section 5).

4.10.1. Deliverables Business Rules

1. RDO will be responsible for the initial entry of all deliverables and the assigning of report numbers. The entry of a new deliverable will automatically generate an initial record for that deliverable into the Deliverable Detail table. The title in the detail record will default to the TTI Contract Number – Deliverable Number, and RDO can change the title manually when the title is acquired.

2. ITEC will not have the ability to create new deliverable records or change report numbers. ITEC can, however, insert additional deliverable detail records in order to add a new volume for an existing deliverable.

3. RDO will only track tangible deliverables. For example, in cases of deliverables such as courses developed, RDO will not track the course, only the tangible course materials associated with it. Similarly, deliverables such as presentations and seminars will not be tracked. Only the tangible slides, handouts, etc. associated with the presentation will be tracked.

4. Each deliverable will have only one record. In cases where the deliverable becomes a multi-volume report, it will still have one record in the deliverable table, but it will have one record per volume in the Deliverable Detail table.
RDO staff will be responsible for initial entry of all deliverables and the assigning of report numbers. The entry of a new deliverable will automatically generate an initial record for that deliverable into the Deliverable Detail table. The title in the detail record will default to the TTI Contract Number - Deliverable Number, and RDO staff can change the title manually if they wish.

ITEC will not have the ability to create new deliverable records or change report numbers. They can, however, insert additional deliverable detail records in order to add a new volume for an existing deliverable via the ITEC Tracking form (See Section 5).
4.10.2. Deliverable Details Tab

RDO staff will use the Deliverable Details tab to enter basic information about each deliverable.

![Deliverable Details Form](image)

Figure 4.j. Deliverable Details Form

- Enter the Deliverable Title (report title).
- Select TTI as the Publisher, if the report has been published.
- The Unpublished field is checked by default when the deliverable record is first created. As long as this field is checked, the deliverable will not show up on résumés on the intranet or Internet. It is important to uncheck the field when a deliverable is published and the authoring researchers wish it to appear on their résumés.
- Select the Series Name.
- The Report Number will have been entered on the Deliverables Tab. Although it is technically possible to edit the report Number using the Deliverable Details form, it is preferable to edit it from the Deliverables Tab. This avoids possible confusion in the case of multi-volume deliverables. If you do change a report number for a multi-volume deliverable using this form, be sure you change the number on each of the deliverable’s records.
- For published reports, enter the Year Published and Month Published.
- For multi-volume reports, enter the Volume Number.
- Select the **Media Type**.
- For print documents, enter the **Number of Pages**.
- For audiocassettes or videotapes, enter the **Number of Minutes**.
- Select or add the **Author Name(s)**, and select **Roles** (author or editor). Enter the **Role Order**.

### 4.10.3. ITEC Status Tab

Statuses for each deliverable tracked by ITEC will be entered by ITEC on the **ITEC Tracking form** and displayed on the **Deliverable Detail form's ITEC Deliverable Status tab**. This tab matches the **Status tab** on the **ITEC Tracking form**. (See Section 5.2.)

![Project Deliverables Detail Information Form (PRJ_80_RDO)](image)

**Figure 4.1. RMC Status tab**

In this particular example, the Submittal : Date due status of 11-30-1995 would have been automatically posted when RDO entered the Date Due field for this deliverable on the Deliverable tab of the Contract form.

When ITEC set the Transmittal : Transmitted status of 11-20-1995 from the ITEC Tracking form, the Transmitted Date field for this deliverable on the Deliverable tab of the Contract form would have been automatically filled in.
4.11. ADMINISTRATIVE DELIVERABLES FORM

For administrative deliverable types (Progress Reports), clicking on the Deliverable tab will access the Administrative Deliverables form.

- Enter the **First Report Due Date**.
- The **Contract Termination Date** will default to the termination date entered on the contract record. You may manually change this date if necessary.
- Enter the **Frequency** that the progress reports are due (monthly, quarterly, semi-annually).
• Click **Calculate**. The system will calculate and enter the all progress report due dates until the contract termination and will enter these dates in the **Date Due** field below.

**IMPORTANT:** The calculate function only works once. Do not try to calculate the due dates again or duplicates of all the records will be posted again. To modify **Due Dates**, manually replace the calculated due date.

• As the progress reports are submitted, enter the **Date Submitted** for each report.

• The system sets a five-year limit on the due date calculations. If the contract is longer than five years, calculate the first five years, then change the dates and perform a second calculation.

### 4.12. ACTION DATE TAB

**Contract Action Dates:**

• **Budget Continuation Due** – reminder to the RDO administrator that a project is scheduled to continue into the next fiscal year but will require that a continuation budget be submitted to the sponsor.
• **Check Status** – date that the RDO administrator needs to check the status of a particular contract action as indicated on the status tab.

• **Close Out Due** – expected date that the RDO administrator should perform the close out procedure.

• **Amend to Cross Biennium** – reminder to the RDO administrator that in order for a project to be continued into the next fiscal year, an amendment will need to be prepared.

• **Modification Due** – date for the reminder to the RDO administrator that a modification will need to be prepared.

• **Semiannual Report Due** – reminder to the RDO program coordinator & RDO administrator that semiannual reports are due to TxDOT. Note: This status will be used for the RMC program only.

• **Forgiveness Request Submitted** – This action is used to reflect instances when RDO is required to submit letters and/or documentation to the sponsor requesting approval of PI actions (i.e., out-of-state travel, capital equipment purchases, or adding a subcontractor to a project). Used solely when TTI has not followed proper sponsor procedures such as seeking the required prior approval.

• **Forgiveness Request Approved** – reflects date sponsor approved our action.

• **Forgiveness Request Rejected** – reflects date sponsor rejected our action.

• **Equipment Request Submitted** – reflects date a request was submitted to the sponsor for approval of an equipment purchase.

• **Equipment Request Approved** – reflects date sponsor approved our equipment purchase request.

• **Equipment Request Rejected** – reflects date sponsor rejected our equipment purchase request.

• **Travel Request Submitted** – reflects date a request was submitted to the sponsor for approval of out-of-state travel.

• **Travel Request Approved** – reflects date sponsor approved our out-of-state travel request.

• **Travel Request Rejected** – reflects date sponsor rejected our out-of-state travel request.
Like the Joint tab on the Proposal Detail form, the **Joint tab** on the **Contract Detail form** allows you to add information on institutions with which TTI is participating in the project. Please see Section 3.7. for instructions on completing the Joint tab.
ITEC uses the **Project Deliverable Detail Information Form** to track its deliverables. ITEC can also use this form to insert additional deliverable detail records in order to add a new volume for an existing deliverable. RDO staff does not have access to the form.

To access this form, select **ITEC Tracking** from the **SRPA** pull-down menu.

---

**Figure 5.a. Project Pull-Down Menu**
5.1. DELIVERABLE DETAIL TAB

The Deliverable Detail tab includes most of the same information as the Deliverable Details tab on the RDO Deliverable Detail form. (See Section 4.9.2.)

The Unpublished field is checked by default when the deliverable record is first created. As long as this field is checked, the deliverable will not show up on résumés on the intranet or Internet. It is important to uncheck the field when a deliverable is published and the authoring researchers wish it to appear on their résumés.

In addition, it includes fields to enter the Price, RDO Deliverable Type, and Comments.
5.2. STATUS TAB

ITEC tracks its deliverables using the **Status tab**. The information entered on this form also displays on the **RMC Status tab** of the **Deliverables Detail form**. When the status changes, new status records are created, rather than replacing old status records. This allows the **Status tab** also to serve as an historical reference of the deliverable’s changes in status. The one exception to this is the Submittal : Date due status. This status is posted automatically as a result of RDO setting the corresponding Date Due field for the deliverable on their Contract forms Deliverable tab. Any updates to that field will update the existing Submittal : Date due status seen below.

![Project Deliverables Detail Information Form (PRJ_BO)](image)

<table>
<thead>
<tr>
<th>Status Class</th>
<th>Status</th>
<th>Status Date</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submittal</td>
<td>Date due</td>
<td>10-31-1999</td>
<td></td>
</tr>
<tr>
<td>Submittal</td>
<td>Submitted</td>
<td>10-26-1999</td>
<td></td>
</tr>
<tr>
<td>Submittal</td>
<td>Received from author after edit</td>
<td>10-26-1999</td>
<td></td>
</tr>
<tr>
<td>Submittal</td>
<td>Sent to author with edit revisions</td>
<td>10-22-1999</td>
<td></td>
</tr>
<tr>
<td>Submittal</td>
<td>Given to editor</td>
<td>10-20-1999</td>
<td></td>
</tr>
<tr>
<td>Submittal</td>
<td>Manuscript received for edit</td>
<td>10-19-1999</td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.c. Status Tab

- Select the **Status Class**, **Status**, and **Status Date**. Shown below are those statuses that will cause database level triggers to copy the Status Date information to fields on the Contract form’s Deliverable tab.
ITEC Status

Field of the contract record’s Deliverable tab

| Submittal: Submitted       | Submitted Date |
| Transmittal: Date due      | Transmittal Due |
| Transmittal: Transmitted   | Transmitted Date |
| Resubmittal: Date due      | 2nd Draft Due |
| Resubmittal: Resubmitted   | 2nd Draft Submitted |
| PD-Approval: Date due      | 2nd Draft Due |
| PD-Approval: Proof sent to TxDOT | 2nd Draft Submitted |

Note that it is the 2nd Draft Due fields that are updated and never the 3rd Draft Due. This is because there is no way to predict the number of resubmittals and PD approval phases a deliverable may go through before transmittal.

- Select any Notes relevant to the status.

5.3. EDITOR TAB

The Editor tab allows ITEC to track the work of its editors on the deliverable.

- Select or add the editor’s Name.
- Select the Tracking Stage.
- Enter the Hours Spent on the particular Tracking Stage.

Figure 5.d. Editor Tab
5.4. COPY DELIVERED TAB

The **Copied Delivered tab** allows ITEC to track the number of copies of each deliverable sent in each tracking stage.

![Image of Copy Delivered Tab](image)

**Figure 5.e. Copy Delivered Tab**

- Select the **Tracking Stage**.
- Select the **Type**.
- Enter the **Number of Copies**.
5.5. PROJECT INFO TAB

Basic information about the project for which the deliverable is being created is entered in the **Project Info tab**.

![Figure 5.f. Project Info Tab](image)

- Enter the **SL** (subledger) and **SA** (subaccount) numbers assigned to the project from FAMIS.
- Enter the **RDO TTI Contract Number** from the contract record.
- Enter the **Contract Title**.
- Enter the **PI** (Principal Investigator).
- Enter the **Co-PI**, if applicable.
5.5. PRINT REPORTS TAB

Click the button on this tab to print a submittal status class report for the deliverable.

![Figure 5.g. Print Reports Tab](image)

Submittal Status Class Report
6. RDO GENERAL CODES MAINTENANCE FORM

This form allows the RDO Administrator to enter new codes. Only the RDO Administrator will have access. While new codes will be entered, old codes cannot be deleted.

![RDO General Codes Maintenance Form](image)

Figure 6.a. RDO General Codes Maintenance Form

- Click the button of the codes you wish to change. Clicking on any of the buttons will allow you to access a list of values form.
- Query for the value you wish to add before adding it. This will prevent accidental duplication of values.
- Enter the **Description**.
- Enter the **Code**.
- Save and click to exit and return to the **RDO General Codes Maintenance form**.
The TxDOT Program list of values form allows you to enter TxDOT organizational programs and their codes. These values then appear on the pick list for the TxDOT Program field on the Proposal Detail and Contract Detail forms.

![TxDOT Programs Form](image)

Figure 6.b. TxDOT Programs Form
The New Jersey (NJ) and Arizona (AZ) Codes list of values forms are similar forms, allowing you to enter a description and code for New Jersey or Arizona projects. These values then appear on the pick list for either the NJ or AZ field on the Proposal Detail and Contract Detail forms.

<table>
<thead>
<tr>
<th>Description</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aerial Photography Surveys</td>
<td>A-1</td>
</tr>
<tr>
<td>Archaeological Data Recovery</td>
<td>A-3</td>
</tr>
<tr>
<td>Archaeological Surveys</td>
<td>A-4</td>
</tr>
<tr>
<td>Asbestos Remediation</td>
<td>A-5</td>
</tr>
<tr>
<td>Aviation Design</td>
<td>A-7</td>
</tr>
<tr>
<td>Aviation Planning</td>
<td>A-6</td>
</tr>
<tr>
<td>Bridge - Design</td>
<td>B-1</td>
</tr>
<tr>
<td>Bridge - Design, Simple</td>
<td>B-3</td>
</tr>
<tr>
<td>Bridge Design - Movable</td>
<td>B-4</td>
</tr>
<tr>
<td>Bridge Mgmt Sys</td>
<td>B-2</td>
</tr>
<tr>
<td>Claim Litigation Support/Scheduling</td>
<td>C-1</td>
</tr>
<tr>
<td>Congestion Mgmt Sys</td>
<td>C-3</td>
</tr>
<tr>
<td>Construction Mgmt Bridge Painting 1-2-3-4</td>
<td>C-4</td>
</tr>
<tr>
<td>Construction Mgmt Electrical 1-2-3-4</td>
<td>C-5</td>
</tr>
</tbody>
</table>

6.c. New Jersey Codes Form
6.3. PROPOSAL and CONTRACT STATUS

The Proposal Status and Contract Status list of value forms function similarly. Both forms allow you to enter descriptions of statuses and assign codes to them. (However, these codes are not used by the system and are not required.)


![6.d. Proposal Status Code Form](image.png)
6.4. DELIVERABLE TYPES

The Deliverable Types list of values form allows you to enter a description of the deliverable type and indicate whether or not it is an administrative report. These values appear on the pick list for the Deliverable Type field on the Deliverable tab of the Contract Detail form.

Selecting "No," indicating that it is not an administrative report, tells the system that when this particular deliverable type is entered on the Deliverable tab, the user will then be taken to the Deliverable Details form.

Selecting "Yes," indicating that it is an administrative report, tells the system that whenever this particular deliverable type is entered on the Deliverable tab, the user will then be taken to the Administrative Deliverables form.

6.e. Deliverable Types Form

<table>
<thead>
<tr>
<th>Description</th>
<th>Administrative Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Evaluation</td>
<td>No</td>
</tr>
<tr>
<td>Annotated Bibliography</td>
<td>No</td>
</tr>
<tr>
<td>Annual Report</td>
<td>No</td>
</tr>
<tr>
<td>Audio Visual</td>
<td>No</td>
</tr>
<tr>
<td>Bibliography</td>
<td>No</td>
</tr>
<tr>
<td>Brochure</td>
<td>No</td>
</tr>
<tr>
<td>Computer Programs</td>
<td>No</td>
</tr>
<tr>
<td>Data Files</td>
<td>No</td>
</tr>
<tr>
<td>Data Report</td>
<td>No</td>
</tr>
<tr>
<td>Design Guidelines</td>
<td>No</td>
</tr>
<tr>
<td>Draft Final Report</td>
<td>No</td>
</tr>
<tr>
<td>Draft Report</td>
<td>No</td>
</tr>
<tr>
<td>Equipment</td>
<td>No</td>
</tr>
<tr>
<td>Equipment Documentation</td>
<td>No</td>
</tr>
</tbody>
</table>
### 6.5. SPONSOR TYPE

#### 6.f. Sponsor Type form

<table>
<thead>
<tr>
<th>Description</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
<td>F</td>
</tr>
<tr>
<td>Local</td>
<td>L</td>
</tr>
<tr>
<td>Private</td>
<td>P</td>
</tr>
<tr>
<td>State</td>
<td>S</td>
</tr>
</tbody>
</table>
7: Sponsor Information Form

General users may access the Sponsor Information form to update some information for existing sponsors, but only the RDO Sponsor Administrator has the rights to add new sponsors. The form has three tabs: the Basic tab, the Address tab and the Phone tab.

The sponsor Name, FAMIS Sponsor Code, Type and FAMIS Sponsor State fields should exactly match their counterparts in the FAMIS sponsor table. It is the RDO Sponsor Administrator's responsibility to obtain any necessary information from the BUS Sponsor Administrator.

Basic tab

- **Name** - The sponsor's "official" name as entered into FAMIS.
• **FAMIS Sponsor Code** - Must be the same as entered into FAMIS.
• **Type** - Must be the same as entered into FAMIS. Sponsor types and their associated codes are listed below.

<table>
<thead>
<tr>
<th>Code</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>F</td>
<td>Federal</td>
</tr>
<tr>
<td>IN</td>
<td>Institutional (TAMUS Sponsored)</td>
</tr>
<tr>
<td>LA</td>
<td>County Agencies</td>
</tr>
<tr>
<td>LD</td>
<td>Districts, Authorities, Commissions</td>
</tr>
<tr>
<td>LG</td>
<td>City Governments</td>
</tr>
<tr>
<td>NC</td>
<td>Private Non-Prof Fed Fund Res Org</td>
</tr>
<tr>
<td>NF</td>
<td>Private Non-Prof Foundation</td>
</tr>
<tr>
<td>NR</td>
<td>Private Non-Prof Research Org</td>
</tr>
<tr>
<td>NT</td>
<td>Private Non-Prof Trade/Prof org</td>
</tr>
<tr>
<td>NU</td>
<td>Private Non-Prof University</td>
</tr>
<tr>
<td>PF</td>
<td>Private Foundations</td>
</tr>
<tr>
<td>PN</td>
<td>Private Individual</td>
</tr>
<tr>
<td>PP</td>
<td>Private Profit</td>
</tr>
<tr>
<td>PR</td>
<td>Private Research Organizations</td>
</tr>
<tr>
<td>PT</td>
<td>Private Trade / Professional Org</td>
</tr>
<tr>
<td>PU</td>
<td>Private Universities</td>
</tr>
<tr>
<td>SA</td>
<td>State Agencies</td>
</tr>
<tr>
<td>SC</td>
<td>State Colleges / Universities</td>
</tr>
<tr>
<td>XG</td>
<td>Foreign Governments</td>
</tr>
<tr>
<td>XM</td>
<td>Foreign - Miscellaneous</td>
</tr>
<tr>
<td>XO</td>
<td>Foreign Org / Companies</td>
</tr>
</tbody>
</table>

• **FAMIS Sponsor State** - Must be the same as entered into FAMIS.
• **Abbreviation** - This field has been replaced by the Alias field and should no longer be used.
• **Sponsor Alias** - These are alternative names for the sponsor. Selection of the sponsor name or any alias associated with the sponsor will result in that sponsor being linked to the contract record. Any RDO employee can add an alias to help them more quickly identify a sponsor in the list of sponsor names.

*Address tab*
Figure 3.c. Sponsor Information Form, Basic/Address Tab

- Enter the sponsor **Name** and **Abbreviation**
- Enter the **Street** address and **City**.
- Select the **State** for institutions within the U.S.
- Enter the **Zip Code**.
- Select the **Country** for institutions outside the U.S.

**Phone tab**

3.d. Sponsor Information Form, Phone Tab

- Enter the phone number(s) for the institution, as well as the **Extension** and **Country Phone Code**, if applicable. Include the **Area Code**, even for local phone numbers. Enter the seven-digit **Number without breaks or hyphenation**.
• Enter the Fax number, including the Area Code. Enter the Country Phone Code, if applicable.
• Click the Delete button next to each entry to delete phone or fax numbers.
• Save, then click to close this form and return to the previous form.
8: Office of University Research (O.U.R.) Reports

This documentation is provided to instruct RDO how to generate Monthly OUR reports and how to generate historical OUR reports using the TTI-IS Project Module.

8a Select reports from menu

- Open the TTI-IS Project Module → Reports → RDO Reports
• **Running monthly Corrections Reports**

To run Proposals Corrections/Contracts Corrections, simply click on the RDO Proposals Corrections/RDO Contracts Corrections button.

These reports contain proposal/contract information sorted by RDO administrator.

The criteria for a proposal to appear on the Proposals Corrections report is as follows:

A. The status must be one of the following:
   - Submitted (for new proposals -This is a proposal status)
   - Budget Increase Submitted
   - Budget Decrease Submitted
   - Continuation Budget Submitted
   - Order/Authorization Submitted
   - And one of the following must exist for the above statuses:
     - proposal_status_date must be in the current reporting month and not previously reported OR
     - If the proposal_status_date is earlier than the beginning of reporting period and the proposal has not been previously reported.
The criteria for a contract to appear on the Contracts Corrections report is as follows:

B. The contract status must be one of the following:
   - Signed
   - Budget Increase Executed
   - Budget Decrease Executed
   - Continuation Budget Executed
   - Order/Authorization Executed
   - And one of the following must exist for the above statuses:
     - contract_status_date must be in the current reporting month and not previously reported OR
     - if the contract_status_date is earlier than the beginning of reporting period and the contract has not been previously reported.

C. Business Rules and Procedures - RDO will set business rules for a cut-off date for entering contracts/proposals to be reported for the previous month. This cut-off date will be determined internally by RDO. This means that all contract/mods/proposals that are to be reported should be entered by this date. This will enable Linda Greig to run the “Proposal Corrections Monthly Report” and the “Contract Corrections Monthly Report” without having new information appear each time the report is run (due to individuals continuing to enter information).

D. Reports Distribution – Reports should be sent to O.U.R by the tenth of each month. This implies that the correction reports should be run by the fifth of each month to give each administrator time to make any necessary corrections.
9. TECHNICAL SUPPORT

If you have any questions that are not covered in this manual, please contact Network and Information Services at 862-1417, and ask to speak to an analyst.

If the system is giving you an error message, please write it down so that you can give it to the analyst when you call.
Appendix A: Entering Contract History

The following is an example of entering contract history occurring prior to the 11/22/1999 load into the ORACLE based Sponsored Research Project Administration (SRPA).

For the example, assume contract C1999xyz was originally tracked in Paradox and during that time the following occurred:

It was proposed on 1/23/1997.
It was signed on 2/15/1997 and was awarded $200,000.
It underwent a PI change on 12/3/1997.
It had a budget increase on 5/5/1999 of $50,000.

Contract C1999xyz was loaded into SRPA from Paradox on 11/22/1999. At this time, the information would have been loaded as it appeared for the modification record from Paradox for the 5/5/1999 budget increase. None of the earlier history would exist in SRPA. Also, the Award Amount loaded would have been the $50,000. In addition, the Proposal information loaded into SRPA would be identical to the contract information, probably not reflecting the original proposal information very accurately.

The contract record for C1999xyz would have a status of Signed, and an Entry Date of 11/22/1999.

From this point on, any new activity for this contract would have been logged in SRPA.

New activity occurred for the contract on 2/3/2000 when another budget increase was submitted for $30,000. In SRPA, the rdo administrator set a status of Budget Increase Submitted and created a new modification record. At this point, if queried on the Contract Summary screen in SRPA, C1999xyz would have two contract records:

<table>
<thead>
<tr>
<th>TTI Contract Number</th>
<th>Entry Date</th>
<th>Status</th>
<th>Award Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>C1999xyz</td>
<td>2/3/2000</td>
<td>Budget Increase Submitted</td>
<td>30,000</td>
</tr>
<tr>
<td>C1999xyz</td>
<td>11/22/1999</td>
<td>Signed</td>
<td>50,000</td>
</tr>
</tbody>
</table>

Now, when the RDO administrator is ready to enter the historical information for this particular contract, how do they do it?

The key to doing this entry correctly is to remember that it is the Contract Detail screen's Entry Date field which shows in what order modifications occurred. SRPA will not allow two records with the same TTI Contract Number to be posted with the same entry dates, but it will allow an entry date to be changed after the record is created.

The user can create a modification record by setting the statuses per the norm, and the Entry Date will default to today's date. Then the user can move the new modification
record to the past by simply changing the Entry Date field to a date reasonably close to when the modification actually occurred.

So, to enter the above contract’s history:

- Update its proposal record (P1999xyz) to reflect the original proposal information. Update any of the status dates that may need it, paying special attention to the date of the Signed status.

- The next step is to produce a contract record which is reflective of the situation at the time the proposal was signed. To do this, go to the original contract record with the entry date of 11/22/1999. A good beginning date for the Entry Date field would be to use the date of the Proposal's Signed status. Save the change.

- Go to the Status tab and be sure this contract record has a Signed status as well. It should also have the same date as the Proposal's Signed status.

- Update any other information on this contract record as needed so that it reflects the information current at the time the contract was signed. Save these updates.

At this point, if queried on the Contract Summary screen in SRPA, C1999xyz would have two contract records:

<table>
<thead>
<tr>
<th>TTI Contract Number</th>
<th>Entry Date</th>
<th>Status</th>
<th>Award Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>C1999xyz</td>
<td>2/3/2000</td>
<td>Budget Increase Submitted</td>
<td>30,000</td>
</tr>
<tr>
<td>C1999xyz</td>
<td>2/15/1997</td>
<td>Signed</td>
<td>200,000</td>
</tr>
</tbody>
</table>

Important Note: The original award amount was for $200,000 dollars. Not for $50,000 which is what was loaded from Paradox. Although the $200,000 was already reported from Paradox reports, to be true to the SRPA business rules, the Budget tab’s Award Amount field for this record must be set to $200,000. In order to be sure it is not reported a second time, the user must check the Status tab’s Previously Reported check box.

At this point, two more historical modification records from Paradox which remain to be created:

The budget increase on 5/5/1999 of $50,000.

- Go to the Status tab, posts a PI Change Submitted status and allows the system to create a new modification record.
- Change the Entry Date of the new modification record to be the same as the date the PI change was submitted and Save it.
- Post the PI Change Executed status for that record as well and Save it.
• While on the Status tab of that same record, the user posts a status of **Budget Increase Submitted** and allows the system to create a new modification record.
• Change the **Entry Date** of the new modification record to be the same as the date the budget increase was requested and save it.
• Post the **Budget Increase Executed** status for that record.

**Important Note:** The award amount of $50,000 was loaded from Paradox in what used to be the original 11/22/1999 record. We changed that record to be the 2/15/1997 record with the original $200,000 award amount. So, to again be true to the SRPA business rules the $50,000 award must be re-entered here. As with the original $200,000 award, it was probably already reported in an earlier paradox report, so in order to be sure it is not reported a second time, the user must check the Status tab’s **Previously Reported** check box.

At this point, all history prior to and after the 11/22/1999 load is in place and the information for this contract in SRPA is complete. If queried on the Contract Summary screen in SRPA, C1999xyz would have the following contract records:

<table>
<thead>
<tr>
<th>TTI Contract Number</th>
<th>Entry Date</th>
<th>Status</th>
<th>Award Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>C1999xyz</td>
<td>2/3/2000</td>
<td>Budget Increase Submitted</td>
<td>30,000</td>
</tr>
<tr>
<td>C1999xyz</td>
<td>5/5/1999</td>
<td>Budget Increase Submitted</td>
<td>50,000</td>
</tr>
<tr>
<td></td>
<td>12/3/1997</td>
<td>PI Change Submitted</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Budget Increase Executed</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>PI Change Executed</td>
<td></td>
</tr>
<tr>
<td>C1999xyz</td>
<td>2/15/1997</td>
<td>Signed</td>
<td>200,000</td>
</tr>
</tbody>
</table>

Finally, this example deals with the **parent only**. Be sure not to confuse **parent** and **child** records as histories are entered. If any children (tasks) exist for a contract, their histories will be entered in the same way, but as separate entities from the parent.

**Important:** In the event that one of the amounts in the 11/22/1999 record had been reported by a SRPA report as opposed to an earlier paradox report, the audit trail methodology would not allow those amounts to be changed. In this case, the user might need to call an MIS analyst to aid in the data entry process.
**Appendix B: Calculation of Budget Fields**

The following describes how to calculate the budget items on the Proposal and Contract detail forms’ Budget tab. These fields were defined for RDO’s reporting use and currently have no correlation to FAMIS’ pools and fields:

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Computer Use Amount</td>
<td>Network billing fee.</td>
</tr>
<tr>
<td>B. Capital Equipment Amount</td>
<td>Any equipment over $1000.</td>
</tr>
<tr>
<td>C. Other Technology Amount</td>
<td>Totals of several hourly or per test service rates. Note: the name for this field is incorrect and its prompt has been changed to &quot;Other Technician Amount&quot; on both the contract and proposal detail forms.</td>
</tr>
<tr>
<td>D. Proving Grounds Amount</td>
<td>Totals of several hourly or per test service rates.</td>
</tr>
<tr>
<td>E. Video Op ITEC Amount</td>
<td>Totals of several hourly or per test service rates.</td>
</tr>
<tr>
<td>F. Subcontractor Amount</td>
<td>Sub contractor costs.</td>
</tr>
<tr>
<td>G. Cost Share Amount</td>
<td>The part of the total project cost picked up by TTI.</td>
</tr>
<tr>
<td>H. TDC Amount</td>
<td>Equals A+B+C+D+E+F+M+N+O+P+Q+R+S</td>
</tr>
<tr>
<td>I. MTDC Amount</td>
<td>Equals H-(A+B+C+D+E+ anything over 25,000 of I)</td>
</tr>
<tr>
<td>J. Indirect Amount</td>
<td>Equals I x Indirect Rate</td>
</tr>
<tr>
<td>K. TTI Contribution Amount</td>
<td>This is a discount off of the Indirect amount.</td>
</tr>
<tr>
<td></td>
<td>Equals J - (.44 x M) for non-RF</td>
</tr>
<tr>
<td></td>
<td>or -</td>
</tr>
<tr>
<td></td>
<td>Equals J x .33 for RF.</td>
</tr>
<tr>
<td>L. GA to TTI Amount</td>
<td>General and Administrative to TTI (i.e. the amount that TTI receives)</td>
</tr>
<tr>
<td></td>
<td>Equals J - K</td>
</tr>
</tbody>
</table>

The following fields currently do not appear on the form, but are listed here since some are used in the above calculations:

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>M. Salary</td>
<td></td>
</tr>
<tr>
<td>N. Fringe</td>
<td></td>
</tr>
<tr>
<td>O. Medical</td>
<td></td>
</tr>
<tr>
<td>P. Wages</td>
<td></td>
</tr>
<tr>
<td>Q. Travel</td>
<td></td>
</tr>
<tr>
<td>R. Supplies</td>
<td></td>
</tr>
<tr>
<td>S. Other Direct Cost</td>
<td></td>
</tr>
</tbody>
</table>
Appendix C: Audit Trail Methodology

In an effort to provide as accurate an accounting of proposed and awarded amounts as possible, being able to justify these amounts in any future audit which may occur, and record the historical progress of changes to these amounts as they occur, the following audit methodology has been implemented.

On both the contract and proposal sides of SRPA, a history of changes is part of the design. Certain changes to a contract or proposal will require the duplication of the record on which to update the information. The original record then becomes “historic” and is no longer modifiable. In the following example, the Series field contains the number 2. Assuming this is the most recent record for the contract, this record may be modified by the user. There will be a series 1 record which is considered historic information and may be viewed but not changed.

Only the most recent contract or proposal record may be modified. Records entered earlier (historical records) will not be modifiable except for the General Comments field. In addition, certain budget fields on the current record may not updateable once an amount has been reported. As the user will no longer be able to update that field, they do not need to worry about accidentally changing an amount that has already been reported.

There are three fields in the Contract record that control the audit trail of proposal and award amounts that appear on reports generated from the SRPA module. If one of these fields is populated with a date, the amount in the contract record corresponding to that field will not be reported, guaranteeing that each amount will be reported only once. In addition, these fields will allow for the accurate re-creation of historical reports. These three fields are:

- **DATE_AWARD_REPORTED** - controls reporting of signed statuses only (Award Amount field)
- **DATE_ADJ_FUND_REQ_REPORTED** - controls reporting of submitted statuses only (Proposal Amount field)
• **DATE_ADJ_FUND_EXE_REPORTED** - controls reporting of executed statuses only (Award Amount field)

These fields do not appear on the Contract detail form and are not directly updateable by the user. They are updating in the background as reports are run from the SRPA module. The **Previously Reported** indicator, reflected on a status by status basis, is not updateable by the user, but indicate the amount was originally reported out of Paradox.

![Project Contract (PRJ_CON)](image)

The above example shows that the user has elected that the Continuation Budget Submitted not be reported in upcoming reports. The Continuation Budget Executed will be reported. The Deliverable(s) Remove Submitted status does not apply to proposed or awarded amounts, so it is irrelevant whether it is checked or not.

The three reporting fields, the contract statuses which reflect submitted (proposed) and executed (awarded) amounts, and the previously reported indicator work in combination in the audit methodology. The combinations are as follows.

**On the Proposal Report:**

The **Proposed Amount** field on the Proposal detail form’s Budget tab is when the proposal gets a status of “Submitted.” As stated above, there is no history kept for this amount, and so changes to the amount after it is reported will not be reflected in the reports.

The **Proposed Amount** on the Contract detail form’s Budget tab is reported when the contract gets one of the following statuses, which constitute requested adjustments to existing contracts (**DATE_ADJ_FUND_REQ_REPORTED**.)

- Budget Decrease Submitted
- Budget Increase Submitted
- Continuation Budget Submitted
- Order/Authorization Submitted
- Correct Submitted Amount

**On the Award Report**
The **Award Amount** on the *Contract* detail form’s Budget tab is reported when the contract gets one of the following statuses:

- Signed - This status is automatically set when a contract is first created and constitutes an original contract award (**DATE_AWARD_REPORTED**).

The following statuses constitute awarded adjustments to existing contracts (**DATE_ADJ_FUND_EXE_REPORTED**):

- Budget Decrease Executed
- Budget Increase Executed
- Continuation Budget Executed
- Order/Authorization Executed
- Correct Award Amount

The user can change the Proposed and Award amounts all they want until the amount is reported, at which point the reported field becomes non-updateable. After this, one of the correction statuses MUST be used to change an amount.

A text message will appear above the Proposed Amount and Award Amount fields on the Contract detail form’s Budget tab indicating one of three things:

**A date prior to 9/1/1999 (Historical Data)** - Indicates that this amount is historical (e.g. it was reported out of Paradox prior to the 1999/2000 fiscal year.)

**NOT Reported.** - This text means the user can still change amounts and associated statuses, assuming this is the most recent contract or proposal record.

**A date on or after 9/1/1999** – Indicates the amount and associated statuses have been reported out of Oracle and are no longer modifiable. They can only be corrected using the appropriate correction status.

In order to correct an amount that happens to get through the correction reporting cycle without being caught, the following two correction statuses are used:

- **Correct Awarded Amount** - used to correct the Award Amount field.
- **Correct Submitted Amount** - used to correct the Proposed Amount field.

Either of these statuses will automatically generate a modification record without prompting the user. The user will then enter the appropriate amount to reflect the CHANGE, positive or negative, and if necessary, the comments field can be used to explain what happened. **NOTE** that in the case of a corrected **Award Amount**, the **Total Award Amount** field will need to be updated manually as well.
Example 1:

In this example, neither field has been reported in oracle and the user may make any changes to the amounts or statuses they would like, assuming this is the most recent contract record.

Example 2:

The above example indicates that the Proposed Amount cannot be changed in the current record. The user would have to use the Correct Submitted Amount status to generate a modification record. In the modification record, the user would enter the change, either positive or negative. The change would appear on the next report keeping the bottom line proposal numbers correct.

The Award Amount on the other hand has not been reported and the user may change this amount all they want, assuming this is the most recent contract record.