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1 Introduction

This guide describes how the Lehigh Research Community will interact with the LIRA system for Award creation and management.

Tip: See the “LIRA Basics” section on the LIRA website for general information on navigation, user roles, and LIRA terminology.

2 Navigation

2.1 How to Access a Record

You can access and view Grants module records you have permission to see. You can locate or search for records on the Dashboard or Grants Module pages as shown below.

- **Dashboard, My Inbox page** – This page acts as your to-do list and contains records from any of the LIRA modules (Grants and Agreements) that require an action from you. To access a record, click on the record ID or Name.

  Tip: Select “Date Modified” to organize records by most recent or oldest.

- **Grants Module page** – Funding proposal and award records can be accessed on this page. To access a record, click on the Name.
2.2 How to Navigate Award Workspace Tabs

On the Award Workspace, you can access a number of workspace tabs. Each workspace tab contains a snapshot of related information on an Award.

The following table provides a description about each of the Award Workspace tabs:

<table>
<thead>
<tr>
<th>Workspace Tab</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modifications</td>
<td>Modification requests and modifications made on the award will show on this tab. Click the links to navigate to the workspaces for these items.</td>
</tr>
<tr>
<td>Totals</td>
<td>Shows totals proposed, awarded, and authorized dollar amounts.</td>
</tr>
<tr>
<td>Funding Allocations</td>
<td>Shows funding allocated to the award to date.</td>
</tr>
<tr>
<td>Deliverables</td>
<td>Deliverables are entered in LIRA during award setup.</td>
</tr>
<tr>
<td>Subawards</td>
<td>This tab will not be utilized.</td>
</tr>
<tr>
<td></td>
<td>Outgoing subawards will be initiated in Agreements and will show under the Related Projects tab.</td>
</tr>
<tr>
<td>Child Awards</td>
<td>Additional awards given from a primary, core award (e.g., PITA)</td>
</tr>
<tr>
<td>Related Projects</td>
<td>Linked Agreements, including outgoing subawards, will show here.</td>
</tr>
<tr>
<td>Reviewers</td>
<td>Contact information for Department Administrators, PIs, ORSP contacts, and Ancillary Reviewers will display here.</td>
</tr>
<tr>
<td>Correspondence</td>
<td>Using the Log Correspondence activity will log any notes here. Log Correspondence includes manual notes on phone calls, meetings, and</td>
</tr>
</tbody>
</table>
2.3 How to Add a Comment

Comments can be added to an award and are visible to all individuals that have access to read or edit the award. Follow the steps below to add a comment to the Award:

1. Navigate to the Award Workspace and click the Log Comment activity.
2. In the Log Comment window, enter your comments and any attachments. When complete, click OK to return to the Award Workspace.
3. Click in the History tab to review the comments.

<table>
<thead>
<tr>
<th>Time</th>
<th>Funding Allocations</th>
<th>Deliverables</th>
<th>Subawards</th>
<th>Child Awards</th>
<th>Related Projects</th>
<th>Recipients</th>
<th>Correspondence</th>
<th>History</th>
<th>Attachments</th>
<th>Change Log</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity</td>
<td>Author</td>
<td>Activity Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Log Comment</td>
<td>Simms (pi); Rebecca</td>
<td>1/27/2022 8:00 PM</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Log Comment</td>
<td>Simms (pi); Rebecca</td>
<td>1/27/2022 7:45 PM</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2.4 How to Send an Email

Emails can be sent from the Award Workspace to other users at Lehigh. All emails are tracked within the History tab of the award. Attachments included in emails will show up in the History tab but not on the Attachments tab. Use of system emails rather than external accounts is encouraged to maintain correspondence within the record. Follow the steps below to send an email from the Award:

1. Navigate to the Award Workspace and click the Send Email activity.
2. Complete the fields in the Send Email window.
3. When complete, click OK to return to the Award Workspace.

2.5 How to Manage Relationships

Awards can be linked to Agreements using the “Manage Relationships” activity.

Follow the steps below to associate an agreement with a proposal or award:

1. Navigate to the Award Workspace.

2. On the Award Workspace, click the Manage Relationships activity.
3. In the Manage Relationships window, search for the related submission you would like to link. Select the appropriate project and click OK.

4. When complete, click OK.

**Note:** Linked agreements are displayed on the Related Projects tab of the Workspace.

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### Understanding Awards

When the award letter is received, by either the PI, study team, or ORSP, ORSP will create the Award record by updating the Funding Proposal record with an award decision. All award documentation or sponsor communication will be attached to the record by ORSP.

The information below provides an overview of Awards, and the next section Additional Award Tasks outlines common tasks performed to create and manage awards in LIRA.

#### 3.1 How to Understand the Award Workflow

For reference, below is the LIRA system workflow at Lehigh:
**Note:** For the Lehigh process, the optional “Designated Review” step will not be utilized.

### 3.1.1 Award Workflow States

The following table provides additional information about each of the Award states:

<table>
<thead>
<tr>
<th>System Workflow State</th>
<th>Workflow Map State</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
</table>
| Draft                 | Draft              | Initial state upon creation. | ORSP creates new award records and completes the following pages, if applicable, of the Award SmartForm:  
  - General Award Information  
  - Related Items  
  - Financial Setup  
  - Budget Allocations  
  - Terms and Conditions  
  - Deliverables  
  - Compliance Review |

**Note:** The award setup process in LIRA is predominately a function of ORSP. There will be an ancillary review sent to the project PI when an award is in Draft state asking for the PI/Study Staff to enter responses to the following questions on the “Financial Setup” SmartForm, Questions 13-17:

- Building name(s) room number(s) where research will be performed
- IC distribution
- Authorized Signers
- Personnel with Banner Viewing Access and Payroll Argos Access

The PI/Study Staff will need to enter this information, save the Award Record, and Submit the Ancillary Review to alert ORSP the Award is ready to move forward through the setup process.
<table>
<thead>
<tr>
<th>System Workflow State</th>
<th>Workflow Map State</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Designated Review</td>
<td>Designated Review</td>
<td><em>Designated review step at Lehigh will not be utilized.</em></td>
<td>Feedback is noted in “Submit for Final Review” activity comment box or the “Log Comment” activity. Comments from both activities are visible in the History tab.</td>
</tr>
<tr>
<td>Designated Review – Response Pending</td>
<td>Response Pending</td>
<td><em>Designated review step at Lehigh will not be utilized.</em></td>
<td></td>
</tr>
<tr>
<td>Final Review</td>
<td>Final Review</td>
<td>An award enters final review when all changes have been made, Ancillary Reviews are complete and the award is ready for setup in Banner.</td>
<td>ORSP conducts a final review of the completed award record.</td>
</tr>
<tr>
<td>Final Review – Response Pending</td>
<td>Response Pending</td>
<td>Indicates the Award Approver requires additional information/clarification.</td>
<td>This returns the award to the Post-Award Specialist for changes.</td>
</tr>
<tr>
<td>Advance Account</td>
<td>Active</td>
<td>Indicates financial account has been setup for spending in advance of the final award being received.</td>
<td>This is terminology for an at-risk account.</td>
</tr>
<tr>
<td>Active</td>
<td>Active</td>
<td>Indicates the award is active in LIRA and the financial system.</td>
<td>ORSP executes “Activate” activity after all Ancillary Reviews are complete. This will send the information to Research Accounting</td>
</tr>
<tr>
<td>Completed</td>
<td>No workflow map displays</td>
<td>Indicates the award is complete in LIRA.</td>
<td></td>
</tr>
<tr>
<td>System Workflow State</td>
<td>Workflow Map State</td>
<td>Description</td>
<td>Notes</td>
</tr>
<tr>
<td>-----------------------</td>
<td>--------------------</td>
<td>-------------</td>
<td>-------</td>
</tr>
<tr>
<td>Transferred Out</td>
<td>No workflow map displays</td>
<td>Indicates the award was transferred to another institution.</td>
<td>When an “Early Termination” award modification is approved and the termination reason is transferred out, the parent award updates to this state.</td>
</tr>
<tr>
<td>Terminated</td>
<td>No workflow map displays</td>
<td>Indicates the award was terminated.</td>
<td>When an “Early Termination” award modification is approved and the termination reason is <strong>not</strong> transferred out, the parent award updates to this state.</td>
</tr>
<tr>
<td>Withdrawn</td>
<td>No workflow map displays</td>
<td>Indicates the award setup has been withdrawn.</td>
<td></td>
</tr>
</tbody>
</table>

*December 2022*
4 Additional Award Tasks
The following subsections describe how to complete additional tasks that may be necessary as the award progresses through the workflow.

4.1 How to Upload Award Documents
Award documents should be uploaded within the Award SmartForm or by using the “Upload Award Documents” activity. This includes any official award documents associated with an award modification. When documents are uploaded in either of these locations (the SmartForm or the “Upload Award Documents” activity), they display on the Attachments tab on the Award Workspace.

⚠️ Important: Do not upload award documents in any other locations or activities (e.g., via the Log Comment activity), as they will not display on the Attachments tab.

Follow the steps below to upload documents using the “Upload Award Documents” activity:

1. Navigate to the Award Workspace and click the Upload Award Documents activity.
2. In the Upload Award Documents window, click the Add button upload award documents.
3. In the Submit a Document window, click Choose File to upload the document. Click OK and Add Another if there is more than one document to upload.
4. Click OK when all Award documents have been uploaded.
5. When returned to the Award Workspace, click the Attachments tab to display the award documents.

4.2 How to Locate Award Documents in the Award Workspace
Follow the steps below to find award documents (including the notice of award):

1. Navigate to the Award Workspace and click the Attachments tab.
2. Click the attachment name to open the attachment.

<table>
<thead>
<tr>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Attachment.doc</td>
</tr>
</tbody>
</table>

### 4.3 How to Manage Access to the Award

The “Manage Access” activity is used to manage the list of individuals who have either edit or read-only access to the award.

**Note:** This activity contains the same list of editors and/or readers as those listed as team members on the General Award Information page of the Award SmartForm.

Follow the steps below to add an individual:

1. Navigate to the Award Workspace and click the Manage Award activity.
2. In the Manage Access window, enter the individual’s name or use the ellipsis (“…”) to search for an individual to be added as an administrative contact (under Question 1), editor (under Question 2) or as a reader (under Question 3).
3. When complete, click OK to return to the Award Workspace.

### 4.4 How to Manage a Deliverable

Non-financial Deliverables are entered in the LORA system by ORSP during award setup via the Designated Review process, and the PI is responsible for reviewing and requesting updates to Deliverables as appropriate. Use of this system functionality is encouraged to reduce the number of missed sponsor deadlines.

A reminder email notification is sent to the “Responsible Party” and all other staff selected to receive notifications when the Deliverable due date is 90 days, 60 days, and 30 days out. Email notifications are not sent once the due date has passed.

A list of Deliverables is displayed on the Deliverables tab of the Award Workspace.

**Important:** You must be associated to the individual Deliverable as either the “Responsible Party” or as “Additional staff receiving Deliverable notifications” for the “Complete” button to display in the Manage Deliverables window, which allows you to complete the Deliverable.

#### 4.4.1 How to Add a Deliverable
Follow the steps below to add a Deliverable:

1. Navigate to the Award Workspace and click the Manage Deliverables activity.
2. In the Manage Deliverables window, click the Add button.

3. In the Add Deliverable window, complete the fields as noted below. When complete, click OK.
   a. Name – Enter a short, descriptive name for the deliverable.
   b. Deliverable description – Describe the action or work requirement necessary to complete this Deliverable.
   c. Set number of occurrences – Indicate the number of times the Deliverable action or task should occur.
   d. Frequency – Indicate how often the Deliverable should occur based on the setup number of occurrences indicated.

   The “Frequency” and “Set number of occurrences” fields work together to create multiple Deliverables when applicable. For example, if three annual reports are required, enter “3” for “Set number of occurrences” and “Annual” for the “Frequency.” After clicking OK, three deliverables are displayed – one for each annual report.

   *Note: For the “Final” and “On Demand” options, only one occurrence is created.*

   e. Due Date – Date the deliverable is due.
   f. Responsible party – Select the primary person responsible for completing this deliverable.
   g. Additional staff receiving deliverable notification – All award editors are listed; however, this list can be modified as necessary.
Reminder: Award editors must be associated with a deliverable, either as the “Responsible Party” or as “Additional staff receiving deliverable notifications,” to complete the deliverable in the system.

4. Add additional deliverables as needed. When complete, click OK.

5. To review the deliverables, click on the Deliverables tab of the Award Workspace.

4.4.2 How to Complete a Deliverable

Specialists will complete deliverables in LIRA. Follow the steps below to notify a Specialist that a deliverable has been completed using the “Send Email” activity. The PI/Study Staff does not have the ability to update deliverables.

1. From the Award Workspace, click the Send Email activity.

2. In the Send Email window, complete the following:

   1. Email subject line – Use a subject line to let the Specialist know the deliverable is complete.

   2. Select at least one group of recipients – Check the Specialist box (you may check other boxes for informational purposes).

   3. Comments to be included in the email – Provide the Specialist with information about the deliverable completion.


Click OK to submit the email. The Specialist will complete the deliverable.
3. Deliverable information can be reviewed on the Deliverables tab of the Award Workspace.

5. **Award Modifications**
   ORSP will initiate an Award Modification after receiving a modification document from the sponsor directly or through the PI submitting an Award Modification Request that necessitates a change to the Award Record.
Similar to Awards, an Award Modification will be created by ORSP, and routed through the central office until approved. The changes in the financial system will occur during the Final Review stage. The Award Modification will be marked as Complete when the Award has been updated in the financial system.

5.1 **How to Request an Award Modification**

Over the course of a sponsored project, changes to an award may become necessary, such as budget adjustments, requesting a PI leave of absence, or requesting a second no-cost extension. These changes are managed using award modifications.

*Note: Some Award Modifications will be initiated and managed by ORSP based on sponsor notifications. The PI will initiate Award Modification Requests for situations where the request is initiated internally.*

The Award Modification Request provides a way for users with access to an award to request changes within the system. This creates a searchable history of all modification requests in one place.

The Award Modification Request is a simple SmartForm that collects a request title, a date, a description of the change, and supporting documents. Once completed, the requestor submits the Award Modification Request to the assigned Specialist for review. The Specialist can then decline the request, return it to the requestor for clarifications, or approve it.

*Note:*

- **Award Modification Requests and Award Modifications are listed under the Modifications tab on the Award Workspace.**
- **Award Modification Requests and Award Modifications are two separate records with different states.**

Follow the steps below to request an Award Modification:

1. Navigate to the Award Workspace and click the Request Award Modification button.
2. Complete the following questions on the Request Details page. When complete, click the Finish button.
   
   1. **Short title** – Enter a short title for the modification.
   2. **Date requested** – This field automatically populates with today’s date.
   3. **Full description of requested changes** – Enter a description of the award changes being requested.

Below is a table containing award modification request types and acceptable descriptions for the requested changes:
<table>
<thead>
<tr>
<th>Request Type</th>
<th>Full Description of Requested Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carryover</td>
<td>Amount to carryover; sponsor approval if already obtained; carryover budget if applicable.</td>
</tr>
<tr>
<td></td>
<td><em>For awards with restricted carryover (also called carryforward), this is used to request approval from the sponsor and for ORSP to transfer the funds in the financial system.</em></td>
</tr>
<tr>
<td>Change PI/Key Personnel</td>
<td>New PI name; revised documents if applicable (budget/biosketch/SOW/etc.); effective date of change; financial accounts impacted by change; sponsor approval</td>
</tr>
<tr>
<td>Change Scope</td>
<td>New SOW; reason for change; sponsor request/approval/correspondence</td>
</tr>
<tr>
<td>Change Sponsor</td>
<td>New sponsor name; effective date; explanation for change</td>
</tr>
<tr>
<td>Re-Budget</td>
<td>New budget template; reason for change; sponsor approval if applicable</td>
</tr>
<tr>
<td>End a Grant or Contract Early</td>
<td>Termination date; reason</td>
</tr>
<tr>
<td>No Cost Extension</td>
<td>New end date; sponsor requirements (e.g. justification, etc.)</td>
</tr>
<tr>
<td>Other Modification</td>
<td>Explanation of change; sponsor approval if applicable</td>
</tr>
</tbody>
</table>
4. **Supporting documents** – Upload supporting documents, when applicable.

5. **Specialist** – Indicates the assigned Specialist in ORSP.

3. After clicking the **Finish** button, the system returns you to the *Award Modification Request Workspace*. If additional updates are necessary, use the **Edit Modification Request** button. The award modification is in the Draft state and has not yet been submitted for OSP review.

4. To submit the award modification request from the *Award Modification Request Workspace*, click the **Submit to Specialist** activity to submit the modification request to a Specialist for review. In the **Submit to Specialist** window, add any comments or supporting documents (optional) and click OK. The award modification request transitions to the Review state.

5. If approved, your Contract and Grant Specialist will interface with the sponsor, create the award modification in LIRA, and will approve it once approved by the sponsor.

6 **LIRA Glossary**

The following table provides additional information about terminology used within ResearchUVA PBH:

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities</td>
<td>Actions that can be executed by a user to update a record.</td>
<td></td>
</tr>
<tr>
<td>Award</td>
<td>A record created in LIRA after a sponsor has indicated they will fund the research submitted in the proposal.</td>
<td>Awards have separate IDs from the associated Proposal.</td>
</tr>
<tr>
<td>LIRA</td>
<td>An Electronic Research Administration (eRA) system used for research administration at Lehigh.</td>
<td>LIRA includes two modules: Grants and Agreements. This Reference Guide covers the Grants module.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
<td>Notes</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>ID</td>
<td>Auto-generated identification number created by LIRA for each record created (e.g., FP00000001, AWD00000017).</td>
<td></td>
</tr>
<tr>
<td>My Inbox</td>
<td>Dashboard that contains the “to-do” list of actions for any user.</td>
<td></td>
</tr>
<tr>
<td>Proposal (or Funding Proposal)</td>
<td>A record created in LIRA that contains submission information for a research project that will be submitted to a sponsor for funding.</td>
<td>Proposals have separate IDs from their associated Awards.</td>
</tr>
<tr>
<td>Record</td>
<td>A submission created within LIRA. Examples include proposals, awards, award modification requests, award modifications, subawards, etc.</td>
<td></td>
</tr>
<tr>
<td>SF424</td>
<td>The Grants.gov application for federal assistance. When submitting for a federal opportunity using system-to-system capabilities (S2S) within ResearchUVA PBH, an electronic SF424 is created and populated using information entered on the proposal.</td>
<td></td>
</tr>
<tr>
<td>SmartForm</td>
<td>A series of pages completed with information about the record (e.g., proposal, award, etc.).</td>
<td></td>
</tr>
<tr>
<td>State</td>
<td>The status of a record.</td>
<td></td>
</tr>
<tr>
<td>Workflow</td>
<td>The process through which a record passes from beginning to end.</td>
<td></td>
</tr>
<tr>
<td>Workspace</td>
<td>Contains key information associated with the record (State, Title, ID, etc.) and contains various buttons and links to perform Activities.</td>
<td></td>
</tr>
</tbody>
</table>