

Research Administration Services

Roles & Responsibilities

For Grants and Contracts (Excludes Clinical Trials) – Version 3.1

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Pre-Award Activities						
Identify funding opportunities	<ul style="list-style-type: none"> Identify funding opportunity 		<ul style="list-style-type: none"> If requested, send proposal application and guidelines to PI (<i>proposal name and agency must be provided by PI</i>) 		<ul style="list-style-type: none"> Conduct educational offerings on finding funding 	<ul style="list-style-type: none"> N/A
Limited Funding Opportunities	<ul style="list-style-type: none"> Notify RAS Unit of limited funding opportunity 		<ul style="list-style-type: none"> Notify OSP and/or School/Unit of PI intent to apply for limited funding opportunity 	<ul style="list-style-type: none"> <i>If proposal is specific to a school/unit:</i> Coordinate review and selection committee to select eligible PI(s) to apply 	<ul style="list-style-type: none"> [OSP]: Coordinate review and selection committee with relevant Schools/Units to select eligible PIs to apply 	<ul style="list-style-type: none"> N/A

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Develop Research Plan	<ul style="list-style-type: none"> Notify RAS unit of intent to submit a proposal Review sponsor requirements Write research plan and statement of work Prepare other sections of the proposal, as necessary If a contract, obtain draft of contract from sponsor 	<ul style="list-style-type: none"> Proofread science and edit for spelling, grammar, and formatting 	<ul style="list-style-type: none"> Maintain list of PI proposals in process Assist PI with proposal preparation, by: <ul style="list-style-type: none"> Reviewing sponsor requirements Meeting with PI to discuss plan for putting proposal together (<i>meeting is optional</i>) Identifying all proposal elements that must be completed and determine who is completing each Notify (via regular report) to department that PI intends to submit to ensure PI is eligible and has sufficient effort to complete research Ensure PI meets school/unit eligibility requirements If an award with multiple PIs/units, coordinate with other RAS units Send monthly email requesting PIs to notify RAS about proposals they intend to submit 		<ul style="list-style-type: none"> [OSP]: Provide assistance with interpretation of sponsor guidelines 	<ul style="list-style-type: none"> 1001: Notification of Intent to Submit 1002: Research Proposal Application Process_Non-Complex 1003: Complex Award Management–Pre-Award
Develop Budget and Justification	<ul style="list-style-type: none"> Define budget elements needed to accomplish proposed research Develop budget justification 		<ul style="list-style-type: none"> Develop budget in standard template (meet/talk with PI to understand what is needed in budget) Ensure proper F&A rate is chosen; If necessary, assist in obtaining F&A waiver Review budget justification to ensure it matches budget 			<ul style="list-style-type: none"> 1004: Budget Development 1005: Cost Share and FA Waiver Approval Process
Complete non- scientific sections of proposal	<ul style="list-style-type: none"> Complete non-scientific sections of proposal, as necessary Update biosketch content, as necessary 		<ul style="list-style-type: none"> Maintain biosketches; put into correct format and assist with updating or editing for specific submission purpose (<i>with input from PI</i>) 			<ul style="list-style-type: none"> 1002 1003

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Compile all proposal elements	<ul style="list-style-type: none"> Provide relevant proposal elements to RAS 		<ul style="list-style-type: none"> Compile all proposal elements from PIs; follow-up with PI if missing paperwork Put proposal elements into proper format (e.g., PDF) 	<ul style="list-style-type: none"> 		<ul style="list-style-type: none"> 1002 1003
Obtain commitments	<ul style="list-style-type: none"> Obtain and maintain compliance approvals (IRB, IACUC, radiation safety, etc.) Obtain cost share commitment approvals (<i>must be approved by Department & School</i>) Identify and request need for additional space Fill out VA MOU, if necessary Obtain commitment letters from subawardees/subcontractors 	<ul style="list-style-type: none"> Coordinate with EHSO for lab inspections Approve departmental commitments for cost share and space 	<ul style="list-style-type: none"> Confirm compliance approvals have been obtained Confirm cost share approvals have been obtained Obtain VA MOU, if necessary If requested, assist in collecting commitment letters from subawardees/subcontractors 	<ul style="list-style-type: none"> Approve school/unit commitments for cost share and space 		<ul style="list-style-type: none"> 1002 1003
Complete Conflict of Interest Forms (For a proposal; NOT annual certification)	<ul style="list-style-type: none"> Complete IFIRR forms 		<ul style="list-style-type: none"> Enter new project into eCOI Ensure IFIRR forms have been completed 			<ul style="list-style-type: none"> 1002 1003
Enter proposal into Sponsor System			<ul style="list-style-type: none"> Enter proposal into sponsor system 	<ul style="list-style-type: none"> 		<ul style="list-style-type: none"> 1002 1003
Enter proposal into EPEX			<ul style="list-style-type: none"> Enter proposals into EPEX Ensure proposals and information entered into EPEX are complete and accurate Submit proposal for routing in EPEX 	<ul style="list-style-type: none"> 		<ul style="list-style-type: none"> 1002 1003

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Relevant SOP
For GRANTS: Proposal Review and Submission	<ul style="list-style-type: none"> • Certify proposal in EPEX • <i>*If PI submission required, submit proposal to sponsor after OSP approval</i> 	<ul style="list-style-type: none"> • Review and approve proposals in EPEX for the following, if applicable: <ul style="list-style-type: none"> - Dept cost share commitments (including salary cost share) - Dept space commitments - PI course/clinical release - Type of research and key personnel performing research 	<ul style="list-style-type: none"> • Monitor proposal progress through EPEX approval process • Make adjustments to proposal, if requested by Department, School/Unit, or OSP • <i>*If a paper application, submit to sponsor after OSP approval</i> 	<ul style="list-style-type: none"> • If applicable, review and approve the following elements of proposals: <ul style="list-style-type: none"> - Cost share commitments funded by school/unit - New space or renovation funded by school/unit - Collaborative splits - VA MOU - F&A waivers 	<ul style="list-style-type: none"> • [OSP] Review, approve, and sign proposal on behalf of University • [OSP] Submit proposal to sponsor (<i>unless a special case*</i>) 	<ul style="list-style-type: none"> • 1002 • 1003
For CONTRACTS: Contract Review and Negotiation			<ul style="list-style-type: none"> • Monitor progress of contract negotiations 		<ul style="list-style-type: none"> • [OSP] Negotiate contract with sponsor; make contract revisions • [OSP] Sign and execute contract with sponsor • [OSP] Update eCTS (Contract Tracking System) with progress of contract negotiations 	<ul style="list-style-type: none"> • 1002

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Manage JIT Process	<ul style="list-style-type: none"> • Provide input to RAS for other support documents • Obtain and maintain compliance approvals (IRB, IACUC, radiation safety, etc.) • Obtain subaward JIT information • Complete relevant training for COI and human and animal subjects 		<ul style="list-style-type: none"> • Collect JIT documents and submit to OSP • Complete other support documents (<i>with PI input and review</i>) • Revise budget, if necessary • Ensure all compliance approvals (e.g., IRB, IACUC, EHSO) have been obtained • Ensure training for COI and human and animal subjects are current for study • personnel If requested, assist PI in obtaining subaward JIT information • Notify OSP if a foreign collaborator/sub-awardee on project • If multi-PI/unit award, coordinate collection of JIT documents for all investigators 		<ul style="list-style-type: none"> • [OSP] Approve and submit JIT information to agency 	<ul style="list-style-type: none"> • 1008 • 1006: JIT Process
For GRANTS: Award Notification & Negotiation	<ul style="list-style-type: none"> • If significant change in SOW or budget, approve changes 	<ul style="list-style-type: none"> • Approve any significant changes related to department commitments from original proposal (e.g., cost share) 	<ul style="list-style-type: none"> • If significant change in SOW or budget, coordinate with PI, Dept, School/Unit, and OSP to obtain approval for changes 	<ul style="list-style-type: none"> • Approve any significant changes related to school/unit commitments from original proposal (e.g., cost share) 	<ul style="list-style-type: none"> • [OSP] Receive Notice of Grant Award (NGA) • [OSP] Review award terms and conditions to ensure consistency with Emory's policies (If necessary, negotiate alternative language with sponsor) • [OSP] Ensure compliance approvals have been obtained (e.g., IRB, IACUC) • [OSP] Accept and sign award 	<ul style="list-style-type: none"> • 2003: Award Set up Process

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Provisional Award Numbers (PANs)	<ul style="list-style-type: none"> Request PAN 	<ul style="list-style-type: none"> Approve PAN request 	<ul style="list-style-type: none"> Fill out PAN request form and route for approvals Monitoring funds spent on PAN account 	<ul style="list-style-type: none"> Approve PAN request Set-up PAN in Compass and generate SmartKey 		<ul style="list-style-type: none"> 2002: Provisional Award Number Request

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Post-Award						
Award Set-up	<ul style="list-style-type: none"> Provide input and agree to revised budget, if necessary 	<ul style="list-style-type: none"> Collaborate with RAS unit when moving personnel off department accounts 	<ul style="list-style-type: none"> Provide revised budget (if necessary) and other necessary documents to OSP so that award set up can be completed Send eNOA to PI, Co-PIs and their respective RAS units, and OGCA Set-up payroll distributions; collaborate with department if moving personnel off department accounts Fill out award cover sheet Meet with PI to ensure sponsor deliverables and restrictions are understood 		<ul style="list-style-type: none"> [OSP]: Request revised budget or other documents (if necessary) from RAS unit/PI [OSP/DMG]: Set-up award in Compass and generate SmartKey [DMG]: Issue eNOA and upload into ComSquared and I-drive [OGCA]: Activate bill plan, set up Invoicing and FFR milestones [OGCA]: If applicable, ensure cost sharing project has been assigned [OGCA]: If applicable, set up program income account 	<ul style="list-style-type: none"> 2001: Complex Award Management Post Award 2003: Award Set up Process 2004: Payroll distribution Set-up

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Establishing Subawards/ Subcontracts	<ul style="list-style-type: none"> Gathers and reviews sub documentation, including budgets and statement of work Defines sub deliverables and milestones 		<ul style="list-style-type: none"> Obtain sub documentation from PI Submit request for subaward/subcontract in Sub Request System Monitor progress of sub negotiations 		<ul style="list-style-type: none"> [OSP]: Negotiate and sign sub with sponsor [OSP]: Create PO in Emory Express [OSP]: Notify RAS unit when sub has been fully executed 	<ul style="list-style-type: none"> 2005: Requesting a Subaward or Subcontract
Paying Subawardees/ Subcontractors	<ul style="list-style-type: none"> Confirm subawardees/ subcontractors have completed work before payment is sent 		<ul style="list-style-type: none"> Receive notification of invoice from Emory Express Obtain confirmation from PIs that work has been completed and approve payment of invoice in Emory Express Manage (with Payment Services) disputes regarding subaward invoicing and payments 		<ul style="list-style-type: none"> [Payment Services]: Receive invoices from subawardees/ subcontractors; request approval for payment from RAS units [Payment Services]: Pay invoices 	<ul style="list-style-type: none"> 2006: Paying subawards and subcontracts

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Conduct Research and Manage Expenses	<ul style="list-style-type: none"> • Conduct research • Hire any staff needed to conduct research • Purchase supplies and equipment • Provide guidance to RAS on award expenses or projections, as necessary • Ensure regulatory compliance certifications are up to date 	<ul style="list-style-type: none"> • Collaborate with RAS Units on movement of any expenses to department accounts • Process Travel & Expense reimbursements 	<ul style="list-style-type: none"> • Reconcile expenditures and create projections on award expenses every 60 days; ensure expenditures do not exceed budget <ul style="list-style-type: none"> – Ensure expenses are allowable – Confirm with PI any expenses that do not look like they belong on the award – Submit any cost transfers, retroactive salary transfers, and journal entries – File CAS exceptions • Send reports on reconciliation and projections to PI • Approve Emory Express purchases • Coordinate updating SmartKeys with Recharge centers • Clear suspense accounts for sponsored projects only • Provide regular reports on award finances to Department and School (specifics TBD) 	<ul style="list-style-type: none"> • Approve CAS exceptions 	<ul style="list-style-type: none"> • [OGCA]: Enter paper retroactive salary transfers (RSTs) 	<ul style="list-style-type: none"> • 2001: Complex Award Management Post Award • 2007: Projections and Forecasting • 2008: Reconciling Expenditures • 2009: Cost Transfers • 2014: CAS Exceptions

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Invoicing			For Cost Reimbursable awards (Contract Type = CR_NON_LOC or HYBRID (with a Cost Reimbursable component)): <ul style="list-style-type: none"> • In the month that the invoice is due: Review award expenses and remove charges that do not belong on award • Place project on billing hold if not ready for invoicing prior to monthly deadline 		For all Cost Reimbursable, Scheduled Pay, and other non-Letter of Credit awards: <ul style="list-style-type: none"> • [OGCA] Generate invoice and send to sponsor • Update invoicing milestone in system to indicate invoice has been submitted; upload invoice to Compass • Receive checks from sponsor • Apply checks to proper account in Compass • Monitor accounts receivable 	<ul style="list-style-type: none"> • 2010: Invoicing
			For Scheduled Pay by Task awards (Contract Type = SCHED_PAY_TASK): <ul style="list-style-type: none"> • If milestone has been met, indicate in Compass so invoice will be generated 			
			For All other award types (letter of credit, scheduled pay): <ul style="list-style-type: none"> • No action 			

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Missing or Misapplied Payments			<input type="checkbox"/> Monitor cash receivables <input type="checkbox"/> Notify OGCA if a payment is missing or was misapplied		<input type="checkbox"/> [OGCA]: Correct missing or misapplied payments <input type="checkbox"/> [OGCA]: Follow-up with sponsor for missing	<input type="checkbox"/> 2010: Invoicing
Interim financial reports	<input type="checkbox"/> Review and approve interim financial reports		<input type="checkbox"/> Prepare interim financial reports <input type="checkbox"/> Send interim financial reports to sponsor <input type="checkbox"/> Update FFR milestone in Compass to indicate financial report was sent			<input type="checkbox"/> 2011: Developing Interim FFRs
Progress Reports	<input type="checkbox"/> Prepares non-financial information needed for progress report <input type="checkbox"/> If OSP review not needed, submit to sponsor		<input type="checkbox"/> Assist PI with preparing and submitting progress reports, including preparing: <ul style="list-style-type: none"> – Financial information – Effort allocations – Other administrative information <input type="checkbox"/> If requested, assist PI in uploading relevant administrative information into eRA Commons (for NIH Progress Reports) <input type="checkbox"/> If institutional signature needed, enter progress report into EPEX and submit for routing		<input type="checkbox"/> [OSP] Review and approve progress reports <input type="checkbox"/> [OSP] Submit progress reports to sponsor	<input type="checkbox"/> 2012: Progress Reporting and Renewals
No Cost Extension (NCE)	<input type="checkbox"/> Complete justification for NCE <input type="checkbox"/> [If Sponsor approval is required]: Draft letters to sponsors for NCE request		<input type="checkbox"/> Assist in gathering documentation needed (if any) for NCE <input type="checkbox"/> Submit requests for NCE to OSP <input type="checkbox"/> Inform PI and Co-PIs if NCE has been received		<input type="checkbox"/> [OSP] If granted authority, approve <input type="checkbox"/> [OSP] If not granted authority, submit NCE requests to sponsor <input type="checkbox"/> Update Compass with new end date and issue new	<input type="checkbox"/> 2013: No Cost Extension

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Carryover (for awards without automatic carryover)	<ul style="list-style-type: none"> Initiate request for carryover (notify RAS unit) Writes scientific explanation and budget justification sections of carryover request letter 		<ul style="list-style-type: none"> Prepare FFR or Final Invoice Draft Carryover request letter Submit request for carryover to OSP 		<ul style="list-style-type: none"> [OSP]: Review request and submit to sponsor for approval [DMG]: Once approved, make budget adjustments in Compass 	<ul style="list-style-type: none"> 2015: Carryover 2021: Prepare Final FFR/Final Invoice
Effort Reporting & Certification	<ul style="list-style-type: none"> Certify effort 	<ul style="list-style-type: none"> Coordinate with RAS unit, as necessary, on effort reporting 	<ul style="list-style-type: none"> Pre-review effort certification forms, adjust as necessary Monitor effort certification process 		<ul style="list-style-type: none"> [OGCA Cost Studies]: Maintain effort reporting system; Initiate and roll out effort reports 	<ul style="list-style-type: none"> 2016: Effort Reporting
Changes to Award (Rebudgeting, Changes in Effort, PI, or scope)	<ul style="list-style-type: none"> Initiate changes to award, including rebudgeting and changes in effort, PI, or scope (notify RAS unit) 	<ul style="list-style-type: none"> Approve requests for change in PI 	<ul style="list-style-type: none"> Submit requests for changes to OGCA (rebudgeting) or OSP (changes in effort, PI, or scope) 	<ul style="list-style-type: none"> Approve requests for change in PI 	<ul style="list-style-type: none"> [OGCA]: Approve rebudgeting requests or obtain sponsor approval to do so [OSP]: Request sponsor approval for changes in effort, PI, or scope; if changes in effort are <25%, approve [DMG/OSP]: Make necessary updates to Compass record 	<ul style="list-style-type: none"> 2017: Rebudgeting 2018: Changes in Effort 2020: Changes to Award
Add additional Compass projects			<ul style="list-style-type: none"> Obtain approval for additional projects from school 	<ul style="list-style-type: none"> Approve justification for additional projects 	<ul style="list-style-type: none"> [DMG]: Create additional projects in Compass 	<ul style="list-style-type: none"> 2019: Add additional Compass Project
Transfers/ Relinquishment	<ul style="list-style-type: none"> Draft transfer letters Complete Final Invention statement 	<ul style="list-style-type: none"> Approve transfers/ relinquishments 	<ul style="list-style-type: none"> Manage transfer process Obtain approvals for transfers/ relinquishments Review expenditures and prepare financial reports Submit final documents to OSP 	<ul style="list-style-type: none"> Approve transfers/ relinquishments 	<ul style="list-style-type: none"> [OSP]: Submit letters and financial reports to the sponsors 	<ul style="list-style-type: none"> 2020: Changes to Award

Version 3.2; Last Updated: June 2, 2014

*In certain schools/units, the Department role may be performed by the school/unit

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred

sResearch Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Relevant SOP
Award Close-Out	<input type="checkbox"/> Review and approve final reportable expenses <input type="checkbox"/> Prepare invention statement, if applicable <input type="checkbox"/> Prepare non-financial reports <input type="checkbox"/> Maintain non-financial records	<input type="checkbox"/> Approve transfer of residual balances or deficits <input type="checkbox"/> Approve movement of salary to department accounts from sponsored projects	<input type="checkbox"/> Reconcile expenses; review F&A, cost share, and program income; determine final reportable expenses; confirm final numbers with PI Notify feeder systems of end of award <input type="checkbox"/> Clear encumbrances <input type="checkbox"/> Adjust payroll distributions <input type="checkbox"/> <input type="checkbox"/> Prepare Final FFR to <input type="checkbox"/> Determine if deficit or residual balance and work <input type="checkbox"/> with dept./school to transfer Prepare Final FFR and (RAS Director) submit to Agency For Compass close-out, ensure <input type="checkbox"/> ensuring budget = General Ledger = final expenditures; notify OGCA when SmartKey should be inactivated	<input type="checkbox"/> Approve transfer of residual balances or deficits	<input type="checkbox"/> [OGCA]: Submit Final FFR/Final Invoice to Sponsor <input type="checkbox"/> [OGCA]: If necessary, return funds to sponsor <input type="checkbox"/> <input type="checkbox"/> [OGCA]: Ensure all cash has been collected and posted to award; clear any outstanding A/R <input type="checkbox"/> [OGCA]: Inactivate smartkey <input type="checkbox"/> [OGCA]: Retain award financial records	<input type="checkbox"/> 2021: Prepare Final FFR/Final Invoice <input type="checkbox"/> 2022: Close-out Award