Effort Reporting Cleanup
RABAB Members,

As a result of the ongoing deployment of the RAS units this past year, we have identified an area that required increased attention to ensure that effort reports are timely, compliant and up to date. In March we established a project focused in this area and have been extremely pleased with the progress. University wide, there has been an 85% reduction in certifications pending pre-review from FY10 – FY13 and a 66% reduction in the full population from FY10 – FY14. We realize this took tremendous effort from all of you and your staff and want to express appreciation for staff’s high level of accomplishments in this area.

A significant outcome of this project was aligning process with the updated policy. The new process has allowed for us to reduce the number of effort reports that require certification at Emory from over 26,000 annually to less than 10,000 while remaining compliant. In addition, the policy extends the allowable period for the review and certification of effort from 45 days (following the end of each certification period) to 90 days (following the end of each semiannual certification period).

These benefits will significantly reduce the administrative burden related to effort reporting at Emory as well as ensure the appropriate controls are in place.

As all of you are aware, as a recipient of federal funds, Emory is required to ensure that the effort charged to federal awards is allowable per federal guidelines and is certified as defined by our effort reporting policy which can be accessed at http://policies.emory.edu/7.17. As outlined in the November Emory Research Administration Newsletter, Columbia University recently agreed to pay a $9 million settlement in a false claims act case where it was alleged that they had submitted false claims in connection with effort certified on federally grant funded work. (The full article can be accessed at https://scholarblogs.emory.edu/ranews/2014/11/26/peer-institution-settles-for-9-million-in-false-claims-act-case/.) As has been reflected in the outcomes of many federal audits, lack of compliance in this area can be very costly.

Due to the need for us to ensure that we continue to be in full compliance with the federal guidelines, it is important that we ensure that all remaining past due effort reports are addressed. The first step in this process is ensuring that those remaining in “pending pre-review” status are completed. The required date for completion of cleanup for this population is February 1. Given that our revised policy results in no new effort certifications being generated until March 2015, continuing to process pre-certifications and certifications at the rate achieved over the past 9 months should eliminate all backlogs. OGCA will provide a detailed list of those that remain outstanding for your area. If you have further questions on the process or the population assigned to your area, please contact Rubena Bedi at (404)727-2166 or rmeyer2@emory.edu.
We greatly appreciate your attention to this important project. If you have any concerns or questions, please contact Kerry Peluso at (404) 727-0551 or kpeluso@emory.edu.

Carol Dillon Kissal
Vice President for Finance/CFO

David Wynes
Vice President for Research Administration

**Friendly Reminder for Clinical Trials**

Even if a study is not a clinical trial and it does not have EHC billable items or services requiring a PRA, but the study is a non-federal research study, it should be routed to OCR for budget development and negotiation.

OCR is now responsible for budget development and negotiation for all non-federal studies and the RAS is responsible for budget development for federal studies. This was a change that became effective October 1, 2014.

To reflect this change, the title of the roles & responsibilities document has been updated to reinforce this change. **RAS Roles and Responsibilities_Clinical Trials & Clinical Research_121014** can be found on Blackboard at Research Administration Services > Roles & Responsibilities and on the web at [http://ras.emory.edu/services/RAS%20Resp.%20for%20Clinical%20Trials.html](http://ras.emory.edu/services/RAS%20Resp.%20for%20Clinical%20Trials.html)

**New NIH Biosketch Announcement**

NIH has recently issued NOT-OD-15-032 related to their prior announcement of a change in the format for NIH Biosketches. Originally required for use for deadlines on or after January 25, 2015, the implementation has been delayed until the May 25, 2015 deadlines. The new biosketch format may be used immediately and NIH encourages its use for deadlines as of January 25, 2015. The new format will become required for use for deadlines on or after May 25, 2015.


Revised forms and instructions are now available on the SF 424 (R&R) Forms and Applications page. ([http://grants.nih.gov/grants/funding/424/index.htm#format](http://grants.nih.gov/grants/funding/424/index.htm#format))

The new format changes are summarized below.

- Page limit extended from 4 pages to 5 pages;
- Personal Statement and Positions & Honors sections remain as Sections A and B. (See new sample format for additional guidance on the Personal Statement.)
• Revised Section C for “Contributions to Science.” This section allows researchers to describe up to five of their most significant contributions to science. The section may include the historical background that framed their research. Investigators may also outline the central findings of their prior work and the influence of those findings on the investigator’s field. Each description can be accompanied by a listing of up to four relevant peer-reviewed publications or other non-publication research products, such as audio or video products, patents, data/research materials, databases, models, etc. (See sample format for full list of possible research products which may be included.) In addition to the descriptions, researchers may also include a link to a full list of their published works as found in a publicly available digital database such as MyBibliography or SciENcv.

• Research Support remains as Section D.

The Science Expert Network (SciENcv) will be updated within a few weeks to support the new format. For anyone previously unfamiliar with SciENcv, a YouTube video about SciENcv, and how to create a biosketch using SciENcv, can be found at: https://www.youtube.com/watch?v=PRWy-3GXhtU&feature=youtu.be.

The new biosketch format is an option for use immediately. The new format becomes required as noted above.

A sample biosketch in the new format is attached.

**November Management Reports Enhancements**

November Management Reports are available in the RAS Operations folder. Please note the following enhancements.

• Added RAS BSci & YRK filter buttons for all reports
• *Subawards query will now accurately show only new POs
• Active Closeouts figures should now more accurately align with FIRA (now through 8/31/13) and non-FIRA populations of active projects
• Additionally, Active Closeouts graphs have been added to Director Summaries
• Progress Report and Annual Award Budget Milestones Reports are now presented in a month-by-month timeline for the upcoming year similar to the FSR Milestones report
• SOM will now be receiving their own SOM-RAS-units-only summary similar in content to the Director Summaries

*We are awaiting an update to the source query. Once this is available later this week, a new version of the Director Summaries will be uploaded.*

**UPCOMING EVENT**

**RAS Basic Science Launch**
- Wednesday, December 17th from 8-12
- Nell Hodgson Woodruff School of Nursing, Room 276, 1520 Clifton Road NE.
Additional RAS Basic Science information can be found on the web –
http://ras.emory.edu/

This is our final weekly announcement for 2014. We hope you enjoy the holidays with family and friends. Have a safe and happy new year!

Nicole

Revised forms and instructions are now available on the SF 424 (R&R) Forms and Applications page. (http://grants.nih.gov/grants/funding/424/index.htm#format)

The new format changes are summarized below.

- Page limit extended from 4 pages to 5 pages;
- Personal Statement and Positions & Honors sections remain as Sections A and B. (See new sample format for additional guidance on the Personal Statement.)
- Revised Section C for “Contributions to Science.” This section allows researchers to describe up to five of their most significant contributions to science. The section may include the historical background that framed their research. Investigators may also outline the central findings of their prior work and the influence of those findings on the investigator’s field. Each description can be accompanied by a listing of up to four relevant peer-reviewed publications or other non-publication research products, such as audio or video products, patents, data/research materials, databases, models, etc. (See sample format for full list of possible research products which may be included.) In addition to the descriptions, researchers may also include a link to a full list of their published works as found in a publicly available digital database such as MyBibliography or SciENcv.
- Research Support remains as Section D.

The Science Expert Network (SciENcv) will be updated within a few weeks to support the new format. For anyone previously unfamiliar with SciENcv, a YouTube video about SciENcv, and how to create a biosketch using SciENcv, can be found at: https://www.youtube.com/watch?v=PRWy-3GXhtU&feature=youtu.be.

The new biosketch format is an option for use immediately. The new format becomes required as noted above.

A sample biosketch in the new format is attached.
BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.

Follow this format for each person. DO NOT EXCEED FIVE PAGES.

NAME:

eRA COMMONS USER NAME (credential, e.g., agency login):

POSITION TITLE:

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (if applicable)</th>
<th>Completion Date MM/YYYY</th>
<th>FIELD OF STUDY</th>
</tr>
</thead>
</table>

NOTE: The Biographical Sketch may not exceed five pages. Follow the formats and instructions below.

A. Personal Statement

Briefly describe why you are well-suited for your role in the project described in this application. The relevant factors may include aspects of your training; your previous experimental work on this specific topic or related topics; your technical expertise; your collaborators or scientific environment; and your past performance in this or related fields (you may mention specific contributions to science that are not included in Section C). Also, you may identify up to four peer reviewed publications that specifically highlight your experience and qualifications for this project. If you wish to explain impediments to your past productivity, you may include a description of factors such as family care responsibilities, illness, disability, and active duty military service.

B. Positions and Honors

List in chronological order previous positions, concluding with the present position. List any honors. Include present membership on any Federal Government public advisory committee.

C. Contribution to Science

Briefly describe up to five of your most significant contributions to science. For each contribution, indicate the historical background that frames the scientific problem; the central finding(s); the influence of the finding(s) on the progress of science or the application of those finding(s) to health or technology; and your specific role in the described work. For each of these contributions, reference up to four peer-reviewed publications or other non-publication research products (can include audio or video products; patents; data and research materials; databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware) that are relevant to the described contribution. The description of each contribution should be no longer than one half page including figures and citations. Also provide a URL to a full list of your published work as found in a publicly available digital database such as SciENcv or My Bibliography, which are maintained by the US National Library of Medicine.
D. Research Support

List both selected ongoing and completed research projects for the past three years (Federal or non-Federally-supported). *Begin with the projects that are most relevant to the research proposed in the application.* Briefly indicate the overall goals of the projects and responsibilities of the key person identified on the Biographical Sketch. Do not include number of person months or direct costs.
NAME: Hunt, Morgan Casey

eRA COMMONS USER NAME (credential, e.g., agency login): huntmc

POSITION TITLE: Associate Professor of Psychology

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (if applicable)</th>
<th>Completion Date MM/YYYY</th>
<th>FIELD OF STUDY</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of California, Berkeley</td>
<td>B.S.</td>
<td>05/1990</td>
<td>Psychology</td>
</tr>
<tr>
<td>University of Vermont</td>
<td>Ph.D.</td>
<td>05/1996</td>
<td>Experimental Psychology</td>
</tr>
<tr>
<td>University of California, Berkeley</td>
<td>Postdoctoral</td>
<td>08/1998</td>
<td>Public Health and Epidemiology</td>
</tr>
</tbody>
</table>

A. Personal Statement

I have the expertise, leadership, training, expertise and motivation necessary to successfully carry out the proposed research project. I have a broad background in psychology, with specific training and expertise in ethnographic and survey research and secondary data analysis on psychological aspects of drug addiction. My research includes neuropsychological changes associated with addiction. As PI or co-Investigator on several university- and NIH-funded grants, I laid the groundwork for the proposed research by developing effective measures of disability, depression, and other psychosocial factors relevant to the aging substance abuser, and by establishing strong ties with community providers that will make it possible to recruit and track participants over time as documented in the following publications. In addition, I successfully administered the projects (e.g. staffing, research protections, budget), collaborated with other researchers, and produced several peer-reviewed publications from each project. As a result of these previous experiences, I am aware of the importance of frequent communication among project members and of constructing a realistic research plan, timeline, and budget. The current application builds logically on my prior work. During 2005-2006 my career was disrupted due to family obligations. However, upon returning to the field I immediately resumed my research projects and collaborations and successfully competed for NIH support.


B. Positions and Honors

Positions and Employment
1998-2000 Fellow, Division of Intramural Research, National Institute of Drug Abuse, Bethesda, MD
2000-2002 Lecturer, Department of Psychology, Middlebury College, Middlebury, VT
2001-   Consultant, Coastal Psychological Services, San Francisco, CA
2002-2005  Assistant Professor, Department of Psychology, Washington University, St. Louis, MO
2007-    Associate Professor, Department of Psychology, Washington University, St. Louis, MO

Other Experience and Professional Memberships
1995-   Member, American Psychological Association
1998-   Member, Gerontological Society of America
1998-   Member, American Geriatrics Society
2000-   Associate Editor, Psychology and Aging
2003-   Board of Advisors, Senior Services of Eastern Missouri
2003-05 NIH Peer Review Committee: Psychobiology of Aging, ad hoc reviewer
2007-11 NIH Risk, Adult Addictions Study Section, members

Honors
2003   Outstanding Young Faculty Award, Washington University, St. Louis, MO
2004   Excellence in Teaching, Washington University, St. Louis, MO
2009   Award for Best in Interdisciplinary Ethnography, International Ethnographic Society

C. Contribution to Science
1. My early publications directly addressed the fact that substance abuse is often overlooked in older adults. However, because many older adults were raised during an era of increased drug and alcohol use, there are reasons to believe that this will become an increasing issue as the population ages. These publications found that older adults appear in a variety of primary care settings or seek mental health providers to deal with emerging addiction problems. These publications document this emerging problem but guide primary care providers and geriatric mental health providers to recognize symptoms, assess the nature of the problem and apply the necessary interventions. By providing evidence and simple clinical approaches, this body of work has changed the standards of care for addicted older adults and will continue to provide assistance in relevant medical settings well into the future. I served as the primary investigator or co-investigator in all of these studies.

2. In addition to the contributions described above, with a team of collaborators, I directly documented the effectiveness of various intervention models for older substance abusers and demonstrated the importance of social support networks. These studies emphasized contextual factors in the etiology and maintenance of addictive disorders and the disruptive potential of networks in substance abuse treatment. This body of work also discusses the prevalence of alcohol, amphetamine, and opioid abuse in older adults and how networking approaches can be used to mitigate the effects of these disorders.

3. Methadone maintenance has been used to treat narcotics addicts for many years but I led research that has shown that over the long-term, those in methadone treatment view themselves negatively and they
gradually begin to view treatment as an intrusion into normal life. Elderly narcotics users were shown in carefully constructed ethnographic studies to be especially responsive to tailored social support networks that allow them to eventually reduce their maintenance doses and move into other forms of therapy. These studies also demonstrate the policy and commercial implications associated with these findings.


Complete List of Published Work in MyBibliography:
http://www.ncbi.nlm.nih.gov/sites/myncbi/collections/public/1PgT7IEFIAJBlGMRDdWFmjWAO/?sort=date&direction=ascending

D. Research Support

Ongoing Research Support
R01 DA942367 Hunt (PI) 09/01/08-08/31/16
Health trajectories and behavioral interventions among older substance abusers
The goal of this study is to compare the effects of two substance abuse interventions on health outcomes in an urban population of older opiate addicts.
Role: PI

R01 MH922731 Merryle (PI) 12/15/07-11/30/15
Physical disability, depression and substance abuse in the elderly
The goal of this study is to identify disability and depression trajectories and demographic factors associated with substance abuse in an independently-living elderly population.
Role: Co-Investigator

Faculty Resources Grant, Washington University 08/15/09-08/14/15
Opiate Addiction Database
The goal of this project is to create an integrated database of demographic, social and biomedical information for homeless opiate abusers in two urban Missouri locations, using a number of state and local data sources.
Role: PI

Completed Research Support
R21 AA998075 Hunt (PI) 01/01/11-12/31/13
Community-based intervention for alcohol abuse
The goal of this project was to assess a community-based strategy for reducing alcohol abuse among older individuals.
Role: PI
<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
<th>Department</th>
<th>RAS Unit</th>
<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protocol Development</td>
<td>🟢 Obtain Clinical Trial Protocol and budget (if available) from sponsor</td>
<td>🟢 Maintain list of Clinical Trials in process</td>
<td>🟢 Sign non-disclosure agreement (OSP)</td>
<td>🟢 1001: Notification of Intent to Submit</td>
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<td></td>
<td>🟢 Obtain draft Clinical Trial agreement from sponsor</td>
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<td></td>
<td>🟢 Notify RAS unit of intent to submit</td>
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<tr>
<td>Obtain Compliance Approvals</td>
<td>🟢 Please note – not all may be necessary for each study</td>
<td>🟢 Navigate and Monitor Progress</td>
<td>🟢 Enter new project into eCOI</td>
<td>🟢 1002: Research Proposal Application Process – Non-Complex &amp; 1003: Complex Award Management – Pre-Award</td>
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<td></td>
<td>🟢 Complete EHC Quality Checklist (Radiology, EML, Nursing, IDS) &amp; Key Points Summary</td>
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<td>🟢 If necessary, obtain relevant affinity group approval</td>
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<td></td>
<td>🟢 Obtain EHSO Approvals</td>
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<td></td>
<td>🟢 Complete IFIRR forms (COI)</td>
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<td></td>
<td>🟢 Obtain approval for use of CIN resources</td>
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<td></td>
<td>🟢 Obtain IRB approval</td>
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<td></td>
<td>🟢 Obtain VA R&amp;D approval</td>
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<td></td>
<td>🟢 Obtain GROC approval</td>
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<td></td>
<td>🟢 Complete Form FDA 1572</td>
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<tr>
<td></td>
<td>🟢 [For Winship Studies only]</td>
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<td></td>
<td>– 🟢 Obtain Winship CTRC approval</td>
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<td></td>
<td>– 🟢 Enter new project</td>
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</tr>
</tbody>
</table>

*For Winship Cancer Institute trials, some of these may be regulatory staff responsibilities; For studies at CHOA, some of these responsibilities may be CHOA responsibilities.

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

Version 3.2; Last updated: February 19, 2016
## Research Administration Services: Roles & Responsibilities (Clinical Trials)

<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
<th>Department</th>
<th>RAS Unit</th>
<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter proposal/protocol into EPEX (note: this process may occur before all compliance approvals are obtained)</td>
<td></td>
<td></td>
<td>• Compile all relevant Clinical Trial/protocol elements from PI/coordinator</td>
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<td>• 1002</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Enter relevant documents into EPEX</td>
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<td></td>
<td>• 1003</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Ensure information entered into EPEX is complete and accurate, including overhead</td>
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<td></td>
<td></td>
<td></td>
<td>• Submit for routing in EPEX</td>
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</tr>
<tr>
<td>EPEX Protocol Routing</td>
<td>• Certify protocol in EPEX</td>
<td></td>
<td>• Review and approve protocol in EPEX for the following, if applicable:</td>
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<td></td>
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<td>‒ Dept cost share commitments (including salary cost share)</td>
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<td></td>
<td></td>
<td>‒ Dept space commitments</td>
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<td>‒ Type of research and key personnel performing research</td>
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<td></td>
<td>• Monitor protocol progress through EPEX approval process</td>
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<td></td>
<td>• Approve budget &amp; protocol in EPEX, if required (note, if there are Emory Billables, this either is not required or happens after OCR approves &amp; develops the budget)</td>
<td></td>
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<tr>
<td></td>
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<td></td>
<td>• [OCR]: Approve study in EPEX &amp; route to OSP if a non-federal study (unless certain EPEX workflow responses trigger review by School)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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*For Winship Cancer Institute trials, some of these may be regulatory staff responsibilities; For studies at CHOA, some of these responsibilities may be CHOA responsibilities. Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred.
<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
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<th>RAS Unit</th>
<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRA and Budget Development</td>
<td>• Provide inputs for budget (protocol, procedures &amp; notify Purchasing if EHC device). • Determine how to operationalize the study procedures. • If federal study awarded JIT, submit to OCR for PRA if EHC billables or submit ERMS Activation Form to OCR if no EHC billables.</td>
<td>• Approve any cost-sharing</td>
<td>IF CHOA BILLABLES or FEDERAL STUDY: (please note, these activities should occur before protocol routing) • Submit IDS budget request • Develop Draft budget • Choose Cost Option Language for CHOA billables &amp; share with OSP/IRB (OCR will provide cost option to OSP &amp; IRB for EHC billables).</td>
<td>• Review final budget • Approve any cost-sharing</td>
<td>IF EMBRY BILLABLES: [OCR]: Develop PRA IF NON-FEDERAL BUDGET [excluding CHOA budgets]: [OCR]: Develop draft budget [OCR]: Submit IDS budget request [OCR]: Negotiate budget with sponsor (keep PI informed, as necessary) [OCR]: Incorporate Budget into Contract (work with OSP) [OCR]: Set up ERMS budget [OCR]: Update OCR Study Status Tracking System with progress of PRA &amp; budget IF EMBRY BILLABLES OR NON-FEDERAL BUDGET: {[OCR]: Choose Cost Option Language for Emory billables &amp; share with OSP/IRB [OCR]: Notify EHC if devices are being used at Emory site FOR ALL STUDIES (Federal &amp; Non-Federal): [OCR]: Set up ERMS study &amp; placement groups FOR PI INITIATED STUDIES [excluding CHOA budgets]: [OCR]: Prepare LOI budget (for Industry Sponsors ONLY)</td>
<td>To Be Integrated into SOP #1004</td>
</tr>
</tbody>
</table>

*For Winship Cancer Institute trials, some of these may be regulatory staff responsibilities; For studies at CHOA, some of these responsibilities may be CHOA responsibilities. Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred.
## Research Administration Services: Roles & Responsibilities (Clinical Trials)

### Contract Negotiations

<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
<th>Department</th>
<th>RAS Unit</th>
<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contract Negotiations</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• [OSP]: Negotiate Contract with Sponsor</td>
<td></td>
</tr>
<tr>
<td>[SAME AS GRANTS AND CONTRACTS]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• [OSP]: Negotiate and Approve Subject Injury Language and notify IRB (work with PI, as necessary)</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td>• [OSP]: Update eCTS (Contract Tracking System) with progress of contract</td>
<td></td>
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<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• [OSP]: Sign Clinical Trial Agreement on behalf of university</td>
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<td></td>
<td></td>
<td>• [OSP]: Notify RAS unit when contract has been signed</td>
<td>1002</td>
</tr>
</tbody>
</table>

### Award Set-up

<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
<th>Department</th>
<th>RAS Unit</th>
<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Award Set-up</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• [OSP/DMG]: Set-up award in Compass and generate SmartKey</td>
<td></td>
</tr>
<tr>
<td>[SAME AS GRANTS AND CONTRACTS]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• [DMG]: Issue eNOA and upload into ComSquared and I-drive</td>
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<tr>
<td></td>
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<td></td>
<td></td>
<td>• [FGC]: Activate bill plan, set up Invoicing and FFR milestones</td>
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<td></td>
<td></td>
<td></td>
<td>• [FGC]: If applicable, ensure cost sharing project has been assigned</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• [FGC]: If applicable, set up program income account</td>
<td></td>
</tr>
</tbody>
</table>

Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred.
### Research Administration Services: Roles & Responsibilities (Clinical Trials)

<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
<th>Department</th>
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<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
</table>
| Establishing Subawards/Subcontracts [SAME AS GRANTS AND CONTRACTS] | • Gather and review sub documentation, including budgets and statement of work  
• Define sub deliverables and milestones                                |            | • Obtain sub documentation from PI     |             | • [OSP]: Negotiate and sign sub with sponsor  
• [OSP]: Create PO in Emory Express  
• [OSP]: Notify RAS unit when sub has been fully executed | 2005: Requesting a Subaward or Subcontract |
| Study Start-up                    | • Develop Delegation of Authority Log  
• [Winship Studies Only]  
  - Complete Winship Checklist to Open Protocol  
  - Upload study data to OnCore  
• Enter research subjects in ERMS on same day as consented | • Ensure study staff have proper credentials and training |  |  | • [OCR]: Enter study level documents into PowerTrials if CT or Emory site after eNOA  
• [OCR]: Flag research subjects & enter patient level documents into EeMR on same day as ERMS entry if clinical trial & Emory site (except if deemed sensitive by IRB)  
• [OCR]: Provide mandatory clinical trials training & BLS for all study staff  
• [OCR]: Facilitate ClinicalTrials.gov entry & problem resolution for Emory sponsored clinical trials & enter NCT# into ERMS for all Emory studies if ACT or Phase 1 | N/A |

*For Winship Cancer Institute trials, some of these may be regulatory staff responsibilities; For studies at CHOA, some of these responsibilities may be CHOA responsibilities. Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred.
Research Administration Services: Roles & Responsibilities (Clinical Trials)

<table>
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<tr>
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<th>School/Unit</th>
<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conduct Clinical Trial and Manage Expenses</td>
<td>• Conduct clinical trial &lt;br&gt;• Hire any staff needed to conduct clinical trial &lt;br&gt;• Purchase supplies and equipment &lt;br&gt;• Provide guidance to RAS on award expenses or projections, as necessary &lt;br&gt;• Ensure regulatory compliance certifications are up to date &lt;br&gt;• Enter patient visit information into ERMS and sponsor systems (if applicable)</td>
<td>• Collaborate with RAS Units on movement of any expenses to department accounts &lt;br&gt;• Process Travel &amp; Expense reimbursements</td>
<td>• Reconcile expenditures and create projections on award expenses every 60 days; ensure expenditures do not exceed budget &lt;br&gt;– Ensuring expenses are allowable &lt;br&gt;– Confirm with PI any expenses that do not look like they belong on the award &lt;br&gt;– Submit any cost transfers, retroactive salary transfers, and journal entries &lt;br&gt;– File CAS exceptions</td>
<td>• Approve CAS exceptions</td>
<td>• [FGC]: Enter paper retroactive salary transfers (RSTs)</td>
<td>• 2001: Complex Award Management Post Award &lt;br&gt;• 2007: Projections and Forecasting &lt;br&gt;• 2008: Reconciling Expenditures &lt;br&gt;• 2009: Cost Transfers &lt;br&gt;• 2014: CAS Exceptions</td>
</tr>
</tbody>
</table>
## Research Administration Services: Roles & Responsibilities (Clinical Trials)

<table>
<thead>
<tr>
<th>Category</th>
<th>PI/Study Staff*</th>
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<th>ORA Offices</th>
<th>Relevant SOP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor Invoicing</td>
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<td></td>
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<td></td>
<td></td>
<td>To Be Integrated into SOP 2010: Invoicing</td>
</tr>
</tbody>
</table>

- If OCR is being utilized for invoicing:
  - Coordinate with OCR and coordinators to ensure invoices are sent on time
- If RAS unit is completing invoicing:
  - Develop invoice and send to sponsor
  - Inform FGC of proper account to apply cash

- If RAS unit is completing invoicing:
  - [FGC]: Receive checks from sponsor
  - [FGC]: Apply cash to account
  - [FGC]: Pay internal & external monies owed for services performed including patient stipends & travel reimbursement

- If RAS unit is completing invoicing:
  - [FGC]: Receive checks from sponsor
  - [FGC]: Apply cash to account

- If OCR is being utilized for invoicing:
  - [OCR]: Send invoice to sponsor per CTA & verify grant charges per PRA. Facilitate charge corrections w/CTBD.
  - [OCR]: Receive checks from sponsor & send to FGC w/in 24hrs
  - [OCR]: Inform FGC of proper account to apply cash
  - [FGC]: Apply cash to account
  - [OCR]: Pay internal & external monies owed for services performed including patient stipends & travel reimbursement

- If RAS unit is completing invoicing:
  - [FGC]: Receive checks from sponsor
  - [FGC]: Apply cash to account

*For Winship Cancer Institute trials, some of these may be regulatory staff responsibilities; For studies at CHOA, some of these responsibilities may be CHOA responsibilities. Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred.
## Research Administration Services: Roles & Responsibilities (Clinical Trials)

### Paying Subawardees/Subcontractors

**[SAME AS GRANTS AND CONTRACTS]**

- Confirm subawardees/subcontractors have completed work before payment is sent
- 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
- **[Payment Services]:** Receive invoices from subawardees/subcontractors; request approval for payment from RAS units
- **[Payment Services]:** Pay invoices
- If OCR is being utilized for Invoicing:
  - **[OCR]:** Pay internal & external monies owed for services performed including patient stipends & travel reimbursement

### No Cost Extension (NCE)

- Complete justification for NCE
- **[If Sponsor approval is required]:** Draft letters to sponsors for NCE request
- Assist in gathering documentation needed (if any) for NCE
- Submit requests for NCE to OSP
- Inform PI and Co-PIs if NCE has been received
- **[OSP]:** If granted authority, approve NCE
- **[OSP]:** If not granted authority, submit NCE requests to sponsor
- **[DMG]:** Upon approval, update Compass with new end date and prepare new eNOA

### 2013: No Cost Extension

- **[OSP]:** Negotiate change to CTA with sponsor and execute new contract
- **[OSP]:** Notify RAS unit when contract has been signed

### Amendments (language changes only)

- Gather amendment and other related documents and submit to RAS unit
- Submit amendment and related documents to OSP via OSP listserv

### 2006: Paying subawards and subcontracts

---

*For Winship Cancer Institute trials, some of these may be regulatory staff responsibilities; For studies at CHOA, some of these responsibilities may be CHOA responsibilities. Activities highlighted in yellow are activities responsibilities that will be moved to RAS units after training has occurred.*

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Version 3.2; Last updated: February 19, 2016
### Award Close-out

**[SAME AS GRANTS AND CONTRACTS]**

<table>
<thead>
<tr>
<th>Activities</th>
<th>Activities</th>
<th>Activities</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Notify RAS, IRB &amp; OCR if a study is terminating&lt;br&gt;• Review and approve final reportable expenses&lt;br&gt;• Prepare invention statement, if applicable&lt;br&gt;• Prepare non-financial reports&lt;br&gt;• Maintain non-financial records</td>
<td>• Approve transfer of residual balances or deficits&lt;br&gt;• Approve movement of salary to department accounts from sponsored projects</td>
<td>• Reconcile expenses; review F&amp;A, cost share, and program income; determine final reportable expenses; confirm final numbers with PI&lt;br&gt;• Notify feeder systems of end of award&lt;br&gt;• Clear encumbrances&lt;br&gt;• Adjust payroll distributions&lt;br&gt;• Prepare Final FFR/Final Invoice and submit to FGC&lt;br&gt;• Determine if deficit or residual balance and work with dept/school to transfer&lt;br&gt;• For Compass close-out, ensure ensuring budget = General Ledger = final expenditures; notify FGC when SmartKey should be inactivated</td>
<td>• Approve transfer of residual balances or deficits</td>
</tr>
</tbody>
</table>
WEEKLY ANNOUNCEMENT #27 – DECEMBER 8, 2014

Financial Online Reporting System (FORS)
This is a reminder that Emory’s Financial Online Reporting System (FORS) will be decommissioned after December 31, 2014.

Following Emory’s August 31 year-end close, FORS has included FY14 and prior data only, not FY15 data.

You can access current and historical data through nVision reports and Emory Business Intelligence (EBI).

Report Questions and EBI Information

If you have any questions or comments about Emory reporting, please contact the campus reporting team at em_rptofficer@emory.edu.

To see Emory Business Intelligence information on the EBI web pages, including report descriptions, click here.

HIGHLIGHTS

RAS Cancer & Imaging New Hire – Thomas Furrie, Post-Award
Thomas is a degreed accountant with twenty eight years of research administration experience. His prior experience includes tenure with the University of Hawai`i system where he worked with sponsored awards as a department administrator and most recently at the University of Louisville as Grants Management Accountant in the Office of Sponsored Programs Administration, Finance Division. Thomas is a Certified Research Administrator (CRA).

RAS Cancer & Imaging Open House – Thursday, December 4th
On Thursday, December 4th, RAS – Cancer & Imaging hosted their Holiday Open House. Here are pictures and contest winners from this event.
Research Administration Services - Cancer & Imaging
Holiday Open House
Thursday, December 4, 2014
UPCOMING EVENTS

RAS Holiday Lunch
- Wednesday, December 10th from 12-2
- Dobbs University Center (DUC) 605 Asbury Circle – Winship Ballroom

RAS Basic Science Launch
- Wednesday, December 17th from 8-12
- Nell Hodgson Woodruff School of Nursing, Room 276, 1520 Clifton Road NE.
Additional RAS Basic Science information can be found on the web – http://ras.emory.edu/

If you have any RAS highlights or upcoming events you’d like to share, please send me an email by Thursday, December 11th.

Make it a great week!

Nicole
ERAZ Highlights
The ERAZ meeting took place Thursday, November 20\textsuperscript{th} from 9:30-11:00 in the School of Nursing Auditorium. The agenda items included:

- FIRA Update
- Projects & Awards Closeout Tool (PACT)
- Research Administration Services Update
- Global Services

**FIRA Update** – Edie Murphree discussed the account clean-up which includes projects through 08/31/13. She highlighted the challenges associated with the clean-up which are competing priorities and new staff. The recommendation is to focus on the highest priorities which include the following:

- Cash deficits
- Budget deficits
- Conversion issues (technical consultant)
- Expand project population from awards ending before 1/31/13 to awards ending before 9/01/13

Edie outlined the Roles & Responsibilities between the FIRA Team and Department or RAS unit

**FIRA Team Roles & Responsibilities**

- Creation of workbook – analysis of project form reports and file history
- Analyze project and determine issues
- Journal Entries
- Invoicing and Collection; FSR revisions
- Process Refunds and Residuals
- Perform Account Receivable Maintenance
- Award Closeout

**Department or RAS unit Roles & Responsibilities**

- Overspent Award
- Underspent Award
- Research files for missing documentation
- Approve refunds and residuals for processing

**Projects & Awards Closeout Tool (PACT)** – Nicole Cohee and Melissa Kuskie provided an overview of closeout using PACT. They outlined the difference between Project Closeout and Award Closeout.

**Project Closeout**

- Closing of individual projects, tied to an award, that has ended
- Expenses on ledger match Final FSR and/or Final Invoice
• Project SmartKey inactivation

Award Closeout
• Closing of an award that has ended, including all projects
• Expenses on ledger match Final FSR and/or Final Invoice
• Accounts Receivable – all cash for the award has been collected from the Sponsor
• All projects are ended and all SmartKeys inactivated
• Contract Billing Limit and Budgets are adjusted to Final FSR/Invoice

Closeout Milestones are needed when closeouts are due and to ensure closeouts for sponsored projects are completed. Closeout Milestones can be found on the FSR Milestone Tab (Grants > Awards > Award Profile > FSR Milestone Tab)

Nicole and Melissa also discussed how to start the process, closeout steps, closeout milestone status, where to find PACT online and the closeout timeline.

RAS Updates – Todd Bruce shared with the audience the three communication channels used by RAS Central Operations and their purpose.

• RAS Website: http://ras.emory.edu
  o Designed for faculty, research administration community and the public. The goal is to provide PIs with information on the RAS units serving them.
  o Feedback or technical issues contact: ras.centraloperations@emory.edu

• RAS Blackboard: https://classes.emory.edu/webapps/portal/frameset.jsp
  o Designed for the RAS units and RAS Central Operations. The goal is to share news, policy changes and new processes. It also serves as a repository for SOPs, Job Aids, Org Charts. This site requires an invitation.

• Transform Research Administration Website: http://tra.emory.edu
  o Created for the Emory community – faculty and staff not yet served by RAS. The goal is to provide background, context and progress updates on TRA initiative. This site will remain live through the RAS unit implementations and requires NetId.

RAS Implementations Update
• RAS Basic Science
  o Director: Debbie Duke
  o Launch: December 10th
  o Location: Health Sciences Library
• RAS Yerkes
  o Formed working group
  o Initial conversations with leadership
• Federal Contracts
  o Identified operating structure
• RAS Surgery & Psych-Neuro
Target launch: April 2015

RAS Units Update
- Monthly Reporting
- PI Satisfaction Surveys
- KPI Dashboard

Highlights from the ERAZ Meeting were taken from the ERAZ Presentation provided by the Office of Research Administration. In order to view the ERAZ Presentation in its entirety, click Emory Research A to Z 11/20/14.

UPDATES

Glossary of Terms

The glossary of terms document has been updated. This document includes acronyms used in research administration and on Emory’s campus. It can be found in the Human Resources & Training folder.

HIGHLIGHTS

RAS Public Health New Hire – Amy Hartley, Pre-Award
Amy has over 13 years of experience in sponsored research. She began her career at Emory as a Research Interviewer in the Department of Psychiatry. After being promoted to Research Coordinator for the Women’s Mental Health Program, Amy joined the Department of Surgery as Project Manager. She returned to the Department of Psychiatry/Neurology before joining RAS Public Health in November 2014.

UPCOMING EVENT

Thanksgiving Holiday - November 27 & 28, 2014

Have a safe and enjoyable Thanksgiving.

Nicole
New Policies – Effort Reporting and Cost Transfers

I am pleased to announce that changes to the effort reporting and cost transfer policies that will allow us to remain in compliance with federal guidelines while reducing the administrative burden on our researchers. Recently, we transitioned non-exempt staff from monthly certifications to quarterly certifications. We are now moving all effort certifications from a quarterly schedule to a semi-annual certification schedule. The changes to the Effort Reporting requirements and Cost Transfer requirements for sponsored programs are detailed below.

It is critical that everyone involved in the management and administration of research and other sponsored projects be aware of these changes and requirements. The federal government has issued findings to many of our peer institutions in both of these areas. Most recently, Columbia University received a $9 million finding related to effort reporting.

Please review the changes below and contact us with any questions or concerns.

Thank you,
Kerry Peluso

Effective November 15, 2014, the University will implement two revised policies with a significant impact on research administration. The Effort Reporting Policy (7.17) and Cost Transfer/Payroll Reallocations Policy (7.19) have been revised to ensure compliance with the Federal Office of Management and Budget’s Uniform Administrative Requirements in as efficient a manner as possible for the Emory research community. Key revisions for each policy are highlighted below:

Effort Reporting Policy:
- Certification of effort forms for exempt and non-exempt employees will now be done on a semi-annual basis, covering two effort periods (September – February and March – August). This is a change from the previous requirement of quarterly certification. While this will relieve some of the administrative burden that was associated with the previous more frequent certification periods, the requirements for timely certifications, accounting for the appropriateness of summer salary, and maximum thresholds for effort on sponsored awards remain.
• All effort forms must be certified within 90 days of the end of the effort period. This represents a change from the previous requirement that effort forms must be certified within 45 days of the initiation of an effort period.
• Cost Transfers for salary must be completed within the earlier of:
  o 90 days after the end of the effort period or.
  o 60 days following the end of the award (or earlier for closeouts due prior to 90 days).

All salary adjustments must be processed within the above periods. In the event that a final invoice/report is due earlier than 90 days after the end of the award, the salary adjustments must reflect on the award at an earlier date.

Cost Transfer and Payroll Reallocation Policy:
• The retroactive salary transfer (RST) tool must be used for interim and after-the-fact salary adjustments. This tool allows for each individual adjustment to go through the required approval process and appropriate workflow.
• Non-salary cost transfers: must be processed as soon as possible. In order to be “on time,” these requests must be received by OGCA for approval within 90 days following the end of the month in which the expense was initially charged to the sponsored program.
• Salary adjustments: must be processed as soon as possible. In order to be “on time,” these requests must be submitted using the RST tool and reach OGCA for approval within a maximum of 90 days after the end of the effort certification period.
• Any requests submitted beyond the periods noted above will be considered late and will require approval by the Associate Vice President for Research Administration (or designee) and will only be allowed under extenuating circumstances. The federal government views late cost transfers as a sign of lack of financial oversight for federal funds.

For all individuals who work in research administration in any capacity, it is imperative that you familiarize yourself with these policies and ensure that your business processes incorporate all associated requirements.

The new Effort Reporting Policy can be accessed at http://policies.emory.edu/7.17. For more information on Effort Reporting, please visit http://www.ogca.emory.edu/cost-studies/effort/index.html.

The new Cost Transfer Policy can be accessed at http://policies.emory.edu/7.19. For more information on Cost Transfers, please visit http://www.ogca.emory.edu/handbook/fin-award-admin/cost-transfer.html.
If you have any questions regarding the aforementioned policies, please contact Josh Rosenberg at josh.rosenberg@emory.edu or 404-727-1677.

Emory Learning Management System (ELMS)
A transition is currently underway to create a single training record for all employees in ELMS. As previous trainings are entered into the system, automatic email notifications are generated and sent to each individual. Unfortunately, this notification cannot be disabled. The training team has asked we remind you to simply delete this messages for trainings you have not enrolled in.

October Management Reports
October Management Reports are available in the RAS Operations folder.

HIGHLIGHTS

RAS Leads Lunch
Each quarter, Todd and his team hosts a RAS Leads Lunch. The purpose of the lunch is to allow Leads to discuss issues, concerns, best practices and exchange ideas on process improvement. The most recent lunch was Tuesday, November 11th.

Discussed during this meeting were the following key points:

- CAS Exceptions: The Leads agreed that it is a joint Pre/Post function. However, any changes should be postponed until after Uniform Guidance.
- Other Support Language: Mandi proposed language for CT other support. Once the RAS Leads agree to the language, it will be sent to Holly Sommers for approval.
- Checklists: Kelly shared checklists that she uses with her team.
  - Grant Proposal Budget Review Overview/Checklist
  - Proposal Review Checklist
  - Answering the Submission and Miscellaneous Questions in EPEX
  - Cayuse Proposal Checklist

Mandi’s presentation and Kelly’s checklists are available on Blackboard > Research Administration Services > Tools in Development.

UPCOMING EVENT

ERAZ Meeting
November 20, 2014 – 9:30-11:00 a.m.
Nell Hodgson Woodruff School of Nursing
Room P01, Auditorium
1520 Clifton Road N.E.
We look forward to sharing more RAS highlights and upcoming events. Email Nicole George with highlights from this week by Thursday, November 20th.

Have a great week!

Nicole
Preparing to Review a Budget

The budget is the cornerstone of the grant proposal and crucial to many other parts of the proposal package; therefore it should be submitted and reviewed first. The entire budget spreadsheet must be checked manually with the use of a calculator to ensure all numbers are correct. Often times Excel spreadsheet formulas are changed or corrupted. It is essential that you manually verify all of the numbers.

Guidelines

1) Check the guidelines. Identify budgetary limit per year, number of years, effort requirements, verify project start date/end dates.

Internal Budget

2) Verify Budget Template and Salaries. The first thing you will need to do once the budget has been sent to you for review is determine if the correct budget template has been used. Obtain current salaries for all personnel on the budget. Establish if there are any salary caps or salary mandates regarding amounts or effort. Check the G drive for salaries outside or our RAS. If needed request salary confirmations from staff who prepared the budget.

3) Verify Project Start Date. Determine the project start date either from the guidelines issued for this specific opportunity or in the case of NIH proposals, check to see if standard dates apply and use start dates associated with Cycle I, II or III. This is important to know since you will need to use the “prorated salary” Excel file to determine if the prorated base salary amount used on the budget template is correct.

4) Budget Components

- Personnel- Verify both current base salary and base salary used for all personnel on the budget. Note the NIH mandates an executive level salary cap which can change yearly. The FY14 cap is currently $181,500. Occasionally a foundation will mandate a salary cap in their guidelines which we must adhere to. All other grant proposals including Dept of Defense (DoD) you will use the full institutional base for current base salary. You must get out your calculator and manually check all of these numbers on the Excel spreadsheet. Note: Only Emory personnel budgeted should be listed in this section, ie do not list unpaid collaborators here. For TBN positions list base starting salary, it is acceptable to escalate in yr 1 or choose no escalation.

- Fringe Benefits- Verify the correct fringe benefit rate has been used in the template. Emory has a Federal Fringe Rate (FY14 rate 24.6%) and a Non-Federal Fringe Rate. See most current non-federal fringe rate sheet. Make sure appropriate number of months applied to each FY calendar rate.

- F&A –Verify the correct indirect cost rate has been used. Federal proposals must use the federally negotiated rate. Foundations and Non-profits will usually list F&A costs in their guidelines if they pay any. If there is no written policy or if the sponsor is a For-profit company then the full federal rate is applied.

- Equipment Is there any equipment budgeted? Check sponsors guidelines to verify if equipment is allowed, if there are exclusions or cost limitations. Federal grants do not pay F&A costs on equipment and these costs must be backed out of the indirect cost base.

- Supplies- When reviewing materials and supplies check each item budgeted to make sure it is an actual supply and listed in the correct category. Materials and supplies are generally expendable items needed to perform the research. Note: Animal purchase is considered a supply item. You must also verify the $ amount budgeted for each item is consistent with the item or the number of

Rev 08/16/14
items budgeted. Use your calculator to check any numbers inserted such as $750 X 10 scans=$7,500

- **Travel**-Verify that the sponsor permits travel and check guidelines to see if the sponsor requires any travel to sponsor related meetings. Verify the $ amount budgeted for travel and that it conforms to guideline limitations and that the amount is not excessive.

- **Patient Care Costs**-If there are any patient care costs, verify that they have been separated into Inpatient and Outpatient categories. Check that the budget lists number of patients and cost per patient. Note: Federal grants do not pay F&A on patient care costs and this amount must be backed out of the indirect cost base.

- **Other Expenses**-When reviewing other expenses check each item budgeted to make sure it actually belongs in other expenses and the item is in the correct category. Other Expenses are generally services and fees, ie Animal per diem charges, Core facility charges, Publication costs, etc…Any other item that does not fit in the itemized categories above should also be listed here.

5) **Subcontracts** If the budget contains subcontracts, you must verify if the subcontractor needs to submit a separate detailed budget as in a Federal line item budgets or if the subcontract budget needs only to be included in Emory’s budget as in the Federal modular budget. All subcontract numbers must be checked. Since Emory is allowed to collect indirects off of the first 25K of each subcontract in a federal grant you must verify that the correct numbers have been entered. The federal internal budget templates do not automatically calculate the 25K and it must be manually entered by whoever prepared the budget template. Note: The 25K is applied one time to the life of the grant.

6) **Subtotals for Budget Sections**
You must manually check the subtotals for each budget section using your calculator to ensure no formulas have been altered in the spreadsheet.

7) **Directs/Indirects**
You must use your calculator to manually check all totals for Direct Costs and Indirect Costs. You must also verify that the indirect cost base has been calculated correctly.

**Budget/Personnel Justification**
An internal budget justification should be completed based on the budget categories listed in the budget. The purpose of the budget justification is to justify all items expensed in the budget. Do not list unpaid collaborators. The agency may or may not require a budget justification but Emory requires an internal budget justification for routing except for Modular budgets when only a Personnel Justification is required.

8) Verify that only Emory budgeted personnel are listed. Personnel should appear in the same order as they appear on the budget. Verify that their role listed here matches the role on the budget. Verify that the effort matches the budget and is listed appropriately in either % effort or calendar months. NIH and DOD use calendar months, all others should be in % effort.

9) When a justification is provided for all categories on the budget, ie Supplies, Travel, Other Expenses, you must verify that all items are listed in the correct category. You must match the $ amounts listed to the $ amounts listed on the budget. If for example mice are listed in the justification, you must manually calculate # of mice X cost per mouse= total. This total must exactly match the $ amount listed in the budget.
# Internal Budget Review Checklist

Agency: ________________________________

**Total Budget for Project Period:** ____________________

**Directs per year:** ____________________________________

**Indirects per year:** ____________________________________

**Salary Cap:** (if any) ________________________________

**Project Period Dates:** ________________________________

<table>
<thead>
<tr>
<th>Correct</th>
<th>Correction Needed</th>
<th>Internal Budget Components</th>
<th>Comments</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td><strong>Total Budget Amount for all years</strong></td>
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<td><strong>Total Directs for all years</strong></td>
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<td><strong>Total Indirects for all years</strong></td>
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<td><strong>Total Budget for individual years</strong></td>
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<td>Effort matches effort on budget</td>
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<td>Effort provided in correct format, cal months or % effort</td>
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<td>All categories and $ amounts listed on justification exactly match the $ amounts provided on the budget</td>
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<td>DHHS Rate Agreement Date, Fringe rate or Salary escalation statement included if required</td>
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Other Comments:
High Level Proposal Review

Review in Cayuse

___ Check for EPEX #
___ Check File names for spaces/characters
___ Check for errors and warning

SF424
___ Funds requested match EPEX budget numbers

Other Project Information

___ Project Summary/Abstract: 30 lines of text (___ lines)
___ Project Narrative: short statement (~3 sentences)
___ Bibliography: no “et al”
___ Facilities: no hidden cost share, all performance sites included
___ Equipment: if applicable

Key Personnel

___ Persons listed match EPEX, COI and subaward (if applicable)
___ Check Commons login ID for all PI/PD
___ Biosketch: 4 pages & formatted (goals, no effort/$ on support)
___ Multiple-PI Plan (if applicable)

Budget

___ Corresponds to EPEX budget and internal budget
___ Check for each project period
___ Compare budget to personnel/budget justification
___ Less than 500K (less consortium F&A) or NIH approval letter
___ Additional narrative included for uneven modules or MTDC exclusions from the base

Subaward

___ Budget matches EPEX and project budget
___ Subcontract Commitment For and Institutional Profile (if required)
Research Plan

___ Introduction: 1 page (if resubmission or revision)
___ Specific Aims: 1 page
___ Research Strategy: 12 pages for R01; 6 pages for R21
___ Human Subjects (if applicable): Narratives
___ Vertebrate Animals (address 5 categories)
___ Consortium/Contractual agreement: Narrative (not letter)
___ Letters of Support (effort commitments match budget)
___ Read closely to ensure nothing out of the ordinary included
___ Data Sharing Plan (if required)
Proposal Review Checklist

Review in Cayuse

___ Check for EPEX #
___ Check File names for spaces/characters
___ Check for errors and warning

SF424

___ Funds requested match EPEX budget numbers

Other Project Information

___ Project Summary/Abstract: 30 lines of text (___lines)
___ Project Narrative: short statement (~3 sentences)
___ Bibliography: no “et al”
___ Facilities: no hidden cost share, all performance sites included
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Key Personnel

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___ Budget matches EPEX and project budget

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___ Vertebrate Animals (address 5 categories)
___ Consortium/Contractual agreement: Narrative (not letter)
___ Letters of Support (effort commitments match budget
    ___ Read closely to ensure nothing out of the ordinary included
___ Data Sharing Plan (if required)
Answering the Submission and Miscellaneous Questions in EPEX

Submission Information

1. **Is the proposal due at a time other than 5:00 p.m. EST of the Deadline Date? If Yes, please specify time in comments**

   If not 5pm EST on deadline date enter proposal specific date and time here. (Be sure to read the guidelines to see when the proposal is due). Add any additional notations concerning the deadline date.

2. **Will the proposal be submitted electronically? If Yes, please specify in comments the submission portal (i.e., Grants.gov, NSF Fastlane, Proposal Central, etc.) and if not Grants.gov or NSF Fastlane, also specify who will submit the final version of the proposal (i.e., OSP or PI/Dept.).**

   If Yes, here are some examples of comments for Non-Federal and Federal proposals.
   Non-Federal Proposal: “Submitted electronically by PI thru Proposal Central; signed face page required from OSP. Hard copy must be postmarked and sent no later than Wednesday, February 12, 2014.”
   Federal Proposal: “Grants.gov-Proposal will be submitted by OSP.”

3. **Do you have any other comments about the submission of the proposal? If Yes, please specify in comments.**

   Please list here any unique items concerning the submission of this proposal. This might include contact information for a contract proposal, sponsor contact information if “Sponsor Not in Lookup”
**Miscellaneous Information**

1. *Does the proposal commit non-salary cost sharing, matching or in-kind contributions? If Yes, please specify in comments if cost sharing, matching or in-kind contributions are or are not required by sponsor.*

   Any cost share required by the sponsor for any costs other than salary & fringe. Most non salary cost share is for F&A recovery, at Emory called General & Administrative (G&A) Assessment.

   List the type of cost share, required, sk #

   1a. *Non-RAS administrators should answer "no" to this question.*

   *Is the non-salary cost sharing commitment required from a department outside the PI's home department or from the School then answer "Yes", otherwise answer "No".*

   *If Yes, please indicate in comments which schools, units and departments will provide funding and ad-hoc the relevant department/school administrator as an Approver.*

   *If you already have written confirmation of that Unit's commitment then you should answer "no" to this question and attach the confirmation.*

   You should answer “No” to this question if you already have written confirmation of the Unit’s commitment; therefore, you don’t you need School Approval.

   Answering “Yes” to this question will trigger workflow to the assigned School approvers.

2. *Does the proposal commit salary cost sharing, matching or in-kind contributions? If Yes, please specify in comments if cost sharing, matching or in-kind contributions are or are not required by sponsor.*

   Any cost share required by the sponsor that involves salary or fringe. Most salary-cost share is for over the salary cap salaries on a proposal. Primarily NIH, but could be any agency.

   List the type of cost share, PI name, sk #

   Answering “Yes” to this question will trigger workflow to the assigned School approvers.

2a. *Non-RAS administrators should answer "no" to this question.*

   *Is the salary cost sharing commitment required from a department outside the PI's home department or from the School then answer "Yes", otherwise answer "No".*
If Yes, please indicate in comments which schools, units and departments will provide funding and ad-hoc the relevant department/school administrator as an Approver.

If you already have written confirmation of that Unit’s commitment then you should answer “no” to this question and attach the confirmation.

You should answer “No” to this question if you already have written confirmation of the Unit’s commitment; therefore, you don’t you need School Approval.

Answering “Yes” to this question will trigger workflow to the assigned School approvers in comments.

Applicable when Emory is the prime. List name of subcontract institution.

4. Does the proposal involve a waiver of any portion of Facilities and Administration (F&A) cost recovery? (Also known as Indirect costs or IDCs). F&A waiver policy can be found at http://policies.emory.edu/7.12

Applicable only when a formal F&A waiver request form is completed in advance to waive a portion or all of the F&A on a proposal. This is not the same as G&A Assessment.

Answering “Yes” to this question will trigger workflow to the assigned School approvers.

5. Will new or additional space or renovation of existing space be required for the proposal? If Yes, please specify in comments.

If applicable, please insert PI response.

5a. Is the funding of additional space or renovation required from a department outside the PI’s home department or from the School then answer “Yes”, otherwise answer "No".

If Yes, please indicate in comments which schools, units and departments will provide funding and ad-hoc the relevant department/school administrator as an Approver.

If you already have written confirmation of that Unit’s funding commitment then you should answer "no" to this question and attach the confirmation.
6. **Does the proposal involve collaboration between investigators in more than one School or Operating Unit which meets the threshold defined in the Emory University Policy?** As at July 2013 the threshold for sharing F&A cost was $10,000. The current Policy on F&A Costs in Collaborative Research can be found at [http://policies.emory.edu/7.10](http://policies.emory.edu/7.10)

Applicable when the internal budget is drafted and a school or unit is budgeted in excess of 10K in direct costs for any budget period. This can be met in year 1 or in outgoing years.

Answering “Yes” to this question will trigger workflow to the assigned School approvers.

7. **Are possible inventions anticipated for the proposal? If Yes, please give a brief description of possible invention(s) in comments.**

If applicable, please insert PI response.

8. **Does the proposal involve confidential information? If Yes, please identify which pages contain the confidential information in comments.**

If applicable, please insert PI response.

9. **Click Yes, and indicate where the research will be conducted in comments.**

Answer: Faculty office number and bench numbers listed for the PI in the space database. (Since this is internal and placed in EPEX there is no need to include Emory University, city, state, and zip. Please check the Space database or space confirmation folder found on the share drive).
10. **Does the proposal require the granting of course release or extended leave of absence?**

If applicable, please insert PI response.

Answering “Yes” to this question will trigger workflow to the assigned School approvers.

11. **Is there animal care and use for the proposal? If Yes, please specify current protocol information if available or note if pending in comments.**

If there is animal use in the proposal select yes and place “pending” in this box.

12. **Are Yerkes primates involved in the proposal? If Yes, please specify current protocol information if available or note if pending in comments. Please only answer this question in the affirmative if NO Yerkes-based investigators are associated with this proposal.**

If applicable, please insert your response.

Answering “Yes” to this question will trigger workflow to Yerkes.

13. **Are human subjects involved in the proposal? If Yes, please specify current protocol information if available or note if pending in comments.**

If there are any humans subjects used in the proposal select yes and place “IRB pending” in this box. If de-identified human subject data, tissue or specimens select yes and IRB Pending Exemption 4 (this should match what is in Cayuse).

14. **Will any Third Party Materials (see instructions) be used or transferred during the proposed research, including third party devices, cell lines, gene constructs, promoters, or the like? If Yes, please give a brief description.**

Instructions: This question is designed to identify whether proprietary materials are being used that may require Emory to obtain or confirm that the Sponsor has a license. Third Party Materials in this context are proprietary materials that you have obtained from a non-sponsor. Particular materials include, for example, tetracycline-inducible promoters. This is not intended to include basic, non-proprietary laboratory supplies such as buffers or similar reagents. If you are intending to use a material that you believe is proprietary and you are unsure of the licensing arrangements, please note this use and we will follow up with you and the sponsor. If you are
unsure whether a material is proprietary, please contact the Office of Technology Transfer at 404-712-2514 for advice.

Copy and paste this question into an email to send to the PI to answer Yes or No. Usually the answer will be no but we must ask the PI to be certain.

15. Will human embryonic stem cells be used in connection with the proposed research? If Yes, please list the registration number of the cell lines in comments.

If applicable, please insert PI response.

16. Have any named Investigators NOT completed the Investigator Report of Financial Interest in Research form as required by Emory University policies regarding conflict of interest disclosure? This includes the Emory statement of Guiding Ethical Principals available at: http://www.finadmin.emory.edu/documents/StatementofEthicalPrinciples.pdf and Policy 7.7 available at: http://policies.emory.edu/7.7. If Yes, please provide a reason in comments.

If there is an investigator that has not completed an eCOI, you would list the name in this box. Fox example this may occur if a person listed on the budget is not available and has not responded to the eCOI email before you must route the proposal. Please provide the person’s name and comments as to why they have not completed the eCOI form.

17. Is this proposal utilizing Veteran’s Administration (VA) space, patients, resources and/or VA time? If Yes, please state if the work will fully or partially be done at the VA in comments.

Applicable only if work is taking place at the VA and using VA resources. An Emory faculty member can have a VA appt and not use VA time or resources. Checking “Yes” to this question triggers the proposal to route to the VA and the school for approval which does take additional time.
18. Will there be any clinical professional or technical charges (e.g., for drugs, medical devices, laboratory or radiology tests, physician services, or medical procedures) during the course of this study that generate a CPT or CDM code at an Emory or Grady healthcare facility that may be billed to study accounts or third party payers such as Medicare, Medicaid, or health insurance companies? If Yes, this will be sent to the Office for Clinical Research (OCR). If you are unsure whether this proposal needs OCR's review, please click the OCR Decision Tree.

Applicable only to clinical trials, research proposals are not routed to OCR at proposal stage.

Answering “Yes” to this question will trigger workflow to OCR.

19. Do you have any other comments about the proposal? If Yes, please specify in comments.

Applicable if you have comments to document about the proposal such as PI wishes to submit proposal “as is”. Notate any comments or concerns about documents not in compliance or missing or explain Warnings in Cayuse, etc

20. Is this proposal coming from a Research Administration Services unit?

Please place your name and phone extension as the preparer and place the name and extension of the reviewer (if any). Please see the example: Cancer & Imaging RAS - Prepared by Chelsea Heath 778-7904 and reviewed by Lashundra Kirkland 8-4303

Answering this question as “Yes” in conjunction with any of questions 1a, 2a, 4, 5a, 6, 10, and/or 17 being marked “Yes” will result in the workflow routing to the school for approval. Answering this question as “Yes” without any of the above listed questions marked “Yes” will result in the proposal skipping the school approval in the process.

International and Export Control Information

1. Does this proposal/award involve any of the following international collaborations: a subaward to a foreign organization; international travel by Emory personnel for the conduct of project activities; the lease of property by Emory in a foreign country; or the employment of personnel by Emory in a foreign country? If Yes, please briefly describe the collaboration and select the country(ies) involved from the list below.

If you select “Yes”, please add any relevant information as requested and select the country(ies) involved.
2. Are any of the following statements True?

* This proposal involves research to be conducted outside of the U.S., or collaboration with a non-U.S. collaborator.
* This proposal involves payments to be made to or from persons, entities, or governments outside the U.S.
* This proposal will involve carrying or shipment of research equipment or other technology that will remain outside of the U.S. for more than one year.
* This proposal will involve shipment of research materials, provision of technical assistance, or transmission of technical data or scientific information outside of the U.S.

If applicable, please insert PI response briefly describing the collaboration.

You will also need to communicate the following information to the PI.

1. Complete an International Assessment Questionnaire at https://redcap.emory.edu/surveys/?s=CHEKWDRP4A. Completion of this Questionnaire is not needed at the time of proposal. However, completion and institutional analysis of the answers will be required prior to issuance of an award if this proposal is selected for funding, and prior to execution of any industry-sponsored research agreement.

2. Consider and budget for business and/or legal expenses that the proposed international work may involve, understanding that such expenses may not be allowable per agency rules for grants. Chris Rapalje in Global Services can help assess if such expenses will be necessary. Please be aware that certain activities may simply be prohibited by law.

Please contact Chris Rapalje in the Office of Global Strategy and Initiatives at christine.rapalje@emory.edu with any questions about the above or if you need assistance with other aspects of your proposed international activity.
WEEKLY ANNOUNCEMENT #24 – NOVEMBER 10, 2014

Updates to SOPs 2011 and 2021

SOPs 2011 and 2021 have been updated to reflect the following:

- **SOP 2011**: When determining the final reportable expenses for the Interim Financial Report, utilizing the ARRT Template is only required if mandated by the RAS Director or if found useful by the Post-award Administrator. (OGCA does not review Interim Financial Reports prior to submission to the sponsor and therefore do not require to have an ARRT of the reconciliation).

- **SOP 2021**: For RSTs only, a screenshot should be taken in order to document the adjustment. For other types of adjustments a note of the Journal Entry number is sufficient documentation for OGCA.

New Emory Business Intelligence Report: Sponsored Projects Financial Trend Report

The EBI team released a new report last week that may be a valuable tool for you in reconciliations and projections. Previously available in FORS, the new Sponsored Project Financial Trend report provides monthly actuals for a selected project in order to manage spending and determine financial trends. It can be viewed in three ways: summary by calendar year, detail by project year, and project life-to-date view.

When security allows, a link displays above the report view, allowing you to drill to a detail view that includes Labor Detail by Employee. If security does not allow, labor info will still be displayed correctly, just anonymized at the Account Code level.

Try it out here: https://dwbi.emory.edu/analytics. If you do not have access to EBI yet, you can find instructions on doing so here. We encourage everyone to begin using EBI as much as possible for your reporting needs and notifying the EBI team of any issues experienced or desired report modifications. They need your feedback! Thanks to the feedback they have already received, they are tackling projects that should be incredibly useful for the RAS, namely bringing in effort data into the Data Warehouse and providing more user-friendly reporting on it. We will keep you updated on new EBI reports and projects as they arise! Stay tuned."

REMINDEMERS
• **Salary verification**
  o The authoritative source for salaries is PSHR
  o If you don’t have access to salary information for a PI in another department, always work with the supporting RAS unit or department
  o If you are submitting a proposal for someone who is being recruited, confirm salary with Malik Smith (malik.smith@emory.edu)

• **Salary for faculty less than 1.0 FTE (SOM)**
  o Base salary should be what is listed in the system at the time the proposal is routed
  o SOM B&F Research is allowing them to submit salary at FTE 1.0 level but this should be communicated in the budget justification
    ▪ This is not an increase in salary, it is an increase in FTE

• **Cost Sharing effort for VAMC (8/8ths)**
  o A signature is required during the proposal stage for faculty with an 8/8ths appointment at the VAMC
  o Contact: Catrell Medlock (catrell.medlock@va.gov)

**ORA announcements and updates on Uniform Guidance can be found here:**
https://scholarblogs.emory.edu/ranews/

**HIGHLIGHTS**

**RAS New Hires**

RAS – Medicine – Post-Award: Amy Hurst
Amy Hurst joined Emory from the University of Georgia. She's an experienced research administrator and project manager. Starting her career as a pre-award grants coordinator, she transitioned to a post-award capacity managing NIH, USDA, and HRSA funded projects along with foundation accounts and fixed-price agreements.

RAS – Public Health – Pre-Award: Cynde Lowe
Cynde K. Lowe began working at RSPH in BSHE as the RAS Pre-Award Administrator III on November 3rd. Cynde comes to Emory with ten years of experience in grants administration, development and management. Cynde will graduate in December from the EMPH program in RSPH and also holds a Master of Public Administration. Cynde will work to deliver Pre-Award services to faculty in BSHE and across all RSPH departments.
2014 State of the Shared Services Industry Report

Attached is the 2014 State of the Shared Services Industry Report which provides an interesting overview of the state of Shared Services as an operating model. A couple of the topics covered are not very relevant to us (e.g., outsourcing, location (off-shoring), cloud technologies), however, many topics resonate as we continue to build/expand this model here at Emory. Specifically,

- KPIs/metrics/reporting
- Focus on the customer/satisfaction
- Value proposition (i.e., how can we tie/correlate the services we deliver to Emory’s overall research mission)
- Process improvement focus/methodology (still have a way to go here – would like to see us adopt “Lean”, provide training in this area, etc.)
- Data analytics/Business Intelligence
- Talent management
- Governance (e.g., RA Strategic Advisory Board)
- “Branding” (we need to become more consistent in how we present ourselves as an organization internally. I realize there are limitations in this area, but perhaps we can implement a tagline/"logo"/common email stationery, etc. across units, while still maintaining a tie/link to the depts/schools each RAS unit supports)

We look forward to sharing more RAS highlights and upcoming events. Email Nicole George with highlights from this week by Thursday, November 13th.

Have a great week!

Nicole
RAS New Hire
We are pleased to announce a new hire to DOM RAS Post-Award team: Andrew Harrison. He earned his Bachelor’s degree in International Affairs from the University of Georgia in 2013 and started his career with Morgan Stanley’s advisor training program before deciding to make the switch to Emory. He enjoys almost any kind of sport but likes soccer in particular. Andrew also tries to stay up-to-date on current events and good books.

Society of Research Administrators International 47th Annual Meeting
Jill Allen, DOM RAS Pre-Award Lead, recently attended the Society of Research Administrators International 47th Annual Meeting in San Diego, CA. Jill has shared resources and materials from that meeting which can be found on Blackboard > Research Administration Services > Professional Community of Practice. Thanks Jill!

We look forward to sharing more RAS highlights and upcoming events. Email Nicole George with highlights from this week by Thursday, November 6th.

Have a great week!

Nicole
FIRA Project and Roles and Responsibilities
The FIRA team expanded scope to run through August 31, 2013. The priorities, roles and responsibilities for this project can be found here.

Cannot Have Shared Services Without Stakeholder Buy-In
Click on the link to check out an article Kathleen had published last week. http://www.evollution.com/opinions/cannot-shared-services-stakeholder-buyn/#comments

We look forward to sharing more RAS highlights and upcoming events. Email Nicole George with highlights from this week by Thursday, October 30th.

Have a great week!

Nicole
Hi everyone! I just wanted to take a few minutes to talk about metrics (aka KPIs) – a topic near and dear to my heart and absolutely critical to the success of any high-performing shared service organization. We are making some great progress in this area in the RAS! As you know, we have recently launched our monthly pre-award satisfaction surveys and bi-annual post award satisfaction surveys. We have developed a critical response process in which the RAS Directors will personally contact PIs who self-identify in a survey response and provide a rating of 1 or 2 (Highly dissatisfied or dissatisfied). Additionally, the RAS Directors, with input from all of you, are leading the development of unit-specific action plans in response to feedback we receive.

By now, all post-award staff should have attended the Milestone training and are beginning to document in Compass as Milestones are completed. The ability to report off of this data in the near future will be critical to tracking and managing to our post-award KPIs.

On the pre-award side, the RAS Central Ops team is working with each RAS unit to implement the Intent to Submit form and build the process to track and report on our response time to initial request.

Developing a robust metrics-based performance management system is no small task and, while this is still a work in progress, we have a great story to tell, both internally and externally. In fact, I will have the opportunity to tell our story and share our metrics at a conference in November in San Diego. See below for an excerpt from the conference agenda and a link to the agenda as well. Shared Services models in higher ed continues to be a growing area and I am excited to be a part of it at Emory and happy to be working with all of you to achieve the vision. Thanks for all your efforts and support in getting these metrics off the ground! Have a great weekend!

**Metrics That Matter**

Kathleen Bienkowski, AVP for Research Administration at Emory University, will lead a discussion on meaningful metrics at the Shared Services & Process Improvement for Higher Education & Government conference. In her role, Kathleen will build and lead a shared services model that provides pre- and post-award research administration services.

**Link to conference agenda:**
http://www.sspublicsector.com/media/8886/8886_Brochure.pdf

**What type of performance metrics are you using that focus on increasing customer satisfaction?**
We send out monthly customer satisfaction surveys for pre-award services and bi-annual satisfaction surveys for post-award services. We launched the monthly version a few months ago and the first bi-annual survey just went out this month for the previous 6 months. We ask the customer to rate our service on a 5-point scale: 1 – very dissatisfied to 5 – very satisfied. We also ask open ended questions to obtain details and suggestions for improvement from our customers.

**What role do balanced scorecards play in your shared services model?**

We are implementing a monthly balanced scorecard to present metrics to our customers and key stakeholders. We are early in the process. Scorecards will be used for performance management against target KPIs, communication with stakeholders, resource utilization/assessment and understanding capacity/volumes.

**How do you plan for shared services investment in light of the economic changes that impact universities?**

Many of the departments previously performing these functions were understaffed in the past. As we launch these shared service units, we are getting funding to add staff to put us in a better position to succeed – still not at the ideal levels, but more resources than before.

**Lastly, what does the future of higher education shared services look like to you?**

I have only been in higher education and with Emory for just over a year. However, it seems as though most universities operate under tight financial constraints and the landscape does not seem to be improving – in the research community it may even be getting worse – smaller awards and the same or more administrative work required. Shared services models can bring the same benefits to universities as they have to corporate/private industry/for profit organizations – ability to leverage resources, do more with less, improve compliance, standardize processes, etc. Higher ed institutions could definitely benefit from implementing shared services and look-redundant support functions that exist in schools/departments – HR, Finance, IT, Research Administration, etc. The culture of a university (as with corporate) will have a large impact on the ability to successfully implement these models(e.g., centrally-driven/top-down vs. schools/depts., etc.). At Emory, we are building 10 Research Administration Services units across campus, essentially providing the same services to different groups of depts./schools. Culturally, it likely would not have worked if Emory tried to move to a single shared services organization, so this is where we are today. There is quite likely a greater cost to having 10 units versus 1, but acceptance by faculty/departments was a critical factor in the design of the initiative.
HIGHLIGHT FROM RAS

Director of the Basic Sciences RAS unit

Please join us in congratulating Debbie Duke on her new role as Director of the Basic Sciences RAS unit! Debbie began her career at Emory in 1985 as an accountant in the Department of Biochemistry. She has been in the Department of Biochemistry during her 29 years at Emory, moving from Accountant to Financial Analyst, then promoted to Basic Science Administrator in 1996. Throughout nearly 3 decades of service at Emory, Debbie has gained a deep understanding of the university and its systems and expertise in all facets of research administration. Her proven track record of success will undoubtedly be an invaluable asset moving forward. Prior to coming to Emory, Debbie spent 5 years in the Washington, DC area working for a non-profit trade association before relocating to Atlanta in 1985. She received her B.S. in Business Administration/Economics from Methodist University in North Carolina. The official launch of the Basic Sciences RAS unit is currently targeted for early December, however, Debbie has already started meeting with the future members of the unit.

Assistant Director of Operations, RAS

Please join us in congratulating Todd Bruce on his promotion to Assistant Director of Operations, RAS! Todd has played an integral role in the implementation of the RAS model, having worked on the project in BPI beginning 2.5 years ago. Last November, he officially joined the RAS organization and, since then, he has been providing valuable support to existing RAS operations and leading ongoing RAS implementations. We would not have accomplished nearly as much within the past year without Todd’s great work and efforts. Thank you and congratulations, Todd!

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, October 23rd.

Have a great week!

Nicole
WEEKLY ANNOUNCEMENT #20 – OCTOBER 13, 2014

Etiquette in the Office Cubicle

http://etiquette.about.com/od/RelationshipEtiquette/a/Etiquette-In-The-Office-Cubicle.htm

September Management Reports

September Management Reports are available in the RAS Operations folder.

HIGHLIGHTS FROM RAS UNITS

Congratulations to Marcie and Jay from RAS Pediatrics on their recent promotions!

- **Marcie Burnham** transitioned from Post-Award Research Administrator II to Post-Award Research Administrator III
- **Jay Woods** transitioned from Clinical Trials Post-Award Research Administrator I to Clinical Trials Post-Award Research Administrator II

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, October 16th.

Have a great week!

Nicole
**WEEKLY ANNOUNCEMENT #19 – OCTOBER 6, 2014**

**HIGHLIGHTS FROM RAS UNITS**

We are pleased to announce new team members in RAS – Public Health, Pre-Award.

**Jamila Edwards** joined RAS Public Health on Oct. 1, 2014. She comes from Georgia State University where she most recently served as the Grants and Contracts Officer in the dean’s office of the school of policy studies. Jamila has a master’s degree from Georgia State in public finance and is a nationally certified research administrator. She also received her bachelor’s degree from the University of Georgia. Jamila is a member of the Junior League of Atlanta and loves to do volunteer work, particularly with children. Jamila enjoys watching sports, cooking and baking and is also an avid reader and regularly volunteers at author events for the Georgia Center for the Book.

**Gary Huskey** is relatively new to Emory and came from the University of Michigan in 2012. He has worked in research administration for over 14 years with 6 of those years solely in pre-award.

Congratulations to **Lois Fussell** from RAS – Public Health on her transition from Post-Award Research Administrator III to Pre-Award Lead.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, October 9th.

Have a great week!

Nicole
Pt I: Important Updates effective October 1, 2014!

Milestones

Thanks to all of you who attended one of the Milestone Training sessions offered last week. We appreciate your patience and feedback as we implement this new process. As part of this rollout we have uploaded numerous documents to Blackboard to assist with this change.

- **Folder: Post Award SOPs, Templates & Job Aids**
  - Updated SOPs (16 SOPs in all)
  - SOP Summary of Changes

- **Folder: Human Resources & Training > RAS Training Courses > Milestones**
  - Milestone Intro and Overview
  - Job-aid: milestones
  - Description of Milestones + Responsibilities
  - Example of FFSR process and Compass steps

There will be a **Make-up Milestone Training session on October 15** for those who weren't able to attend the first course offering. Additional information to follow from Debbie and Amy.

**Directors & Post Award Staff – look for an announcement Wednesday morning**

Pt. II: Important Updates effective October 1, 2014!

Change in responsibilities between RAS and OCR related to budget development for clinical trials.

*(Note: This is primarily applicable to DOM and C&I RAS at this time).*

In an effort to simplify the process and decrease confusion with budget development, OCR and RAS have adopted the following changes to the Clinical Trials Roles & Responsibilities document:

- Regardless of funding source, OCR will continue to develop a PRA for all human subjects’ research studies with EHC or Grady billable items/services. This is an institutional requirement for research billing compliance.

- OCR will provide budget development and negotiation for all **non-federal studies**, including those with non-negotiable study budgets and no EHC or Grady billable items/services. Non-federal studies are defined as any studies with industry as the source of funding including PI-initiated, academic flow through, or foundations. OCR would enter the full budget for these studies in ERMS for purposes of visit tracking and invoicing. [An exception is the Pediatric RAS which would be responsible for budget development and negotiation for all DOP]
studies regardless of funding source (unless adult participants or non-DOP
dept. utilizing CHOA services, e.g. surgery, pulmonary). ]

- The RAS units will develop budgets for all federally funded studies, including PI-
initiated, academic flow through, or foundations. OCR limits ERMS visits to
those with EHC billable items/services or when OCR invoices based upon
enrollment or milestones.

In addition, this change in responsibilities will:

- clearly delineate the responsibilities for budget development,

- improve the consistency of industry budgets at a time of challenging negotiations
in the current economic environment, and

- continue development of relationships with our industry sponsors.

Please note that the R&R document related to Clinical Trials has been updated to
reflect this change and can be found in the Roles & Responsibilities folder.

**Updates to Sponsored Award Overrun Policy**

This policy addresses overruns/Over-the-Limit (OTL) transactions and expenses related
to sponsored award administration. [http://policies.emory.edu/7.27]

**RAS SOP 2022: Close Out Award**

**Current**

D) Resolve any potential deficits (refer to Sponsored Award Overrun Policy as of
September 2014)

E) Initiates final cost transfers prior to the accelerated deadline at the time of
award closeout as stipulated in the Emory Cost Transfer Policy.

**Proposed**

D) In the event that an award has a cost overrun, not previously dealt with by the
FIRA team, the Post Award Specialist must inform the department administrator,
give details of the contract and request a smartkey to which the department
wishes the deficit to be transferred and to specify a date by which the department
should respond with the alternative smartkey. The requested Response Date
must be at least 7 calendar days from the date of request in order to give the
department or school time to respond.

E) Immediately after the Response Date the Post Award Specialist will review the
responses received from the department and initiate final cost transfers to the
alternative smartkey provided by the department as stipulated in the Emory Cost
Transfer Policy.

F) If no alternative smartkey is provided then the Post Award Specialist should
complete the financial reconciliation (ARRT) and send it to OGCA.
G) In the cases where the Post Award Specialist sends an ARRT package to OGCA that still contains deficits, they should also send a copy of the ARRT package to the relevant departmental administrator with a reminder that OGCA are obliged by University Policy to transfer the deficit to the department’s overrun smartkey.

**August Management Reports**
Due to the year-end close out process, we waited to complete August’s Management Reports until the 2nd GL Close to ensure data accuracy. August Management Reports can be found in the RAS Operations folder.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, October 2nd.

Have a good week!

Nicole
Central/RAS Communication/Escalation Model

The attached Central/RAS Communication/Escalation Model officially goes into effect on October 1st. The goal of this document is for everyone across OSP/OGCA/RAS to be on the same page about expectations for response times for urgent and non-urgent issues, and to have a consistent understanding of the escalation process required if target response times are not met. The assumption is that people within and across work groups respond to each other in a timely manner. However, in the event that is not happening, this document helps to clarify expectations/accountabilities and required actions.

Please let me or your Director know if you have any questions. Thanks, Kathleen

SAM Kiosk

The SAM Kiosk log will no longer reside on Box. RAS Central Operations encourages RAS units to submit issues through the Emory Service Now Management System. This will help create a prioritization list based on the number of times they receive an issue.

https://secure.web.emory.edu/it/pel/service-now/?emory

ERAZ Highlights

The ERAZ meeting took place Thursday, September 18th from 9:30-10:30 in Woodruff Health Sciences (WHSCAB) Auditorium. The agenda items included:

- Investigational Drug Services
- Research Administration Certification Changes
- Research Participant Payment Fund (RPPF)
- Provisional Award Number (PAN) Requests

Research Administration Certification Changes – Demetrice Bryant discussed updates to the training page and RAE Certification. After April 2014, ARRT and PACT replace the Managing Sponsored Projects Level 1, 2 and 3 training. Registration for RAE Certification is available in eLMS: http://elmprod.emory.edu. Training is outlined by Post-Award (program code 236001) and Pre-Award (program code 236002). She also summarized how to access certification courses to verify progress and completion.

Research Participant Payment Fund (formerly Participant Stipend Fund) – Vakela Kelly explained the goals and benefits of process change. The change was made for the following reasons:

- Support research efforts
- Improved efficiencies
- Transparency
• Decrease in turnaround time for check issuance
• Clearer defined roles and responsibilities

She also discussed:
• New and increase request
• RPPF replenishments
• Requestor can receive upon voucher approval
• Closing the RPPF
• Changes in Custodian
• Changes in SK or grant project

There is a RPPF Process Rollout Plan which includes school meetings, information sessions (demos, information, clarification and Q&A) and transfer of current RPPF from central to grant projects. SPH, ECAS and SON go live 10/1/14. SOM and Yerkes go live 11/1/14.

Provisional Award Number (PAN) Requests – General Reminders - Holly Sommers provided an overview and purpose of the PAN. A provisional award number (PAN) is a Smart Key number provided to a principal investigator for the purposes of initiating a sponsored project and incurring expenses prior to the institution’s receipt, acceptance, and processing of an award.

She also discussed:
• When might a PAN be justified or encouraged?
• When is a PAN not allowed?
• What is necessary in order to establish a PAN?
• Types of PANs
• PAN Issuance
• Notification of PAN

She also reminded the audience that all types of PAN request (new PANs, continuation PANs, including those for Provisional Extensions) should be submitted as PAN request through the SAM Kiosk.

If PANs are taking longer than a 5 business day turnaround time, please escalate to Holly.

Highlights from the ERAZ Meeting were taken from the ERAZ Presentation provided by the Office of Research Administration. In order to view the ERAZ Presentation in its entirety, click Emory Research A to Z 9/18/14.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, September 25th.
Have a good week!

Nicole
More About Subaccounts for NIH Award Payments

http://nexus.od.nih.gov/all/2014/09/05/subaccounts-for-award-payments/

Pre-/Post Award Retreat Update

Earlier this week, David Wynes hosted a retreat at Chateau Elan for RAS, OGCA, and OSP leadership to come together to discuss how to ensure we are all working together as a high-performing team providing research administration services/support to PIs/Depts/Sponsors. Brandon Smith, the “Workplace Therapist”, an adjunct professor at Emory’s Business School, facilitated the session. There was a great deal of robust discussion around past/current challenges, successes, surprises, etc. from all groups related to the implementation of the RAS structure, along with conversations on where we think we will be/would like to be in one year as we continue to implement the model across the university. We also discussed that we, as a leadership team, need to continue to encourage teamwork and team-building across our groups. As a result, you all should see more opportunities to come together with the folks you work with from OGCA/OSP. We are also kicking off a joint initiative to develop a recognition program – thanks to those of you who have volunteered to participate on this team – your perspective and input is very valuable.

Journal Etiquette

Journal Etiquette establishes the new standards SOM is implementing for completing journal entries in Compass. This change is effective immediately. In addition, it should be noted that if a journal entry is over 100 lines, the RAS staff member completing the entry must contact Miguel Arroela (miguel.arroela@emory.edu) in the SOM B&F office to receive instructions on how to upload a spreadsheet. Also, the note should remind staff to include a justification for JEs over 90 days to ensure timely processing by SOM & OGCA. The presentation can be found here and in the Blackboard Human Resources & Training > RAS Training Courses tab.

Research Participant Payment Funds

Updates to the Research Participant Payment Funds can be found here and in the Blackboard Human Resources & Training > RAS Training Courses tab.

New Location: ORA’s Newsletter

The Office of Research Administration’s Newsletter has a new location. The new URL is http://scholarblogs.emory.edu/ranews/. Please update all links and bookmarks to reflect its new location.
We encourage you to read the article on “What You Need to Know Now About Uniform Guidance.”

UPCOMING EVENTS

• ERAZ Meeting – September 18, 2014 – 9:30-11:00 WHSCAB Auditorium
  Woodruff Health Sciences Center Administration Building, 1440 Clifton Road,
  Level 1

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, September 18th.

Have a good week!

Nicole
WEEKLY ANNOUNCEMENT #15 – SEPTEMBER 8, 2014

For SOM RAS Units Only:
Pre-award teams, when routing industry sponsored clinical trials with a 30% FAC rate, remember to use the “SOM: School Support” department (720005) when completing the split distribution.

F&A Distribution Box in EPEX:
90%- SOM School Support
10% - Department
If the FAC is negotiated above 30%, please contact Francine Davis.

NEW TEAM MEMBER – RAS-MEDICINE
We are pleased to announce a new team member to RAS-Medicine Post-Award.

Emily Zeigler
Emily has worked on the CEIRS contract (also known as the Flu Center) at Emory for the past 2 ½ years. Prior to this, she worked at University of Washington Medical Center and Seattle Cancer Care Alliance in Seattle as an Administrative Fellow and Project Manager. She gained experience in Grants and Contracts while working in the Higher Ed practice at KPMG Peat Marwick in Washington, D.C. Emily earned her MBA and MHA while at the University of Washington.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, September 11th.

Have a good week!

Nicole
SATISFACTION SURVEY – RESPONSE SUMMARY: PRE-AWARD – JULY 2014

Monthly pre-award satisfaction surveys were initiated for all four RAS units beginning in August (for proposals submitted in July). Quarterly action plans will be developed with the director and pre-award lead to address both general and specific feedback from PIs.

Cancer & Imaging
- Survey: Faculty Satisfaction with C&I RAS Pre-Award Services – July 2014
- Departments surveyed:
  - Hematology & Medical Oncology
  - Radiology
  - Radiation Oncology
  - Winship Cancer Institute
- Number of surveys distributed: 16
- Total responses received: 2
- Response rate: 13%
- 100% of Respondents were either Satisfied or Very Satisfied with the Pre-Award service
- 100% of Respondents were either Satisfied or Very Satisfied with RAS communication

Medicine
- Survey: Faculty Satisfaction with Medicine RAS Pre-Award Services – July 2014
- Divisions surveyed:
  - Endocrinology
  - Cardiology
  - Pulmonary
  - Infectious Diseases
  - Digestive Diseases
- Number of surveys distributed: 14
- Total responses received: 8
- Response rate: 57%
- 88% (7 out of 8) of Respondents were either Satisfied or Very Satisfied with the Pre-Award service (remaining 13% (1 out of 8) were Dissatisfied)
- 88% (7 out of 8) of Respondents were either Satisfied or Very Satisfied with RAS communication (remaining 13% (1 out of 8) were Neutral)

Pediatrics
• Survey: Faculty Satisfaction with Pediatrics RAS Pre-Award Services – July 2014
• Divisions surveyed:
  o Infectious Diseases
  o Rheumatology
  o Neonatology
  o Marcus Autism
  o Endocrinology
  o Bone Marrow
  o Oncology
  o Cystic Fibrosis
  o Cardiovascular Biology
  o Emory LOBP
  o Sibley Heart Center
  o Sickle Cell
  o Hemostasis/Thrombosis
  o Nephrology
• Number of surveys distributed: 33
• Total responses received: 9
• Response rate: 27%
• 67% (6 out of 9) of Respondents were either Satisfied or Very Satisfied with the Pre-Award service (remaining 33% were Neutral (22%- 2 out of 9) and Dissatisfied (11%- 1 out of 9))
• 89% (8 out of 9) of Respondents were either Satisfied or Very Satisfied with RAS communication (remaining 11% (1 out of 9) were Dissatisfied)

Public Health
• Survey: Faculty Satisfaction with Public Health RAS Pre-Award Services – July 2014
• Department surveyed:
  o Global Health
• Number of surveys distributed: 12
• Total responses received: 6
• Response rate: 50%
• 67% (4 out of 6) of Respondents were either Satisfied or Very Satisfied with the Pre-Award service (remaining 34% were Neutral (17%- 1 out of 6)) and Dissatisfied (17%- 1 out of 6))
• 50% (3 out of 6) of Respondents were either Satisfied or Very Satisfied with RAS communication (remaining 50% (3 out of 6) were Neutral)

NATIONAL COUNCIL OF UNIVERSITY RESEARCH ADMINISTRATORS (NCURA) 56th ANNUAL MEETING– AUGUST 10-14, 2014
RAS team members from Public Health, Medicine and Cancer & Imaging attended the NCURA annual meeting. We asked them to provide feedback on the key takeaways/learnings they brought back from the conference. The following remarks are from Vaneita Adams, Pre-Award Specialist I, RAS Medicine.

One of my memorable moments was listening to the key note speaker, Robert Sapolsky’s lecture on practical-layman methods for managing stress-related diseases.
The other highlight was the session on best practices when collaborating with international institutions and the importance of budgeting well at the pre-award point, and being cognizant of the legal and cultural challenges that arise.

The networking was wonderful. I had the opportunity to meet and exchange contact information with countless research administrators from institutions from across the county, including Alabama, Arizona, California, Colorado, DC, Florida, Texas, as well as research administrators from Denmark and Poland. In fact, I was able to introduce a research administrator from Florida to our Emory’s SPH exhibitors for an initial job interview!

Emory was quite a highlight at the conference too! The RAS structure presentation by Kathleen Bienkowski and Kerry Peluso was well received given the many questions that were raised at the end of the presentation. Overall, mine was a wonderful experience.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, September 4th.

Have a good week!

Nicole
PRE-AWARD REMINDER: IDC WARIERS
When a proposal is budgeted with an F&A rate lower than Emory’s approved rate, one of the following must be routed to OSP with the proposal:

- A copy of the sponsor’s policy stating that the budgeted rate is the maximum rate they allow (or a link to their policy)

  OR

- A fully approved IDC Waiver

SAM KIOSK LOG
The purpose of the SAM Kiosk Log document posted on BOX is to capture all feedback and suggestions from RAS employees as they use the SAM KIOSK. We will be sharing this feedback with Kerry and IT as part of a continuous improvement effort to improve the system on an ongoing basis. IT has committed resources to this improvement effort for FY15.

Please let Kathleen or Todd know if you have any questions, and thanks in advance for your input and ideas!

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, August 28th.

Have a good week!

Nicole
WEEKLY ANNOUNCEMENT #12 – AUGUST 18, 2014

NATIONAL COUNCIL OF UNIVERSITY RESEARCH ADMINISTRATORS (NCURA)
56th ANNUAL MEETING– AUGUST 10-14, 2014

RAS team members from Public Health, Medicine and Cancer & Imaging attended the NCURA annual meeting. We asked them to provide feedback on the key takeaways/learnings they brought back from the conference.

All institutions are facing the same challenges as us with regards to the new OMB coming out December 26th. I learned more about the changes that will directly impact the RAS workload. NCURA opened my eyes to the many great people that work daily under the same constraints we do with funding, staffing, etc. It was refreshing to see Emory shown as a leading institution as far as tackling these issues. I hope in the future to see presentations given by RAS members at the Regional and National levels. I feel the positive changes that we have implemented could be great presentation topics. – Mandi Blochberger, Post-Award Lead, RAS Medicine

I had two key takeaways: the tide of change in the field and the emphasis on professionalism. I attended sessions which highlighted the service center model and all that it entails, i.e. attitudes, customer service and efficiency of operations. There were also robust discussions on the image of our profession, and how the external perception is fueled by our own self-image as research administrators. Our interactions with colleagues and investigators should be tempered with the highest sense of tact, acknowledgement of time constraints and deadlines, and keen understanding of the evolving nature of our policies and 'standard' operating procedures with both sponsors and our parent institutions. This niche body of knowledge is constantly adapting to changing fiscal and scientific requirements, but the constant denominator is us, the professional. How we manage ourselves in this slow moving glacier is key to success. There were tremendous resources emphasizing the opportunities for continuing education, which I found to be a change from even as little as five years ago. – Cheryl Bowie, Pre-Award Specialist III, RAS Cancer and Imaging

Gilbert Tran, Senior Technical Manager for the Office of Management and Budget (OMB) is hilarious. You would have to have a good sense of humor if you worked on OMB circulars all day, every day! 😊 In all seriousness, pay close attention to the updated procurement standards (200.320) for universities and non-profits in the new Uniform Guidance. Also, who knew 16% of the Federal Budget or $600 billion was allocated to grants! – Todd Bruce, Operations Manager, RAS Central Operations

There are a large variety of professional development opportunities through NCURA both at the national meeting and throughout the year that I will be looking into in the future. We (Emory) are ahead of the curve on OMB Uniform Guidance, and while a lot of things are still uncertain, I have a better grasp of the changes that are coming after this meeting. A lot of other institutions seem to be just beginning to prepare for it, and
some were not aware of it at all before the meeting. While I have a lot to learn, I feel more confident in my own knowledge base after attending, and I would like to consider leading a discussion group or giving a presentation in the future. – Tiffany Ennis-Henry, Post-Award Specialist II, RAS Medicine

There is a need for stronger financial management for clinical trials as well as proper risk assessment prior to entering into agreements. Also, there is a strong push for collaboration between USA researchers and European researchers. – Breggie James, Post-Award Specialist III, RAS Medicine

The key thing for me at this conference was the reinforcement of the importance of the relationships between central, school, and department research administrators. It was a topic of several conversations and sessions. Those relationships require constant maintenance. – Bill Lambert, Director, RAS Public Health

Kerry and Kathleen gave a presentation on Emory’s RAS initiative and facilitated a follow-up discussion session. Both were well-attended with lots of questions and interest in what Emory is doing. A copy of their presentation is attached.

OSP/OGCA CONTACT LIST

Contact listings for OSP/OGCA are available at the following websites:

- OSP - http://www.osp.emory.edu/about/dept-listing.html
- OGCA - http://www.ogca.emory.edu/about/departmentlist.html

DISCUSSION BOARD

Based on feedback from RAS Pediatrics, a SOP discussion board has been created for team members to exchange ideas on best practices and helpful hints.

RAS – NEW HIRE

We are pleased to announce a new hire in RAS Public Health.

- Elizabeth LaScala – Post Award
  - Elizabeth joins us after a 10-year career in departmental contract and grant administration at the University of Alabama in Tuscaloosa. Elizabeth began her contract and grants experience with the McNair Scholars Program. She spent the next eight years in the College of Engineering working with the Computer Science department and the Center for Advanced Public Safety, the largest research center at UA. Elizabeth is passionate about helping others and believes research is essential to improving our community and quality of life.
We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, August 14th.

Have a great week!

Nicole

*Note: Attachment included with this announcement on Blackboard.*
WEEKLY ANNOUNCEMENT #11 – AUGUST 11, 2014

NATIONAL COUNCIL OF UNIVERSITY RESEARCH ADMINISTRATORS (NCURA)
56th ANNUAL MEETING– AUGUST 10-14, 2014

At the NCURA Annual Conference in Washington, DC this week, the Rollins School of Public Health team is hosting a booth to recruit potential research administrators.

Both Pre-Award Research Administration (PRA) and Financial Research Administration (FRA) conferences will be held March 2015 in Orlando, Florida. The next NCURA Annual Meeting will take place August 2-5, 2015 in Washington, DC. [http://www.ncura.edu/Education/MeetingsConferences.aspx](http://www.ncura.edu/Education/MeetingsConferences.aspx)

NCURA “serves its members and advances the field of research administration through education and professional development programs, the sharing of knowledge and experience, and by fostering a professional, collegial, and respected community.”

See more at: [http://www.ncura.edu/Home.aspx](http://www.ncura.edu/Home.aspx)

RAS – CANCER & IMAGING – WHSCAB STAR RECIPIENT – LASHUNDRA KIRKLAND, PRE-AWARD SPECIALIST
I’m excited to announce our **WHSCAB Star** for this month – **Lashundra Kirkland, Pre-Award Specialist in Research Administrative Services**! Lashundra was nominated by Kelly Ferguson, and the nomination reads:

“I would like to take the opportunity to recognize Lashundra Kirkland, one of our pre-award team members who goes the extra mile. I really appreciate Lashundra’s willingness to step up and take on additional responsibilities in a leadership role for managing and supporting the day to day needs of the C&I pre-award team and our faculty groups when needed. Lashundra also participates in training committees and has volunteered to represent our RAS unit as one of the subject matter experts and trainers for other RAS units. Lashundra always approaches her duties with a strong work ethic and a smile. I have received several emails from faculty and staff offering kudos and praising her skills and her leadership style when she is asked to cover for me when I am out of the office. Lashundra is always thoroughly prepared to field the team’s questions, follow up and offer her expertise to meet the needs of staff and faculty to keep proposals on schedule. I am confident in Lashundra’s abilities to prioritize and resolve issues appropriately, professionally and in a timely manner. Lashundra contributes to the overall success of our team and her efforts are very much appreciated! Many thanks Lashundra for your investment in the success of our RAS unit and Emory!”

Congratulations, Lashundra! You are truly a **WHSCAB Star**.

Thanks,
Wright Caughman
Executive V.P. for Health Affairs

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, August 14th.

Have a great week!

Nicole George
WEEKLY ANNOUNCEMENT #10 – AUGUST 4, 2014

RAS POST-AWARD STAFF – IMPORTANT NOTICE!

Recently, a question came forward with regard to sponsors that require a quarterly FFR and invoice.

If you have a sponsor who requires a quarterly FFR and invoice, please bear in mind that there may be items that are reflected on the SPP (and therefore the ARRT) that are not reflected on the invoice generated in COMPASS. Because of this, it is strongly recommended that if you have these types of reporting/invoicing requirements that you have OGCA generate the invoice first. Your interim report to the sponsor may need to be adjusted to match the invoice generated by COMPASS and you don’t want to complete the ARRT, complete the interim FFR, and then find out the invoice is for a different amount which then requires you to revise the ARRT and interim FFR. Please note that the reason for this is that federal guidelines (and Peoplesoft) will only allow us to invoice what has been paid. To avoid confusion with the sponsor, the FSR needs to be revised to match the invoiced amount.

Please contact Evelyn Balabis with any questions about this notice.

SAM KIOSK

The SAM Kiosk was designed as a single portal through which institutional prior approval and other award management related requests can be submitted to the Office of Sponsored Programs (OSP), the Data Management Group (DMG), and the Office of Grants and Contracts Accounting (OGCA).

It is an online system through which campus users provide OSP/DMG/OGCA will information, and related attachments, for award-specific requests.

SAM Kiosk Implementation

- SAM will be found at: http://sam.emory.edu.
- SAM will be live for university-wide use on August 1, 2014.
- Existing forms/systems will remain active as an option for use for around 2 months. (Appropriate notice will be sent to campus before existing forms/systems are discontinued.)

For detailed information, please see the SAM Kiosk Campus User Manual.

HIGHLIGHTS FROM THE WEEK OF JULY 28TH
On Thursday, July 31st, RAS- Medicine hosted their Open House. Here are a few pictures from this event.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, August 7th.

Have a great week!

Nicole George
SATISFACTION SURVEY – RESPONSE SUMMARY: PRE-AWARD RAS C&I – JUNE 2014

We recently sent out our RAS faculty satisfaction survey. Please see details below.

- Survey: Faculty Satisfaction with C&I RAS Pre-Award Services – 4Q FY2014 (June)
- Departments surveyed
  - Hematology & Medical Oncology
  - Radiology
  - Radiation Oncology
  - Winship Cancer Institute
- Response rate: 25%
  - Number of surveys distributed: 28
  - Total responses received: 7
- 100% of Respondents were either Satisfied or Very Satisfied with the Pre-Award service
- 100% of Respondents were either Satisfied or Very Satisfied with RAS communication

UPCOMING EVENT

- RAS Medicine Open House is Thursday, July 31st, from 1:00-3:00 in the Woodruff Memorial Research Building, rooms 2001-2009. Please RSVP to Jill Allen at jsalle@emory.edu.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, July 31st.

Have a great week!

Nicole George
HIGHLIGHTS FROM ERAZ MEETING
The ERAZ meeting took place Thursday, July 17th from 9:30-11:00am in the Whitehead Auditorium, G01 Whitehead Building. The agenda items included:
- Controlled Substances
- Sub Award Processing
- RAS Updates
- SAM Kiosk
- Federal Update
- OSP/OGCA Training Updates

RAS Updates – Kathleen discussed current operations and highlighted key projects facilitated by RAS Central Operations. These key projects include:
- 1st Annual Review of SOPs
  - Updated Roles & Responsibilities Document
  - Changes Summary
- Blackboard
  - Audience: RAS organization
  - Launch: May 2014
- Website
  - Audience: PIs & Departments Served by RAS
  - Target Launch: August 2014
  - Implementation site: www.tra.emory.edu
- Key Performance Indicators (KPIs)
  - 10 identified
  - Tracking mechanism: Notification of Intent to Submit, Surveys, Compass milestones

She also mentioned upcoming implementations.
- RAS Basic Science
  - Target Launch: early September
  - Key dependencies
    - Fully staffed
    - Director hired
    - Space identified and available for occupancy
- RAS Yerkes
  - Initial conversations with leadership and research administration staff
- Federal Contracts
  - Current state assessment (underway)
  - Develop options for future operating model
**SAM Kiosk** – Holly Sommers provided information about the upcoming implementation of Sponsored Award Management (SAM) Kiosk.

The SAM Kiosk was designed as a single portal through which institutional prior approval and other award management related requests can be submitted to the Office of Sponsored Programs (OSP), the Data Management Group (DMG), and the Office of Grants and Contracts Accounting (OGCA).

It is an online system through which campus users provide OSP/DMG/OGCA will information, and related attachments, for award-specific requests.

**SAM Kiosk Implementation**
- SAM will be found at: [http://sam.emory.edu](http://sam.emory.edu).
- SAM will be live for university-wide use on August 1, 2014.
- Existing forms/systems will remain active as an option for use for around 2 months. (Appropriate notice will be sent to campus before existing forms/systems are discontinued.)

For detailed information, please see the SAM Kiosk Campus User Manual.

**Federal Update: HHS Transition & Uniform Guidance** – Kerry Peluso discussed that HHS (including NIH) is currently transitioning all newly issued awards to a new Payment Management System.

They also plan to transition all active awards to this new system which will create a significantly increased research administration workload (in the year of transition) for Emory.

COGR has announced that HHS has communicated that they will extend the full transition to the new Payment Management System.

Kerry also discussed that multiple circulars are being “streamlined” into one Uniform Guidance document by the OMB (Office of Management and Budget) and COFAR (council on Financial Assistance Reform).

OMB issued the Uniform Guidance on 12/26/13.
- The effective date for Uniform Guidance is 12/26/14.
- It is written to federal agencies and requires them to submit their implementation plans to OMB by 6/26/14.
- They are expected to be released to us after OMB review (anticipating early fall).
• NSF submitted their implementation early and it is now available for review and comments.

Highlights from the ERAZ Meeting were taken from the ERAZ Presentation provided by the Office of Research Administration. In order to view the ERAZ Presentation in its entirety, see Emory Research A to Z-July17-2014.

We look forward to sharing more RAS highlights and upcoming events. Please email Nicole George with highlights from this week by Thursday, July 24th.

Make it a great week!

Nicole George
WEEKLY ANNOUNCEMENT #7 – JULY 14, 2014

UPCOMING ACTIVITIES/EVENTS FOR THE WEEK OF JULY 14TH

- We encourage you to attend the ERAZ Meeting – July 17th from 9:30-11:00am. Please note the new location.
  - Location: Whitehead Auditorium, G01 Whitehead Building, 615 Michael Street
- June’s Management Reports will be posted to Blackboard on Wednesday, July 16th.

We look forward to sharing more RAS highlights and upcoming events. However, we need your input. Please email Nicole George with highlights from this week by Thursday, July 17th.
WEEKLY ANNOUNCEMENT #6 – JULY 7, 2014

A reminder that Emory Commons is now officially up and running in the production environment: http://commons.emory.edu/

The Emory Commons Team has already configured your accounts so you should be set to go. When you log in, you should see in the top right corner a "Select PI from List" and from that list, you should be able to select an investigator to view their proposals.

The Team is planning to provide some demos for your group and a few calls to help address any questions that you might have. If you are experiencing problems or have general questions, please email the Emory Commons listserv at EMORYCOMMONS@LISTSERV.CC.EMORY.EDU. Emailing the listserv will also automatically create a Service Now ticket.

HIGHLIGHTS FROM RAS UNITS

- We are pleased to announce a new team member in RAS – Pediatrics, Post-Award.
  
  Shannon Jafolis joined the Pediatrics RAS on June 30, 2014. He initially began his employment with Emory University in April 2013, as a Sponsored Research Financial Analyst in the Office of Grants and Contracts Accounting (OGCA). Prior to Emory, he was a Post-award Administrator at Morehouse School of Medicine for 12 years. Shannon holds a Bachelor’s degree from Clayton College and State University, as well as a Master’s degree from Kennesaw State University.

- RAS – Medicine
  
  The post award team in the DOM RAS is celebrating reaching a milestone of 100 faculty visits in 5 months.

We look forward to sharing more RAS highlights and upcoming events. However, we need your input. Please email Nicole George with highlights from this week by Thursday, July 10th.

Have a great week!
WEEKLY ANNOUNCEMENT #5 – JUNE 30, 2014

The organizational charts are available in the “Who’s Who in the RAS” link. Pictures will be updated as they become available.

HIGHLIGHTS FROM RAS UNITS

We are pleased to announce new team members to RAS – Medicine and RAS – Public Health.

Medicine
  o Pre-Award
    ▪ David B. Williams, II
    A graduate of Auburn University, David has worked in Research Administration for over six years. He has worked in Emory’s School of Medicine Business and Finance Research office, Department of Medicine Administration office and the Department of Medicine division of Geriatric Medicine as well as Children’s Healthcare of Atlanta Marcus Autism Center. He has served on the Emory Employee Council and is currently a mentor for the Emory Sailing Team.

  o Post-Award
    ▪ Kathy Arnold
    Kathy came to Emory University in April 2013 after a long career at Georgia Tech, where she worked in research administration both centrally and at the department level. She joined the RAS DOM after working in OGCA and brings subject matter expertise in financial report preparation and submission.

    ▪ Matatnat Abadzade
    Matanat worked at Emory in the Department of Radiology since August 2012 working in research administration before moving into the RAS DOM. Prior to working with Emory she was a Senior Accountant at Sears Holding, Inc and a Payroll Accountant at Home Depot.

Public Health
  o Pre-Award
    ▪ Charlotte Harmon
    Charlotte Harmon has been with Emory University since 2001 and has over 13 years of Research Administration experience from working in various positions at Emory including Office of Sponsored Programs,
Yerkes National Primate Research Center and Office for Clinical Research.

She joined Rollins School of Public Health / Global Health Department in 2010 as the Pre-Award Specialist. Her job consists of Pre & Post Award functions, Staff Training and a Mentor.

UPCOMING ACTIVITIES/EVENTS FOR THE WEEK OF JUNE 30TH

- Holiday – Friday, July 4th

We look forward to sharing more RAS highlights and upcoming events. However, we need your input. Please email Nicole George with highlights from this week by Thursday, July 3rd.

Have a good week and a safe 4th of July holiday!
1. June 2014 Research Newsletter
   https://blogs.emory.edu/ranews/2014/06/20/

2. New Award Budget Adjustment Process
   We are pleased to announce that the online New Award Budget Adjustment Process module is now available in our Emory Learning Management System (ELMS). This module provides instruction for completing the budget adjustment process for a new award. Included in the module is a detailed job aid, which can be used to support your learning after you complete the module.

   All RAS post award employees need to be proficient in this process and are required to take this training. This course was offered as classroom training in March. Therefore, this module is a review. All Pediatrics RAS employees and all newly hired RAS employees are required to complete this module by **July 3, 2014**. The module takes approximately 20-30 minutes to complete. A report will be generated and provided to each RAS Director regarding the completion status for their unit.

   **Next Steps:**
   - Sign up for the course in the Emory Learning Management System (ELMS). Instructions on how to enroll can be found in Blackboard, under the Human Resources & Training section, within the RAS Training Courses folder.

     Important note: This module is the first of two. This first module provides an overview and demonstration of this new process. The 2nd module is an assessment and will be available in the next couple of weeks. Once enrolled in the course through ELMS, staff will automatically be enrolled in both modules.

   - Complete the first module – Course and Demonstration

     Important note: As with any new process, it takes practice to become proficient. Upon the completion of this first module, one will have an understanding of the process and the steps required to complete it. The job aid is a great resource to provide continued support as you work through these steps on new awards. The assessment module will reinforce the concepts and help us track the effectiveness of the training.

   - Once training is completed, staff are expected to perform this process for any new awards received. If staff are unable to resolve any issues around this process within their RAS unit, they can contact psgrants@emory.edu for additional support.

3. VA MOU Update to SOPs 1002 and 1003
The pre-award SOPs 1002 and 1003 have been updated to clarify that preparing the Proposed VA MOU for *all faculty* named in the proposal with a VAMC appointment, is the responsibility of the RAS unit that supports the prime Contact PI – regardless of which RAS units support the faculty on sub-projects.

A new job aid has also been provided to assist in this process.

**HIGHLIGHTS FROM THE WEEK OF JUNE 16TH**

1. **Satisfaction Surveys**

In an effort to gauge progress and satisfaction with the RAS units, we created Customer Satisfaction surveys focused on three key areas:

- RAS Pre-Award Services
- Ongoing RAS Post-Award Services
- RAS Award Close-Out

The first Pre-Award Services Faculty Satisfaction Survey was distributed on Friday, May 6th to RAS Cancer & Imaging departments (HMO, Radiology, Radiation Oncology and Winship Cancer Institute). The survey was available to faculty for 10 business days and closed Friday, June 20th.

2. **Kudos to Blake Cowing**

Blake Cowing came to Emory’s Department of Pediatrics several months prior to the RAS going live. Although he had just two years of research administration experience at Auburn University’s Office of Sponsored Programs, he arrived with expertise equivalent to that of a 20 year research administration professional.

As one of his first assignments, Blake was tasked with the development of a $6,000,000 NIH P30 Grant application that included 18 Key Personnel in two schools, four departments, and eight divisions. His focused efforts contributed greatly to the submission of a flawless proposal on June 18th, nearly five hours prior to deadline. Blake received high praise from the PI and especially from OSP for the overall organization of the application.

PI, Dr. Nael McCarty, stated, “Blake Cowing did a super job on our massive P30 application, which was successfully submitted to the NIH today. 1,002 pages in the assembled PDF. Please see below for comments from Cassandra Murphy and, more importantly, from Artis Hill.”

OSP Assistant Director, Dr. Cassandra Murphy, stated, “Kudos to the team--- Great Job!!!”
Research Analyst, Artis Hill, stated, “Thank you Blake. I must say and I’m sure Dr. McCarty knows this, but you did a terrific job putting this application together. I was so impressed by how organized and well put together this complex application was when I did my review. Great job!”

We look forward to sharing more RAS highlights and upcoming events. However, we need your input. Please email Nicole George, Communications Coordinator for RAS Central Operations with highlights from this week by Thursday, June 26th.

Please look forward to next week’s announcement on Monday, June 30th!

Have a good week!
WEEKLY ANNOUNCEMENT #3 – JUNE 16, 2014

- NIH is planning to implement automated training tables in FY15.

Automate NRSA training tables:

For decades, NIH has required detailed tabular data in every training grant application. These data tables provide grant reviewers with information on trainees associated with the training program, along with an indication of their career outcomes for at least 10 years after they leave the program. Although these tables are a rich source of information on the success of these programs, they are cumbersome to complete and the extensive information provided is not in a format that can be easily analyzed. NIH has launched an activity that will turn these tables into an automated, pre-populated, digital archive of information using an NIH-wide approach similar to that employed by CareerTrac (currently used by NCI, NIEHS and FIC) and a trainee tracking system used by NINDS.

Source: [http://biomedicalresearchworkforce.nih.gov/tracking-system.htm](http://biomedicalresearchworkforce.nih.gov/tracking-system.htm)

- Performance management process overview – Director’s will be working with RAS units to accomplish this by the end of the fiscal year.

Highlights from RAS units for the week of June 9th.

- A summary of the changes to the SOPs are available in the RAS Operations link.

- We are pleased to announce a new hire in RAS – Public Health.
  - Pre Award
    - Angela McCoy
      - Angela joined Emory University in 2006 with Yerkes. She worked in Animal Resources for two years before transferring to the division of Developmental & Cognitive Neuroscience where she developed and enhanced her grant proposal skills. She served as Yerkes representative for the Emory University Employee Council.

- On Wednesday, June 11th, RAS Leads met for their quarterly lunch meeting. Highlights:
  - Effort Reporting: Post award leads have been provided the Sub-Department Coordinator role in ERS which provides access and reporting capabilities.
  - Feedback on Proposals: RAS Directors are being copied on all proposal feedback with OSP Grants. Working to establish similar process for Contracts.
o Notification of Intent to Submit: RAS Central Operations to leverage RAS Pediatrics electronic Intent to Submit form across RAS units (more to follow).

- On Thursday, June 12th, RAS – Pediatrics hosted an Open House for their faculty. Some of their guests included Dr. Cynthia Wetmore, new director of the Children’s Center for Clinical and Translational Research; Dr. Paul Spearman, Pediatrics Vice Chair for Research + Chief Research Officer for CHOA (as well as the Infectious Diseases (ID) Division Chief); Dr. Lucky Jain, Executive Vice Chair of Pediatrics; Dr. Larry Anderson, co-division Chief of ID; Dr. Muxiang Zhao, professor of Pediatrics Hematology/Oncology; and Dr. Parmi Suchdev who was recently elected to the Governance Committee of the Global Nutrition Council.

Upcoming activities/events for the week of June 16th

- RAS Director’s Meeting – Wednesday, June 18th
- RA Leadership Meeting – Thursday, June 19th
We look forward to sharing more RAS highlights and upcoming events. However, we need your input. Please email Nicole George, Communications Coordinator for RAS Central Operations with highlights from this week by Thursday, June 19th.

Please look forward to next week’s announcement on Monday, June 23rd!

Have a good week!

Nicole George
Communications Coordinator, RAS Central Operations
WEEKLY ANNOUNCEMENT #2 – JUNE 9, 2014

We hope you had an enjoyable and restful weekend. Here are highlights from RAS units for the week of June 2nd.

- We are pleased to announce new hires in RAS Cancer & Imaging and Medicine.
  - RAS - Cancer & Imaging
    - Post Award
      - Tonya Foster
        Before joining Cancer & Imaging in June 2014, Tonya was a Senior Research Administrator at the University of North Carolina at Charlotte. Tonya also has experience working for the North Carolina Central University Office of Contracts and Grants as the Assistant Director, where she provided post award support. She holds a Bachelor’s degree in Business Administration from Shaw University. Tonya is an active member of the National Council of University Research Administrators (NCURA).
  - Amanda Exum
    Amanda joined Emory in April, 2013 as a Sr. Accountant in the Office of Grants and Contracts Accounting (OGCA) and recently transitioned to RAS - Cancer and Imaging. While in OGCA, Amanda’s main responsibilities were contract review, financial analysis, invoicing, and award closeouts. Prior to joining Emory, Amanda worked at Moffitt Cancer Center in the Population Sciences division as a Grant/Contract Specialist for nearly 5 years where she managed Cancer Epidemiology, Biomedical Informatics and Biostatistics awards. She holds a Bachelor’s degree in Finance from the University of South Florida.
  - RAS - Medicine
    - Pre Award
      - Chryssi Laguines
        Chryssi has worked in research administration for the past 9 years at the University of Georgia in the central office and at the departmental level. She worked in the Office of Sponsored Programs as a Grants Assistant, then in the College of Public Health’s Research Office as the Grants Manager.
    - Post Award
      - Charles Tyler Bello
Tyler joined Emory in June 2014 with the RAS Medicine unit. He graduated from The University of Georgia in May of 2013 with a bachelor’s degree in Finance. His previous work experience includes guest services work for Young Life in both British Columbia and Georgia, and production work for 1000 Faces Coffee out of Athens, Georgia.

- Troy Fleming
  Troy has worked in Research Administration for four years. Previously, he was a Research Analyst at University of North Texas. His previous career experience includes ten years in higher education administration at Florida International University in the Office of Academic Budget and College of Engineering. Additional career experience includes two years working for Florida Public Interest Research Group (Non-profit). He is a current member of NCURA (2009-present).

- The Professional Community of Practice link went live on Monday, June 2nd. Resources and materials from the NCURA 8th Pre-Award Research Administration Conference 2014 are posted within that section.

Upcoming activities/events for the week of June 9th

- Revised SOPs will be uploaded to Blackboard this week. Please stay tuned for more information.
- RAS Pediatrics: Open House is Thursday, June 11th from 2:00-5:00p at Emory Children’s Center, suite 208.

We look forward to sharing more RAS highlights and upcoming events. However, we need your input. Please email Nicole George, Communications Coordinator for RAS Central Operations with highlights from this week by Thursday, June 12th.

Please look forward to next week’s announcement on Monday, June 16th!

Make it a great week!
Dear RAS Units,

We are excited to be on Blackboard and really appreciate the feedback we’ve received! To keep you all checking out RAS on Blackboard on a regular basis, we’ll be posting new information of interest on a weekly basis. Weekly posts will include (but are not limited to):

- notification of new discussion threads
- new hire and anniversary recognition
- social happenings within RAS
- materials from conferences/presentations/webinars/whitepapers
- any personal/professional news RAS members would like to share
- special recognition/acknowledgement of achievements, co-workers, etc.

We need your help to make this an interesting place to be so we’d like your input on any of these areas above. If you have questions or challenges, post them to the discussion thread. If you participated in a RAS team activity (RAS Medicine volleyball team during Staff fest) or recently graduated from a certification, college or a graduate program, we’d like to hear those stories so we can share with all RAS units.

We have also created a link for Professional Community of Practice. This link provides RAS staff with resources and materials from recently attended conferences. These materials will be provided by RAS unit staff and RAS Central Operations staff. Therefore, we ask that you contact us after attending a conference so we can make arrangements to collect the materials electronically.

Moving forward, Nicole George, our Communications Coordinator for RAS Central Operations, will email a link to the weekly updates on Blackboard so please forward any submissions you have directly to Nicole. We look forward to your continued feedback and contributions to RAS on Blackboard.

Kind regards,

Kathleen