Dear RAS Staff:

Welcome to Research Administration Services (RAS)! RAS Units are teams of high quality research administration professionals dedicated to providing all faculty with high quality research administration support delivered in an efficient and effective manner.

The goals of RAS units are to:

- Provide high quality support to faculty
- Create a customer service oriented culture
- Provide knowledgeable and competent staff focused solely on research administration
- Streamline and standardize processes, increasing efficiency of staff
- Deliver a clear definition of roles and responsibilities and accountability
- Improve cost effectiveness and economics of research administration activities
- Provide for balancing of workload and back-up resources for staff (especially during FMLA, vacations, etc.)

The Staff Handbook was designed to provide RAS staff with pertinent information essential to performing their job functions. This handbook includes information about the history and governance of Emory University, the vision and development of RAS, staff and structure, roles and responsibilities, standard operating procedures and IT systems.

Welcome to the team!

Kind regards,

Kathleen Bienkowski

Associate Vice President, Research Administration Services
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History of Emory University

Emory University is a private institution, founded in 1836 in the small town of Oxford, some 35 miles Southeast of Atlanta. The Atlanta campus was opened downtown in 1914 and then developed in the Druid Hills area just northeast of the city center, pictured above. The course of Emory’s history changed dramatically in 1979 thanks to a gift from Robert and George Woodruff which made a profound impact on Emory’s direction over the next two decades, boosting the University into the top ranks of American research universities. In 2005 the University refined its vision for its future and developed a 10 year strategic plan for how to get there. Achievements of the university's 2005-2015 strategic plan, Where Courageous Inquiry Leads, are highlighted in Courageous Inquiry Chronicle.

Emory's next stage of strategic planning, Thinking and Acting Strategically, is now underway. This is an inclusive and transparent process to set future strategic priorities for the next five years and to plan and implement select strategic initiatives.

The Vision Statement calls for Emory to be “a destination university internationally recognized as an inquiry-driven, ethically engaged, and diverse community, whose members work collaboratively for positive transformation in the world through courageous leadership in teaching, research, scholarship, health care, and social action.”

Additional information regarding the Strategic Plan can be found at: http://provost.emory.edu/strategies/plan/

Governance of Emory University
The Board of Trustees governs the University by establishing policy and exercising fiduciary responsibility for the long-term well-being of the institution. The Board and its Executive Committee act on recommendations from board committees, University officers, and the University Senate.
Faculty, staff, and students at Emory have shared a long tradition of responsibility for improving university governance. The University Bylaws authorized the formation of the University Senate, composed of the Faculty Council, leaders of the Employee Council and the Student Government Association, as well as ex officio members from University administration. The Senate provides representation, enhances communication, and recommends important changes in University policy when needed.
The RAS units report to Dr. David Wynes (ORA) through the AVP, RAS Kathleen Bienkowski.
The Vision for Research Administration Service Units

Emory University’s research funding and activity has grown dramatically over the last two decades. However, the administrative infrastructure, practices, and organization of labor did not adequately develop at the same pace.

Emory conducted $478.3 million of research in the 2015 financial year, of which the NIH institutes were the main sponsors. Emory University ranked 17th in NIH research grant funding in with $311 million in FFY2015.

*Figures exclude ARRA funds*
### RAS Vision and Principles

Key attributes of vision for the new model, compared to the old model, included:

<table>
<thead>
<tr>
<th>Service to Faculty</th>
<th>Old model</th>
<th>Vision: RAS Units</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Highly Variable</td>
<td>High level of support to all faculty</td>
</tr>
<tr>
<td>Roles &amp; Responsibilities</td>
<td>Unclear</td>
<td>Clearly defined and well-documented; Staff (central &amp; local) held accountable (utilizing data and metrics)</td>
</tr>
<tr>
<td>Fragmentation</td>
<td>Operate in Silos</td>
<td>A locally-based team providing high quality research administration services to a group of divisions, departments, units, or schools</td>
</tr>
<tr>
<td>Processes</td>
<td>Inconsistent</td>
<td>Consistent, standardized, and streamlined processes that minimize redundancy and rework (written operating procedures) Modified ops for specific school/unit needs</td>
</tr>
<tr>
<td>Staff knowledge, competencies, and focus</td>
<td>Inconsistent</td>
<td>Knowledgeable, competent staff focused solely on research administration; training &amp; support for staff; better defined career paths</td>
</tr>
<tr>
<td>Staff back-up resources</td>
<td>Non-existent</td>
<td>Ability to balance workload and provide back-up for staff (especially during FMLA, vacations, departures, etc.)</td>
</tr>
</tbody>
</table>

In order to achieve this vision the following guiding principles have been adopted as main components in each RAS unit.

1. **Effective Delivery Model**: A fiscal imperative as Emory must to continue to provide research administration support in a challenging economic environment

2. **Faculty Service**: Provide faculty with high quality research administration support through local teams of highly trained research administration professionals

3. **Support Compliance**: Effectively support the increasingly complex research compliance environment

4. **Values Staff**: Develop and retains top talent through training and providing an inclusive and respectful work environment; creates clear career paths in Research Administration

5. **Accountability**: Establish and maintain clear roles and responsibilities and hold all parties accountable to such

6. **Transparency**: Success metrics or key performance indicators monitor overall performance of RAS units and central research administration units

7. **Continuous Improvement**: Strive to always do better by continuously examining operations, soliciting feedback, and making changes to better serve faculty

8. **Technology enabled**: Harness IT capabilities to support a formalized customer relation management approach.
Putting these principles into practice in the RAS units stimulates a number of visible improvements to Emory’s research administration environment, including:

- Enable Emory to significantly improve the services, performance, satisfaction, and cost effectiveness of the work required to support a top tier, vibrant research institution.
- Improve the quality and level of research administration service to all principal investigators.
- Decrease the time it takes to accomplish research administration activities.
- Improve the capabilities of research administrators, create career paths, and recruit, develop, and retain high quality personnel.
- Improve cost effectiveness and economics of research administration activities by reducing fragmentation, inconsistency, redundancy, and rework.
- Improve the invoicing and collection cycle.
- Effectively support the increasingly complex research compliance environment.
The RAS units have multiple customers/stakeholders - primarily Emory’s researchers (faculty & staff), but also school business officers and central compliance and finance functions.

**RAS Mission**

To support Emory’s research goals through providing best-in-class delivery of research administration support services to Principal Investigators, departments and the University. Services provided by the RAS will be:

- Customer-focused
- Consistent
- Compliant
- Cost-effective
- Collaborative
- Continuously improved
RAS Operating Model

The RAS development process tackled all aspects of operating an efficient and compliant administration at Emory including, governance, operating roles & responsibilities, physical facilities, IT systems and data reporting capabilities, HR issues and stakeholder communications.

Roles and responsibilities were evaluated and realigned so that the majority of functions relating to the administration of extramurally sponsored programs reside in the RAS unit.

In order to complete an activity there may be the need to acquire information or approvals from other departments/units and, where possible, the process flows have been modified to simplify and facilitate the transfer of these elements between entities.

The responsibility for an activity and the work required to complete activities are now clearly defined and cannot be transferred between entities.

The guiding principles of the workflow redesign are that information and approvals are more easily transferred but workload and responsibilities are not.

(A full analysis of roles and responsibilities in the new operating model is provided in Appendix B).

The RAS unit is responsible to the department, school or operating unit for the accurate, efficient, compliant and courteous administration of their sponsored programs. The RAS Director is responsible for ensuring that the RAS Unit fulfils its commitments to the research community of faculty and departmental/school/unit administrators.

Underpinning the RAS operating model are a set of standard operating procedures along with training courses designed to deliver focused instruction on the SOPs. A list of SOPs is attached as Appendix D.

Additional support for managing the RAS Operating Model comes from the development and use of key performance indicators, enhancements to the IT systems shown and management level reports shown in Appendix E.
RAS Staff & Structure
Within each RAS there are three areas of specialization: pre-award, post-award and clinical trials. This will allow staff to focus and dedicate time to these separate functions, decreasing compliance risks and increasing productivity. Within each pre and post award team, there will be senior team member(s) to serve as mentor(s) within those teams. In some cases, these will be formal Manager positions with supervising responsibilities. These three areas under the direction of the Director will have to work together to provide researchers with a seamless service across the whole lifecycle of their sponsored award whether it is a grant, contract or clinical trial. The number of staff within each Research Administration Services (RAS) unit will vary.

The local RAS Director, in conjunction with the AVP (RAS), will determine the best method for staffing assignments. Assignments should be made for the following:

- Pre-Award staff and the investigators/departments they support. It is expected that staff will be assigned to specific faculty and/or departments to ensure consistency and strong relationships over time.
- Post-Award staff and the investigators/departments they support. It is expected that staff will be assigned to specific faculty and/or departments to ensure consistency and strong relationships over time.

RAS Unit Job Titles
Prior to establishing the RAS units, research administration activities were dispersed among staff that totaled over 100 different job titles. There are now 15 job titles covering the RAS responsibilities, and those titles are outlined in the table below.
Each position has a formal job description and grade range as determined by HR, which is accessible at: http://www.hr.emory.edu/eu/pay/research/jobs.html. All RAS Positions are exempt positions and are paid as salaried employees. For additional information, please review the HR policy at: http://policies.emory.edu/4.40

The RAS Referral Bonus program is available in appendix C.

<table>
<thead>
<tr>
<th>Area</th>
<th>Job Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership</td>
<td>Sr. Director, Research Administration Services</td>
</tr>
<tr>
<td>Leadership</td>
<td>Director, Research Administration Services</td>
</tr>
<tr>
<td>Leadership</td>
<td>Associate Director, Research Administration Services</td>
</tr>
<tr>
<td>Pre Award</td>
<td>Pre Award Team Manager</td>
</tr>
<tr>
<td>Pre Award</td>
<td>Research Administrator, Pre Award, Level III</td>
</tr>
<tr>
<td>Pre Award</td>
<td>Research Administrator, Pre Award, Level II</td>
</tr>
<tr>
<td>Pre Award</td>
<td>Research Administrator, Pre Award, Level I</td>
</tr>
<tr>
<td>Post Award</td>
<td>Post Award Team Manager</td>
</tr>
<tr>
<td>Post Award</td>
<td>Research Administrator, Post Award, Level III</td>
</tr>
<tr>
<td>Post Award</td>
<td>Research Administrator, Post Award, Level II</td>
</tr>
<tr>
<td>Post Award</td>
<td>Research Administrator, Post Award, Level I</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Manager</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Pre Award Specialist, Level III</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Pre Award Specialist, Level II</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Pre Award Specialist, Level I</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Post Award Specialist, Level III</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Post Award Specialist, Level II</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>Clinical Trials Post Award Specialist, Level I</td>
</tr>
</tbody>
</table>

Open RAS positions will be posted to the Emory Careers page at http://www.hr.emory.edu/eu/careers/index.html. Please note that there are different links for internal and external candidates.

To access policies regarding vacation and sick leave, please visit the Human Resources site: http://www.hr.emory.edu/eu/benefits/timeoff/timeoff.html. All leave time should be approved by your Director and Manager as appropriate. Please consult the leadership within your RAS unit to understand all internal policies regarding work hours and expectations.

Inquiries and Questions

When faced with uncertainty or new activities, RAS staff is expected to raise questions and seek answers through active inquiry.

Staff must bring any questions or concerns about their work to functional Managers and then to the RAS Director.

Escalation beyond the RAS Director must be coordinated by the RAS Director (e.g., staff should not reach out to the AVP to solve a problem without first contacting the RAS Director).

However, inquiries related to routine activities requiring information from faculty, research or department staff should be obtained as part of normal course of duties.
For any issues that could be considered potential ethical, legal, and/or business conduct violations, please contact the Emory Trust Line at 1-888-550-8850. Additional information can be found at: http://iad.emory.edu/compliance/trustline/

RAS Responsibilities
The Transform Research Administration process was highly successful in securing clarification and agreement on the roles and responsibilities between the multiple entities that manage research at Emory (Department, Schools, operating units and central units). The result is a much more streamlined process, with the RAS units empowered and trained to execute their defined roles.

Schools and departments clearly must retain final authority over approval for certain items that directly impact their resource management. For example, in preparing a proposal for submission to an extramural sponsor the RAS units are required to seek approval from the school/department for:

- Cost shares paid by School/Unit
- F&A waivers
- New space or renovation funded by School/Unit
- Collaborative splits that cross Schools/Units
- VA Faculty member involvement
- Provision of departmental cover for clinical service or teaching obligations (course release)

The table in Appendix B shows the detailed breakdown of responsibilities for both the pre-award and post-award activities conducted by the RAS units.
**Standard Operating Procedures**

A key feature of the research administration model adopted by Emory is that it is not a dislocated, fully centralized, shared service unit. There are multiple RAS units, each serving a defined population of faculty. Maintenance of a cohesive, university-wide, quality of service in this hybrid model depends on each RAS unit operating to a set of standard operating procedures in order to ensure consistency and quality assurance across all of the university’s schools and operating units.

The full set of SOPs is summarized in Appendix B and can be found on the RAS website. All RAS staff will have completed training courses in each SOP that is relevant to their role in either pre or post award areas. The 1000 series SOPs relate to pre-award activities and the 2000 series of SOPs to post-award activities.

<table>
<thead>
<tr>
<th>SOP</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre Award</td>
<td></td>
</tr>
<tr>
<td>1001</td>
<td>Notification of Intent to Submit</td>
</tr>
<tr>
<td>1002</td>
<td>Research Proposal Application Process</td>
</tr>
<tr>
<td>1003</td>
<td>Complex Award Management Program Projects/Multi-Fund Awards - Pre Award</td>
</tr>
<tr>
<td>1004</td>
<td>Budget Development</td>
</tr>
<tr>
<td>1005</td>
<td>Cost Share and F&amp;A Waiver Approval Process</td>
</tr>
<tr>
<td>1006</td>
<td>JIT Process</td>
</tr>
<tr>
<td>1007</td>
<td>Award Notification from OSP</td>
</tr>
<tr>
<td>Post Award</td>
<td></td>
</tr>
<tr>
<td>2001</td>
<td>Complex Award Management Program Projects/Multi-Fund Awards - Post Award</td>
</tr>
<tr>
<td>2002</td>
<td>PAN Request</td>
</tr>
<tr>
<td>2003</td>
<td>Award Set Up</td>
</tr>
<tr>
<td>2004</td>
<td>Set up Payroll Distributions</td>
</tr>
<tr>
<td>2005</td>
<td>Requesting a Subaward or Subcontract</td>
</tr>
<tr>
<td>2006</td>
<td>Paying Subawards and Subcontracts</td>
</tr>
<tr>
<td>2007</td>
<td>Projections and Forecasting</td>
</tr>
<tr>
<td>2008</td>
<td>Reconciling Expenditures</td>
</tr>
<tr>
<td>2009</td>
<td>Cost Transfers</td>
</tr>
<tr>
<td>2010</td>
<td>Invoicing Preparation</td>
</tr>
<tr>
<td>2011</td>
<td>Developing Interim Financial Reports</td>
</tr>
<tr>
<td>2012</td>
<td>Progress Reports and Renewals</td>
</tr>
<tr>
<td>2013</td>
<td>No Cost Extensions Procedure - Processing Requests</td>
</tr>
<tr>
<td>2014</td>
<td>Cost Accounting Standards (CAS) Exceptions</td>
</tr>
<tr>
<td>2015</td>
<td>Carryover - Processing Requests</td>
</tr>
<tr>
<td>2016</td>
<td>Effort Reporting Management and Certification</td>
</tr>
<tr>
<td>2017</td>
<td>Rebudgeting</td>
</tr>
<tr>
<td>2018</td>
<td>Changes in Effort</td>
</tr>
<tr>
<td>2019</td>
<td>Add additional Compass Projects</td>
</tr>
<tr>
<td>2020</td>
<td>Change Award - Project Hold, PI Change, Scope Change, Grant Transfer</td>
</tr>
<tr>
<td>2021</td>
<td>Prepare Final FFR/ Final Invoice</td>
</tr>
<tr>
<td>2022</td>
<td>Close Out Award</td>
</tr>
</tbody>
</table>
Issue Management in Ongoing Operations

Each issue starts with the notion that something has not happened as the RAS employee or the customer (Investigator) has expected. It is essential that these events are captured, openly reviewed, promptly resolved and lessons learned for ensuring there is no repetition. When issues arise, the process below should be followed:

1. Capture: Identify and record all facts surrounding the issue (timeline, parties involved, circumstances, etc.).
2. Review: Review all information available regarding the issue and ask additional questions as necessary.
3. Resolution: Work with the impacted parties to develop a plan for resolution.

Escalation: In the event that an issue must be escalated beyond the level of a research administrator, the following escalation plan should be used:

Central/RAS Communication/Escalation Model

- Kathleen Bienkowski
- RAS Director
- RAS Lead
- RAS Staff
- David Wynes
- Kerry Peluso
- OGCA/OSP Director
- OGCA/OSP Manager
- OGCA/OSP Staff

Expected Response Times
- **Non-Urgent Issues**: Requestor should receive an initial response (not necessarily a resolution) within 2 business days, ideally within 5 business hours
- **Urgent Issues**: Requestor should label the request as “Urgent” and expect a response within the specific timeframe requested

*It is expected that, for the vast majority of issues, there will be timely resolution directly between parties without the need for escalation.*

Escalation Guidelines
- **Non-Urgent Issues**: If a response is not received within the Expected Response Time, requestor should send one follow up note to the “requestee” asking for an update. If no response is received within 2 additional business days, requestor should escalate to the person’s supervisor and copy their own supervisor (if escalated via email).
- **Urgent Issues**: If a response is not received with in the requested timeframe, the requestor should escalate to the “requestee’s” supervisor as soon as is necessary in order to ensure timely resolution to the issue.

Additional information can be found on the RAS Blackboard site:
https://classes.emory.edu/webapps/portal/frameset.jsp?tab_tab_group_id= 254_1

*Please note, you will be asked to login with your Emory NetID and password.*

If RAS staff members have suggestions or new ideas that they would like to share, they should submit information on the Blackboard site in the discussion section.
Emory IT Systems

The Emory IT systems that the RAS staff will most often use are listed below. This table also shows the access rights that are granted to RAS staff. Below is a description for each of the systems.

<table>
<thead>
<tr>
<th>Access to IT Systems by RAS Team Member Role</th>
<th>Access Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT Systems and Subsystem/Subaccess</td>
<td>Director</td>
</tr>
<tr>
<td>Blackboard</td>
<td>X</td>
</tr>
<tr>
<td>Casper 424</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Compass</td>
<td></td>
</tr>
<tr>
<td>Clinical Res portrayals</td>
<td>X</td>
</tr>
<tr>
<td>General Ledger</td>
<td></td>
</tr>
<tr>
<td>Grants</td>
<td></td>
</tr>
<tr>
<td>RAS Budget Page</td>
<td></td>
</tr>
<tr>
<td>WorkFlow (Approved)</td>
<td>X</td>
</tr>
<tr>
<td>WorkFlow (Approved)</td>
<td>X</td>
</tr>
<tr>
<td>Enroll Reporting System (ERS)</td>
<td>X</td>
</tr>
<tr>
<td>EHR (read only)</td>
<td>X</td>
</tr>
<tr>
<td>Emory Systems Intelligence</td>
<td>X</td>
</tr>
<tr>
<td>Emory Teamwork</td>
<td></td>
</tr>
<tr>
<td>WorkFlow (Approved)</td>
<td>X</td>
</tr>
<tr>
<td>Transaction Entry</td>
<td>X</td>
</tr>
<tr>
<td>eNDA Generic Login (COMSQUARED)</td>
<td>X</td>
</tr>
<tr>
<td>eNDA Library Raters</td>
<td>X</td>
</tr>
<tr>
<td>RSA Core Metrics: AO role</td>
<td>X</td>
</tr>
<tr>
<td>Generics RAS eml Address</td>
<td>X</td>
</tr>
<tr>
<td>Library</td>
<td></td>
</tr>
<tr>
<td>Voice Access</td>
<td>X</td>
</tr>
<tr>
<td>Write Access - Regular AutoCapture License</td>
<td>X</td>
</tr>
<tr>
<td>Labor Access</td>
<td>X</td>
</tr>
<tr>
<td>Local Network Drive</td>
<td>X</td>
</tr>
<tr>
<td>PeopleSoft</td>
<td></td>
</tr>
<tr>
<td>HR</td>
<td>X</td>
</tr>
<tr>
<td>Payroll Distribution (ability to change info)</td>
<td>X</td>
</tr>
<tr>
<td>Job Summary (View Access)</td>
<td>X</td>
</tr>
<tr>
<td>Write Access</td>
<td>X</td>
</tr>
<tr>
<td>RAS (User Subscribers)</td>
<td>X</td>
</tr>
<tr>
<td>RCO</td>
<td>X</td>
</tr>
<tr>
<td>Space Database</td>
<td>X</td>
</tr>
<tr>
<td>TOTRA (View Access)</td>
<td>X</td>
</tr>
<tr>
<td>Travel Eligibility Verification App</td>
<td>X</td>
</tr>
</tbody>
</table>

Notes:
- Access Priority
  - 1: Access required for training new employees and RAS information. Request immediately.
  - 3: Access important but can be requested last.
  - N/A = Not Applicable

MS Central Ops is responsible for requesting or granting access to the following systems.

- Blackboard
- eNDA Reporting System
- Emory IT Systems Intelligence Information
- *Generic RAS eml Address
- ODrive - View and Write Access
- *Local Network Drive
- RAS Library Raters
- RCO
- Space Database
- *RPO
- Travel Eligibility Verification App

* These systems are a part of the RAS user start up/implementation process. For an existing RAS:
  - RPO generic login can be provided by the Director or Manager.
  - Local network drive needs to be setup by local desktop support. Manager will need to submit request.
- Two step process. The second step is to be completed by the RAS user.

*Clinical trials staff may require additional access, and that will be determined during onboarding.
Emory has also standardized on the major components of the Microsoft Office suite (Outlook, Word, Excel, PowerPoint and Visio) as user tools. Other specialized programs such as Microsoft Access, Microsoft Plan, Adobe Photoshop, FrontPage etc., are available but are not in common use at Emory.

**Blackboard**

Blackboard is used to communicate information from RAS Central Ops. to the RAS units. This is the primary source for RAS specific documents (including but not limited to SOPs, Staff handbook, transfer policy, training overviews, KPIs, etc). Blackboard can be accessed at [https://classes.emory.edu/webapps/portal/frameset.jsp](https://classes.emory.edu/webapps/portal/frameset.jsp)

**Cayuse 424**

Cayuse 424 is used to create proposal packets ready for submission to NIH and other Federal agencies. Training is available through Emory’s Learning Management System. Additional information regarding Cayuse including a link to the system may be accessed at: [http://www.osp.emory.edu/systems/cayuse-424.html](http://www.osp.emory.edu/systems/cayuse-424.html)

**Compass (Also See EPEX Below)**

Compass is Emory’s name for the PeopleSoft system that captures and reports on the university’s financial transactions. As part of the Transform Research Administration project an ‘issue-based’ review of IT support for research administration was conducted. This identified a number of enhancements to the PeopleSoft grants module that were considered necessary and of high priority. A progress report on these enhancements is attached as Appendix C.

Given the pivotal role that Compass plays in the operations of the RAS unit it is recommended that each RAS staff member receive training in order to become familiar with its capabilities and limitations. Training on Compass, and other finance-related systems at Emory, can be found at [https://www.finance.emory.edu/home/training/](https://www.finance.emory.edu/home/training/).

**Data Warehouse/Emory Business Intelligence**

The new Data Warehouse aims to consolidate all the financial data across Emory and, with the Business Intelligence tool, provide much more intuitive, flexible, and customizable reporting access than what is currently available in Compass. As the EBI team adds more capabilities over the coming months, this powerful tool will likely come to supplement or supplant much of the reporting currently done through Compass. The tool will be available to you and all of your staff. The DW/EBI can be accessed upon completing the online “Business Intelligence: Navigation Course,” details for which are provided below. RAS Operations will provide more details on this tool as it is rolled out.

To launch the online **Business Intelligence: Navigation** course:

1. Click [https://elmprod.emory.edu/](https://elmprod.emory.edu/) and sign in.
2. Under My Learning, click Browse Catalog.
3. Scroll down and click Finance.
4. Click Business Intelligence.
5. Click Business Intelligence: Navigation.
   Note: The two parts of the course – Navigation and Report Basics – are displayed as separated links. Be sure to take both parts of the course.
6. Click Enroll.
7. Click Submit Enrollment.
8. There is a blue link at the bottom of the screen called Launch. Click that link.
   After you pass the course, you will receive an email within two business days granting you access to the Data Warehouse (https://dwbi.emory.edu/analytics/).

Earnings Distribution

Earnings Distribution provides RAS with ability to change Smartkeys (SK) thereby re-allocationg salaries. Additionally, it provides a list of all SK numbers from which someone is paid. Write access (ability to change SK numbers) is available for RAS Directors and post award staff members for all department IDs under RAS supervision. To login, please visit: https://hrprod9.emory.edu/psp/hrprod9/?cmd=login

Effort Reporting System (ERS) - MAXIMUS

OMB Circular A-21 requires that institutions receiving federal awards maintain systems and procedures documenting each individual on the sponsored agreement. Emory fulfills its effort reporting requirement by using ERS. It is a web based system with electronic routing and email notification for updating and certifying efforts for employees paid from sponsored projects. The site is accessible at: https://effort.emory.edu/GenericERS/custom/index.jsp

eIRB

eIRB is the electronic system utilized by the Emory’s Institutional Review Board. RAS staff can confirm IRB protocols are in place for all grants under purview of the RAS unit. The site can be accessed at: https://eresearch.emory.edu/Emory/Rooms/DisplayPages/LayoutInitial?Container=com.webridge.entity.Entity%5B0A7646F3B149874E902185897C144551%5D%5D&redirect=https%3A%2F%2Feresearch.emory.edu%2FEmory%2F

Emory Express

Emory Express is the online marketplace for entering requisitions, ordering goods and services and requesting payments to suppliers. Approval workflow also resides here. A workflow is set up for the new SK number by SOM Leadership. To enter requisitions or approve requests, please visit: https://solutions.sciquest.com/apps/Router/SAMLAuth/Emory
eNOA Generic Login (Comsquared)

A generic login for the eNOA system allows access to all electronic Notice of Awards for the departments served by the RAS unit. The site is accessible at: https://enoa.yoursp.com

EPEX

EPEX or Emory Proposal Express is the internal system used to route and submit grants to obtain internal (Emory) certifications. Training is required for access to the system, and additional details can be found below. EPEX is one component of the Compass Grants system. Link is included above in the Compass section.

Accessing Training:

- Using Internet Explorer, navigate your web browser to compass.emory.edu
- Click on “Training” in the left Navigation
- Click on “Grants”
- Under the distance learning for Proposal Express
- Click “Launch the Training Simulation”, the following screen should appear.

Accessing the EPEX Access Form:

- Once you have completed the 4 parts of the training and passed the assessment with at least a 70%, Please print off the form. This should be sent in along with the EPEX Access Form.
• There should be a link to take you to this form. However if there is not, it can be accessed by going to [http://www.osp.emory.edu/forms/epex.cfm](http://www.osp.emory.edu/forms/epex.cfm) and clicking on the EPEX Access hyperlink in the middle of the page.

**eRA Commons: Administrative Official (AO) Role**

eRA Commons is an NIH online interface where signing officials, principal investigators, trainees and post-docs at institutions/organizations can access and share administrative information relating to research grants. The site can be accessed at: [https://public.era.nih.gov/commons/public/login.do?TYPE=33554433&REALMOID=06-1edb031f-46c7-44b3-b803-60b537de74d2&GUID=&SMAUTHREASON=0&METHOD=GET&SMAGENTNAME=-SM-938PYmoLVb4VrDeXo04LZUDVDvc%2b3899ByInEAjuSUvWNIGfB2zRrWiCivYGCogG&TARGET=-SM-http%3a%2f%2fpublic%2eera%2enih%2egov%2fcommons](https://public.era.nih.gov/commons/public/login.do?TYPE=33554433&REALMOID=06-1edb031f-46c7-44b3-b803-60b537de74d2&GUID=&SMAUTHREASON=0&METHOD=GET&SMAGENTNAME=-SM-938PYmoLVb4VrDeXo04LZUDVDvc%2b3899ByInEAjuSUvWNIGfB2zRrWiCivYGCogG&TARGET=-SM-http%3a%2f%2fpublic%2eera%2enih%2egov%2fcommons)

**I-Drive: Official University Record**
The Office of Research Administration network drive (I-Drive) is the official university record of awards. Therefore, it is important to save all relevant documents to the I-Drive. Below is a list of the types of documents that should be included in the record.

• All award documents with terms and conditions
• Any certifications and approvals
• Any correspondence related to carryforwards, terminations or relinquishments
• Any correspondence, requests or documentation for No Cost Extensions
• Any rebudgeting requests
• Any related workpapers/spreadsheets
• Award “coversheet”
• Awarded budgets and any related correspondence
• Copies of payments and backup documents
• Correspondence and documentation for PANs
• Correspondence with agency/sponsor
• Signed FSFs
• Signed Invoices

**All documents stored on the I-Drive are available to auditors and others upon request.**
**Labor Access**

This is a database that accumulates all payroll related transactions from Compass. This system provides the ability to report against labor related transactions. Site is accessed at: [https://dwbi.emory.edu/analytics/](https://dwbi.emory.edu/analytics/)

**Local Network Drives**

The local drive provides RAS staff with file storage on the network. This includes an individual storage location for each staff member and a shared drive for use by the entire RAS.

**PeopleSoft HR**

PeopleSoft HR provides access to “job summary” tab, which provides high-level salary information. **Write** access is available for RAS Director and **view** access for pre and post award staff for all department IDs under RAS supervision. Please find the link referenced above in the Earnings Distribution section.

**Space Database**

Emory documents the use of campus space in order to more accurately allocate resources and costs. RAS staff utilizes this to identify where research will take place in EPEX routing. The site is accessible at: [https://webfm.fmd.emory.edu/fmit/belowtheline/Login.aspx](https://webfm.fmd.emory.edu/fmit/belowtheline/Login.aspx)

**TOPAZ**

TOPAZ is the system utilized by Emory’s Institutional Animal Care and Use Committee (IACUC). RAS staff can confirm IACUC protocols are in place for grants under the purview of the RAS unit. The site can accessed at: [https://prod.dar.emory.edu/Web-PR/Default.aspx?ReturnUrl=%2fWeb-PR%2fDefault](https://prod.dar.emory.edu/Web-PR/Default.aspx?ReturnUrl=%2fWeb-PR%2fDefault)

**Travel Eligibility Verification App**

Logging into the following link allows RAS staff to verify PeopleSoft titles for all active employees and former employee, while excluding confidential tenure track suffixes. The site can be accessed at: [https://apps.hr.emory.edu/TravelEligibility](https://apps.hr.emory.edu/TravelEligibility)

**Local IT Access**

The local area network at Emory carries data and telephone services. Users’ computers connect to the network by an Ethernet cable plugged into the back of the telephone. In addition, most of the campus is served by Wi-Fi access points that broadcast the SSID of “EmoryUnplugged” which can also be used to connect to the network using your individual NetID and password. There is a second Wi-Fi network, “Emory Guest” that is not password protected, which offers access to the internet at reduced speeds for anyone without an Emory NetID.
In order to minimize virus and data hacking intrusions into the Emory network, computers used by employees do not have administrator rights to install new programs or permit unrestricted updating of existing programs. PC Support is available by dialing 7-7777 #3 or online at Emory’s IT website.

Most Emory systems and network drives can be accessed remotely by an employee’s personal computer, tablet or smartphone provided they have installed Emory’s VPN service (which also checks the client machine for appropriate anti-virus protection). To access these drives, you must login with your Emory NetID and password at: https://vpn.emory.edu/my.policy

**Listservs**

As a Research Administrator, it is important to stay current on the latest trends related to research. Emory offers multiple resources to discover recent news. It is recommended that you join the following listservs:

- ERAZ
- RESADMIN-ANNOUNCEMENTS

How to Subscribe:
Send an email with a blank subject line and the following single line in the body (i.e., no signatures) from the account to which you wish to receive messages:

To: listserv@listserv.cc.emory.edu
Subject:  
Body:  
Subscribe ERAZ
Subscribe RESADMIN-ANNOUNCEMENTS

*Each group hosts regular meetings, trainings, and events, which are announced on the respective listservs.*

**Key Performance Indicators**

The Office of the AVP Research Administration Services has developed high level key performance indicators (KPIs) to monitor the RAS units’ progress over time. A number of the KPIs are solely measures of the level of activity at each RAS unit (number and $ of proposals submitted every month, number and $ of active projects, etc.). The rest are designed to measure aspects of operational performance at both the pre-award and post-award stages along with scores for customer satisfaction surveys.

KPIs will relate to the unit as a whole, not at an individual level, and are analogous to the “check engine” light on a car in that they monitor variables over time and flag up operational areas that may require further investigation by the RAS Director.

**Customer Feedback**

Customer feedback will be sought as follows:
• Annual surveys - the office of the AVP, RAS will conduct a customer service survey on an annual basis. The format and content of this survey will be at the discretion of the AVP, RAS.
• Ongoing feedback - customer feedback will be sought on a regular basis through an electronic feedback tool [mechanism TBD].

Service Level Agreements
Service Level Agreements will be signed by the RAS units and both Central Research Administration Staff and Department Staff including Principal Investigators. These agreements will formalize the support provided by the RAS units. This ensures each group is performing at the level required for seamless and successful management of all research activities. Most RAS processes are handled through the Office of Sponsored Programs (OSP) and Office of Grants and Contracts Accounting (OGCA).

Research Administration Offices
The Office of Research Administration (ORA) provides collaborative administrative systems and technical expertise to facilitate scholarship, research, and discovery within the Emory community from inception through dissemination and application.

The Office of Research Administration provides the Emory community with administrative systems and technical expertise to facilitate scholarship, research, and discovery from inception through dissemination and application.

Website available at: http://ora.emory.edu/

Conflict of Interest Office (COI) oversees the administration and enforcement of conflict of interest policies as a central, University-wide office.

Environmental Health and Safety Office (EHSO) develops and implements environmental health and safety programs and policies for Emory University, the University Hospital and Clinics, and other University satellite facilities.

Institutional Animal Care and Use Committee (IACUC) is a research oversight committee charged with the responsibility of ensuring the proper care, use and humane treatment of animals used in research, testing and education. The IACUC also assists investigators in fulfilling their obligation to plan and conduct animal experiments in accord with the highest scientific, humane and ethical principles.

Institutional Review Board (IRB) facilitates ethically responsible human subjects research by assuring the rights and welfare of study participants.

Office for Clinical Research (OCR) ensures leading-edge, efficient clinical research investigations, yielding improved patient care and outcomes.

Office of Research Compliance (ORC) provides regulatory education, guidance, policy development and implementation to research faculty. The Office was created to ensure that Emory University complies with the federal, state, and local regulations impacting research.

Office of Sponsored Programs (OSP) assists faculty and staff in the submission of grants to sponsoring agencies and negotiates research contracts with government and industry partners.
Office of Technology Transfer (OTT) provides assistance to research faculty by identifying, patenting, and licensing new technologies developed at Emory, and is available for consultation regarding faculty start-up companies. The office also executes Material Transfer Agreements (MTAs), which document the acquisition of valuable research materials.

ORA-Information Technology (ORA-IT) develops and maintains electronic research systems such as TOPAZ, CLICK Commerce, eNOA and ORA’s internet footprint. ORA-IT also supports research administration by providing reporting services to units (PeopleSoft excluded).

Related Research Departments

Division of Animal Resources promotes the health and wellbeing of people everywhere by providing the finest animal care and support for Emory University Scientists.

Office of Grants and Contract Accounting provides the following services to the University community:

- Provides central oversight for the post-award fiscal activities of all sponsored projects
- Maintains the labor and effort reporting systems for the entire University
- Develops, analyzes and negotiates institutional rate agreements including the Federal indirect cost rate agreement and the fringe benefit rate agreement

Phased Launch of Each RAS Unit

One of the rationales of having pilot operations for the new RAS structure was to bring to light improvements in the process of rolling out the model across the whole university. One of the factors impacting the design of future rollouts is the process for clearing backlogs of award maintenance activities:

- Clean up & reconciliation of projects occupies significant time, incompatible with the time needed for new activities.
- Clean up and reconciliation of projects works better in a team structure (like a RAS).

Therefore, it was decided the RAS units would launch in two phases:

- Launch Phase 1: Staff co-locates and begins reporting to RAS director and focus on adopting first 16 SOPS and cleaning up and reconciling projects.
- Launch Phase 2: Staff begins training on and adoption of the remainder of the SOPs.

In order to move from Launch Phase 1 to Phase 2, a number of clean-up and operational targets must be achieved.

RAS Training

Throughout the launch of each RAS unit, training opportunities will be offered to RAS staff based on their role within the unit. As a launch prerequisite, Research at Emory (RAE) Certification is required. The required courses and curriculum can be found in the Emory Learning Management System (ELMS) – [https://elmprod.emory.edu](https://elmprod.emory.edu)
Additionally, Emory encourages staff members to engage and utilize external training opportunities that include but are not limited to the following:

- National Council of University Research Administrators (NCURA) - http://www.ncura.edu/?m=201104
- Society of Research Administrators International (SRA) - http://srainternational.org/

Appendix A: Roles & Responsibilities of RAS Units
*For Grants and Contracts (Excludes Clinical Trials) – Version 4.0*

For the current version of our roles and responsibilities, please visit our website:

## Appendix B: Standard Operating Procedures

_Last updated: July 29, 2014_

<table>
<thead>
<tr>
<th>SOP</th>
<th>Name</th>
<th>Brief Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>Notification of Intent to Submit</td>
<td>Outlines the process by which PIs notify RAS units of their intent to submit a proposal. Every month, the pre-award team within the RAS should send an email asking PIs if they have any proposals they intend to submit. PIs can make the RAS unit aware by either filling out a “Notification of Intent to submit” form or by providing information about the proposal to the RAS unit via email or a phone call. The RAS unit is responsible for documenting all potential proposals in a tracking spreadsheet and notifying the PI who will be working with them to prepare the proposal.</td>
</tr>
<tr>
<td>1002</td>
<td>Research Proposal Application Process</td>
<td>Outlines the process by which the RAS unit assists PIs with developing proposal. The RAS pre-award staff dedicated to the proposal should meet with the PI to discuss the proposal, the sponsor requirements, who will be completing each section, and a timeline for completing the proposal. The RAS pre-award staff is responsible for completing the non-scientific sections of the proposal, including biosketches, the budget, entering a new project into eCOI, validating approvals for commitments have been obtained, and entering the proposal into EPEX.</td>
</tr>
<tr>
<td>1003</td>
<td>Complex Award Management Program Projects/Multi-Fund Awards - Pre Award</td>
<td>Outlines the process by which the RAS unit assists PIs in developing complex proposals, including hosting coordinating meetings with other RAS units or administrative personnel assisting with the proposal, coordinating compilation of all documents, and completing non-scientific sections of the proposal, including biosketches, the budget, entering a new project into eCOI, validating approvals for commitments have been obtained, and entering the proposal into EPEX.</td>
</tr>
<tr>
<td>1004</td>
<td>Budget Development</td>
<td>This SOP outlines the process for working with the PI to develop budget needs and then includes a number of templates for budget development. It also indicates that the RAS unit should review the budget justification (which is the PI’s responsibility to complete) to ensure that it is aligned with the budget.</td>
</tr>
<tr>
<td>1005</td>
<td>Cost Share and F&amp;A Waiver Approval Process</td>
<td>This SOP defines cost sharing and outlines the process by which approvals for cost share and F&amp;A waivers are obtained. Obtaining approvals for cost shares is a PI responsibility, but the RAS unit will assist and verify that the approvals have been obtained.</td>
</tr>
<tr>
<td>1006</td>
<td>JIT Process</td>
<td>This SOP outlines the process of assisting PI’s with the just-in-time process (for NIH awards) or similar processes for non-NIH awards. The RAS unit will work with the PI to ensure all relevant documents are sent to OSP. In addition, the RAS is responsible for updating the other support documents.</td>
</tr>
<tr>
<td>1007</td>
<td>Award Notification from OSP</td>
<td>This SOP outlines the process in which OSP notifies the RAS that a Notice of Grant Award has been received and approved by OSP. OSP is responsible for reviewing all grant and contract awards and ensure that all terms and conditions required by the agency can be met and are consistent with the policies of the institution. When terms or conditions cannot be met or are not within the guidelines of internal policy, OSP negotiates mutually acceptable alternative language.</td>
</tr>
<tr>
<td>2001</td>
<td>Complex Award Management Program Projects/Multi-Fund Awards - Post Award</td>
<td>Outlines the process by which the RAS unit manages complex awards. The RAS unit with the Prime PI is responsible for managing the award (called the &quot;Primary RAS unit&quot;). The Primary RAS Unit will coordinate meetings among other RAS units that may be managing projects within a complex award. This SOP also outlines the process of coordinating all post-award activities across multiple units including requesting subcontracts, monitoring award expenditures, regular check-in meetings with other RAS units, and financial reporting.</td>
</tr>
<tr>
<td>2002</td>
<td>PAN Request</td>
<td>This SOP outlines the advance funding procedure for Research Administration Services (RAS) units setting up a SmartKey (called a Provisional Award Number or PAN) to begin spending on a grant or contract. The PI is responsible for identifying an appropriate guarantor account for the PAN, certifying that the compliance approvals have been obtained, approving PAN requests, supplying required pre-award documentation. In addition, the PI must adhere to the institutional and sponsor cost charging principles, as well as validate that all expenses are allowable. The Post Award Administrator will submit requests for PANs to OSP. OSP will set up a PAN (SmartKey) in the PeopleSoft System and notify the RAS unit. The Post Award Administrator will assist in overseeing and monitoring advance funds.</td>
</tr>
<tr>
<td>SOP</td>
<td>Name</td>
<td>Brief Description</td>
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<tr>
<td>2003</td>
<td>Award Set Up</td>
<td>This SOP describes the role of the RAS unit in setting up awards. The responsibility for setting up an award within the Compass system remains with OSP, DMG, and OGCA. However, when OSP receives the Notice of Grant Award, at times, additional information (such as a revised budget) is needed. The RAS unit will be responsible for providing a revised budget, or other necessary information needed by OSP to set up the award. After receiving the eNOA from ComSquared, the RAS unit will be responsible for reviewing it for accuracy, and distribute the eNOA to relevant stakeholders (PIs, Co-PIs, other RAS units).</td>
</tr>
<tr>
<td>2004</td>
<td>Set up Payroll Distributions</td>
<td>The RAS unit is responsible for making changes to the payroll system to ensure that faculty and staff whose salary is covered by sponsored projects is paid through the correct sources. This SOP outlines how the Post-Award Administrator will make changes to the payroll system for sponsored projects.</td>
</tr>
<tr>
<td>2005</td>
<td>Requesting a Subaward or Subcontract</td>
<td>Emory regularly engages with other institutions in collaborative grants and contracts. The RAS unit will request Subawards via the Subaward Request Page in Compass. The Office of Sponsored Programs (OSP) is responsible for preparing and sending all documents and an agreement to the subcontractor, undertaking negotiations (if necessary), and processing the fully executed agreement. The Sponsored Programs Financial Analyst (SPFA) is responsible for reviewing subaward documentation including budgets and statement of work, processing invoices for subcontractor, and tracking the status of subaward request through the subaward request system and interact with OSP as necessary and updates the PI on progress.</td>
</tr>
<tr>
<td>2006</td>
<td>Paying Subawards and Subcontracts</td>
<td>Outlines the process for making payments through the Emory Express system to subcontractors. The RAS unit will be responsible for pre-reviewing invoices, obtaining approval for payment from PIs, and complete the receiving process in Emory Express.</td>
</tr>
<tr>
<td>2007</td>
<td>Projections and Forecasting</td>
<td>Should be used in conjunction with SOP 2008, Reconciling Awards. In order to assist the PI with management of award expenses, the RAS unit will be responsible for projecting project expenses every 60 days. The RAS unit will use a template to determine future spending for personnel and other equipment through the life of the project, based on historical spending. After completing the projections, the Post-Award staff member will summarize their findings (for all of a PI's awards) on a standard template, highlighting any concerns about over or under spending (Note: The summary template will also list any issues found during the reconciliation of the award, as outlined in SOP 2008). This summary template will be emailed to the PI with a copy of the excel file that contains the projection and reconciliation. The RAS unit will also request a meeting with the PI if there is a need to discuss award spending trends.</td>
</tr>
<tr>
<td>2008</td>
<td>Reconciling Expenditures</td>
<td>Should be used in conjunction with SOP 2007, Projections and Forecasting. In order to ensure that only allowable expenses are on the award, it is important for the RAS post-award staff to review expenses at least every 60 days. This will allow the RAS staff to make any cost transfers necessary within the 90 day cost transfer window. The post-award staff will review the SP2242, all transactions, and labor reports to ensure that the expenses are allowable. For each expense, the post-award staff will ensure that there is documentation for each expense in the source system. In addition, the RAS staff will obtain any necessary CAS exceptions. If there are any cost transfers, including retroactive salary transfers, or adjustments to payroll or other third party feeder systems, the post-award staff will make those adjustments. The post-award staff will summarize and cost transfers being made or questionable charges that need to be verified by the PI in a standard summary template. (Note: The summary template will also include projections, as outlined in SOP 2007 This summary template will be emailed to the PI with a copy of the excel file that contains award expenses. Only one email will go to each PI, summarizing all of their awards at once. The RAS unit will also request a meeting with the PI if there is a need to discuss any award expenses.</td>
</tr>
<tr>
<td>2009</td>
<td>Cost Transfers</td>
<td>Outlines the process for both personnel and non-personnel cost transfers. The Post-Award Administrator is responsible for providing a review of PI projects (on a monthly and at a minimum quarterly basis), working with PI to identify required transfers and making the appropriate transfers as needed in compliance with Emory Cost Transfer policy. Both personnel and non-personnel cost transfers fall into two categories: 1) within 90 day retroactive period; and 2) past 90 day retroactive period. For the personnel cost transfers past the three month retroactive period, the Post-Award Administrator works closely with the PI to provide a thorough description when requesting the transfer. For non-personnel cost transfers, examples of acceptable and unacceptable reasons for non-personnel requests are provided.</td>
</tr>
<tr>
<td>Year</td>
<td>Name</td>
<td>Brief Description</td>
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<tr>
<td>2010</td>
<td>Invoicing Preparation</td>
<td>The RAS will be responsible for preparing non-letter of credit cost reimbursable awards and scheduled pay by task awards for invoicing. The creation of invoices in Compass and sending invoices to sponsors will remain a responsibility of the Office of Grants and Contacts Accounting (OGCA). • For non-letter of credit cost reimbursable awards, the RAS will be responsible for reviewing expenditures to ensure they are allowable in advance of OGCA running the batch invoicing process. If the expenses on the general ledger should not be billed to the sponsor, the RAS will place the award on hold and clean up the charges, removing the hold before the next billing cycle. For new awards, the RAS will confirm that the award is set up correctly and ready for invoicing. • For scheduled pay by task awards, the RAS unit will be responsible for confirming with the PI that the milestone required to be completed before invoicing has been completed. The RAS will then indicate in the Compass system that the award is ready for invoicing.</td>
</tr>
<tr>
<td>2011</td>
<td>Developing Interim Financial Reports</td>
<td>If the sponsor requires an interim financial report, the RAS unit will be responsible for preparing this financial report (the same tool used for the Final FFR/Final Invoice can also be used for interim financial reports), approving, and submitting to the sponsor.</td>
</tr>
<tr>
<td>2012</td>
<td>Progress Reports and Renewals</td>
<td>The timely processing of a renewal for a project is critical to the proper management of the award. The time frame for processing a renewal is dependent upon outside factors such as the Sponsor and required documentation. Each month the Post-Award Administrator will run a query to identify awards ending in 90 days that require renewal or continuation submissions and will contact the PI to inform him/her that the submission of a progress report or the completion of an award renewal is required. In addition to reviewing the query, the Post-Award Administrator will monitor eRA Commons, prepare and submit, in support with the Principal Investigator, a complete progress report, as well as ensure its timely submission to the NIH Commons RPPR website and/or on the PHS 2590 forms, as required by the award terms. The Post-Award Administrator is also responsible for working with the PI to assist in gathering technical and personnel information from subcontract sites and confirming any issues with collaborating institutions required in the progress report. The Office of Sponsored Programs (OSP) will review and approve all progress reports. The Principal Investigator (PI) should provide information for and review each progress report, as well as keep both annual COI reports and compliance approvals current as appropriate.</td>
</tr>
<tr>
<td>2013</td>
<td>No Cost Extensions (NCE) Procedure - Processing Requests</td>
<td>The PI is responsible for emailing the extension request to the RAS unit, including any required COI forms, updated IRB or IACUC approvals, brief justifications, or draft letter for NCE. The PI also must ensure that the IRB, IACUC, and other compliance approvals are up to date through the new requested end date of the award. The RAS unit Post-Award Administrator submits the request for NCE to OSP. If OSP has been granted the authority, the OSP will approve the NCE, or if it does not have the authority, the OSP will submit the NCE request to the sponsors. OSP will notify the RAS unit if the NCE has been granted. The RAs unit will in turn notify the PI. OSP/DMG will update Compass with the new end date and update dates for deliverables related to the final invention report, final Progress Report and final Federal Financial Report (FFR) (or other final financial report/final invoice as required by the sponsor) per the extension.</td>
</tr>
<tr>
<td>2014</td>
<td>Cost Accounting Standards (CAS) Exceptions</td>
<td>Cost Accounting Standards (CAS) dictate what costs can be charged as direct costs and what costs must be charted as indirect costs. There are instances where exceptions to CAS may be granted and costs that are typically considered indirect may be charged as direct costs. This process outlines the process for requesting a CAS exception.</td>
</tr>
<tr>
<td>2015</td>
<td>Carryover - Processing Requests</td>
<td>This SOP outlines the process by which the RAS unit will work with the PI to request carryover from the sponsor if there are funds remaining at the end of a budget period. The Post-Award Administrator will work with the PI to identify projects that are ending that have unobligated balances. The PI will then write a letter to request carryover, while the Post-Award Administrator in the RAS will generate a financial report to confirm the unobligated balance. The RAS unit will submit the request to OSP, who will in turn submit the request to the sponsor. OSP will make any necessary updates to the Compass record once carryover is approved.</td>
</tr>
<tr>
<td>2016</td>
<td>Effort Reporting Management and Certification</td>
<td>Effort reporting is the process by which it is confirmed that effort promised on a sponsored project, including any committed cost share effort, has actually been delivered. This SOP outlines the roles of the RAS unit in pre-reviewing all effort certification forms and following up with faculty and other personnel with effort committed to sponsored projects to ensure that effort is certified. The effort certification process occurs quarterly.</td>
</tr>
<tr>
<td>SOP</td>
<td>Name</td>
<td>Brief Description</td>
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</tr>
<tr>
<td>2017</td>
<td>Rebudgeting</td>
<td>This SOP focuses only on the budgeting/budget revisions requests; other SOPs cover no cost extension requests (SOP 2013) and carry forward funds requests (SOP 2015). Federal and non-federal sponsors have varying standards that govern administrative changes, including budget revisions. Rules vary by sponsor and by the type of award. If the PI desires to revise the budget, the Post-Award Administrator will assist the PI in understanding the applicable terms and conditions of the award. Requests for budgeting will be submitted to OGCA, who will in turn submit these requests to the sponsor. Once approved, OGCA/DMG will make the updates in Compass and notify the Post-Award Administrator that the changes have been made.</td>
</tr>
<tr>
<td>2018</td>
<td>Changes in Effort</td>
<td>This SOP describes the process for making changes in effort for personnel whose effort is supported on sponsored projects or contracts. The NIH and other sponsoring agencies generally classify changes in effort for Key Personnel as either non-significant (less than 25% reduction) or significant (25% or greater reduction). In instances of non-significant changes, no prior approval is required. However, for significant changes, prior approval is generally required from the sponsor. The Principal Investigator (PI) initiates the request for a change in effort, completes the required form, providing required supplemental documentation, and works with the division chief and/or department chair as necessary. Post-Award Administrators reviews effort change requests and submits the requests to OSP. If sponsor approval is required, OSP is responsible for submitting requests to the sponsor. Once approval is obtained, OSP/DMG will change the effort in Compass. The RAS unit is responsible for updating the PI’s effort in the PeopleSoft HR system.</td>
</tr>
<tr>
<td>2019</td>
<td>Add additional Compass Projects</td>
<td>This SOP outlines the process for adding additional Compass projects. Additional projects can be set up for existing awards under certain circumstances. It is strongly encouraged that all required projects be identified and set up in Compass prior to an award being processed. If additional projects are needed for an existing award (after an NOA has been generated), they would be created only as an EXCEPTION to this practice. The PI and the department administrator will contact the Post-Award Administrator to initiate the additional project request, as appropriate. In addition, the PI will determine the impact to current projects and work with the Post-Award Administrator to determine any changes to the existing budget. The Post-Award Administrators will complete and process the request internally and send the request along with any additional information to School Designee for approval. The School Designee will review the additional project request and approve or deny the request. The Post-Award Administrators will then send the request to OSP/DMG, who will add an additional project in Compass.</td>
</tr>
<tr>
<td>2020</td>
<td>Change Award - Project Hold, PI Change, Scope Change, Grant Transfer</td>
<td>During the life of an award, changes in project status, personnel, and scope commonly occur. There may also be situations in which a grant must be transferred out of the University. This SOP outlines the process for the RAS to facilitate these types of changes, which could include putting a project on hold, changing a PI, changing the scope of the award, and transferring grants out of the university. The Post-Award Administrator will be responsible for making all such requests to OSP or OGCA (depending on the type of change).</td>
</tr>
<tr>
<td>2021</td>
<td>Prepare Final FFR/ Final Invoice</td>
<td>At the end of every award, a Final FFR (Federal Financial Report), Final Invoice, or other final financial status report must be completed and submitted to the sponsor. The RAS unit will be responsible for reviewing all expenditures and making adjustments to source systems to ensure that the expenditures for the award are correct. The RAS will utilize a new tool to assist them with completing this task. Once the RAS has determined the final expenditures on the award and made all necessary Journal Entries, RSTs, and other adjustments in the Compass system, they will fill out the FFR form, which will auto populate using the new tool. (Note: If the sponsor requires a report in a different format, the RAS will complete the report in the proper format). The RAS will receive approval for the final expenditure number from the PI. The RAS will submit the FFR form plus a packet of supporting information (such as CAS exceptions and documentation of any outstanding charges) to OGCA. OGCA will review the FFR and supporting information and submit the report to the sponsor. (In the unusual cases where a final financial report is not required to be submitted to the sponsor, it will still be necessary to complete the final packet and submit to OGCA as part of the close-out process).</td>
</tr>
<tr>
<td>SOP</td>
<td>Name</td>
<td>Brief Description</td>
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<tr>
<td>2022</td>
<td>Close Out Award</td>
<td>The RAS will be responsible for closing out awards up to SmartKey inactivation. OGCA will remain responsible for SmartKey inactivation. The RAS unit will be responsible for making sure that all deliverables have been sent to the sponsor, that the budget matches expenses and that the cash balance is equal to zero (in Compass). The RAS will complete a close out checklist and submit a closeout form to OGCA indicating the SmartKey is ready to be inactivated. Residual balance transfers or deficit clearing entries would need to be submitted by RAS and processed by OGCA prior to submitting the closeout form. If A/R needs to be cleared, the RAS will request OGCA to clear these entries and then inactivate the SmartKey.</td>
</tr>
</tbody>
</table>
Appendix C: RAS Referral Bonus Program  
Effective: August 1, 2016

The RAS Referral Bonus program has been developed to address the RAS organization’s critical hiring needs. The program encourages RAS employees to refer qualified candidates for open RAS positions. If a RAS employee refers a qualified candidate, he or she will receive a $500 bonus (before applicable taxes) in the next pay cycle after the candidate is hired and remains in the position in good standing for 30 calendar days.

ELIGIBILITY

- Current, regular full-time and part-time RAS employees in individual contributor roles (i.e., no direct reports) are eligible for this program
- RAS Managers, Directors, Assistant and Associate Directors and AVP are not eligible for this program.

REFERRAL PROCESS

- In order for a RAS employee to be paid a referral bonus, the candidate must complete the Referral Source section of the Applicant Data form which will be sent to the candidate once they have been invited for an interview. (See below for further instructions)

1. Select Employee Referral from the drop down box in the Referral Source
2. Enter current Employee Referral’s Name along with the Employee Referral’s ID number (mandatory) and the Referral’s Telephone Number.
3. Please make sure to click the “Save” button located at the end of the form once this information has been entered.

ADDITIONAL INFORMATION

- Referral bonuses will be paid for referring external candidates only.
  - Bonuses will not be paid to employees referring current Emory employees or those who have worked for Emory within the previous five years.
- Information on this program will be kept current and available for reference on Blackboard – Human Resources & Training Folder – RAS Referral Bonus Program Document
- RAS Management reserves the right to amend, terminate or suspend this program at any time.