

Research Administration

Roles & Responsibilities

For Grants and Contracts (Excludes Clinical Trials & Training Grants) – Version 4.0

Category	PI/PI Staff	Department*	RAS Unit	School/Unit	ORA Offices	Finance	Relevant SOP
Pre-Award Activities							
Identify funding opportunities	<ul style="list-style-type: none"> Identify funding opportunity <p align="center">A/R</p>	I	<ul style="list-style-type: none"> If requested, send proposal application and guidelines to PI (<i>proposal name and agency must be provided by PI</i>) <p align="center">I</p>		<ul style="list-style-type: none"> Conduct educational offerings on finding funding 		<ul style="list-style-type: none"> N/A
Limited Funding Opportunities	<ul style="list-style-type: none"> Notify RAS Unit of limited funding opportunity <p align="center">R</p>		<ul style="list-style-type: none"> Notify OSP and/or School/Unit of PI intent to apply for limited funding opportunity <p align="center">I</p>	<ul style="list-style-type: none"> <i>If proposal is specific to a school/unit:</i> Coordinate review and selection committee to select eligible PI(s) to apply <p align="center">I</p>	<ul style="list-style-type: none"> [OSP]: Coordinate review and selection committee with relevant Schools/Units to select eligible PIs to apply <p align="center">A</p>		<ul style="list-style-type: none"> N/A
Intent to Submit	<ul style="list-style-type: none"> Notify RAS Unit of intent to submit proposal via email or Redcap <p align="center">A/R</p>	C	<ul style="list-style-type: none"> Send monthly email requesting PIs to notify RAS about proposal they intend to submit Notify (via regular report) to department that PI intends to submit to ensure PI is eligible and has sufficient effort to complete research <p align="center">R</p>	I	I		<ul style="list-style-type: none"> 1001: Notification of Intent to Submit

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Develop Research Plan	<ul style="list-style-type: none"> Review sponsor requirements Write research plan and statement of work Prepare other sections of the proposal, as necessary If a contract, obtain draft of contract from sponsor <div style="text-align: right; background-color: black; color: white; padding: 2px;">A/R</div>	<ul style="list-style-type: none"> Proofread science and edit for spelling, grammar, and formatting <div style="text-align: right; background-color: #0070c0; color: white; padding: 2px;">C</div>	<ul style="list-style-type: none"> Maintain list of PI proposals in process Assist PI with proposal preparation, by: <ul style="list-style-type: none"> Reviewing sponsor requirements Meeting with PI to discuss plan for putting proposal together (<i>meeting is optional</i>) Identifying all proposal elements that must be completed and determine who is completing each Ensure PI Meets school/unit eligibility requirements If an award with multiple PIs/units, coordinate with other RAS Units <div style="text-align: right; background-color: #92d050; color: white; padding: 2px;">I</div>	<ul style="list-style-type: none"> Commitments <div style="text-align: right; background-color: #0070c0; color: white; padding: 2px;">C</div>	<ul style="list-style-type: none"> [OSP]: Provide assistance with interpretation of sponsor guidelines <div style="text-align: right; background-color: #0070c0; color: white; padding: 2px;">C</div>		<ul style="list-style-type: none"> 1002: Research Proposal Application Process_Non-Complex 1003: Complex Award Management–Pre-Award
Develop Budget and Justification	<ul style="list-style-type: none"> Define budget elements needed to accomplish proposed research Develop budget justification <div style="text-align: right; background-color: black; color: white; padding: 2px;">A</div>	<ul style="list-style-type: none"> Commitments <div style="text-align: right; background-color: #0070c0; color: white; padding: 2px;">C</div>	<ul style="list-style-type: none"> Develop budget in standard template (meet/talk with PI to understand what is needed in budget) Ensure proper F&A rate is chosen; If necessary, assist in obtaining F&A waiver Review budget justification to ensure it matches budget <div style="text-align: right; background-color: #c00000; color: white; padding: 2px;">R</div>	<div style="text-align: right; background-color: #0070c0; color: white; padding: 2px;">C</div>			<ul style="list-style-type: none"> 1004: Budget Development 1005: Cost Share and FA Waiver
Complete non-scientific sections of proposal	<ul style="list-style-type: none"> Update biosketch content, as necessary Complete non-scientific sections of proposal, as necessary <div style="text-align: right; background-color: black; color: white; padding: 2px;">A</div>		<ul style="list-style-type: none"> Maintain biosketches; put into correct format and assist with updating or editing for specific submission purpose (<i>with input from PI</i>) <div style="text-align: right; background-color: #c00000; color: white; padding: 2px;">R</div>				<ul style="list-style-type: none"> 1002 1003

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Compile all proposal elements according to sponsor guidelines	<ul style="list-style-type: none"> Provide relevant proposal elements to RAS <div style="text-align: right; background-color: black; color: white; padding: 2px;">A</div>		<ul style="list-style-type: none"> Compile all proposal elements from PIs; follow-up with PI if missing paperwork Put proposal elements into proper format (e.g., PDF) <div style="text-align: right; background-color: #cc0000; color: white; padding: 2px;">R</div>				<ul style="list-style-type: none"> 1002 1003
Obtain commitments	<ul style="list-style-type: none"> Obtain and maintain compliance approvals (IRB, IACUC, radiation safety, etc.) Obtain cost share commitment approvals (<i>must be approved by Department & School</i>) Identify and request need for additional space Fill out VA MOU, if necessary Obtain commitment letters from subawardees/subcontractors <div style="text-align: right; background-color: #cc0000; color: white; padding: 2px;">R</div>	<ul style="list-style-type: none"> Coordinate with EHSO for lab inspections Approve departmental commitments for cost share and space <div style="text-align: right; background-color: #0000ff; color: white; padding: 2px;">C</div>	<ul style="list-style-type: none"> Confirm compliance approvals have been obtained Confirm cost share approvals have been obtained Obtain VA MOU, if necessary If requested, assist in collecting commitment letters from subawardees/subcontractors <div style="text-align: right; background-color: black; color: white; padding: 2px;">A</div>	<ul style="list-style-type: none"> Approve school/unit commitments for cost share and space <div style="text-align: right; background-color: #0000ff; color: white; padding: 2px;">C</div>			<ul style="list-style-type: none"> 1002 1003
Complete Conflict of Interest Forms (For a proposal; NOT annual certification)	<ul style="list-style-type: none"> Complete IFIRR forms <div style="text-align: right; background-color: black; color: white; padding: 2px;">A/R</div>		<ul style="list-style-type: none"> Enter new project into eCOI Ensure IFIRR forms have been completed <div style="text-align: right; background-color: #cc0000; color: white; padding: 2px;">R</div>				<ul style="list-style-type: none"> 1002 1003
Enter proposal into Sponsor System			<ul style="list-style-type: none"> Enter proposal into sponsor system <div style="text-align: right; background-color: black; color: white; padding: 2px;">A/R</div>				<ul style="list-style-type: none"> 1002 1003

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Enter proposal into EPEX	C		<ul style="list-style-type: none"> Enter proposals into EPEX Ensure proposals and information entered into EPEX are complete and accurate Submit proposal for routing EPEX in A/R 				<ul style="list-style-type: none"> 1002 1003
For GRANTS: Proposal Review and Submission (dependent upon sponsor – see RACI for detail)	<ul style="list-style-type: none"> Certify proposal in EPEX <i>*If PI submission required, submit proposal to sponsor after OSP approval</i> <div style="text-align: right;">R</div>	<ul style="list-style-type: none"> Review and approve proposals in EPEX for the following, if applicable: <ul style="list-style-type: none"> - Dept. cost share commitments (including salary cost share) - Dept. space commitments - PI course/clinical release - Type of research and key personnel performing research <div style="text-align: right;">I/C</div>	<ul style="list-style-type: none"> Monitor proposal progress through EPEX approval process Make adjustments to proposal, if requested by Department, School/Unit, or OSP <i>*If a paper application, submit to sponsor after OSP approval</i> <div style="text-align: right;">I/C</div>	<ul style="list-style-type: none"> If applicable, review and approve the following elements of proposals: <ul style="list-style-type: none"> - Cost share commitments funded by school/unit - New space or renovation funded by school/unit - Collaborative splits - VA MOU - F&A waivers <div style="text-align: right;">I/C</div>	<ul style="list-style-type: none"> [OSP]: Review, approve, and sign proposal on behalf of University [OSP]: Submit proposal to sponsor (<i>unless a special case*</i>) <div style="text-align: right;">A/R</div>		<ul style="list-style-type: none"> 1002 1003
For INDUSTRY SPONSORED CONTRACTS: Contract Review and Negotiation (dependent upon sponsor – see RACI for detail)	I/C		<ul style="list-style-type: none"> Monitor progress of contract negotiations <div style="text-align: right;">I/C</div>		<ul style="list-style-type: none"> [OTT]: Negotiate contract with sponsor; make contract revisions [OTT]: Sign and execute contract with sponsor [OTT]: Update eCTS (Contract Tracking System) with progress of contract negotiations A/R 		<ul style="list-style-type: none"> 1002

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Manage JIT Process	Compile requested information in eRA Commons							<ul style="list-style-type: none"> • 1003 • 1006: JIT Process
	<ul style="list-style-type: none"> • Obtain and maintain compliance approvals (IRB, IACUC, radiation safety, etc.) • Obtain subaward JIT information Compete relevant training for COI and human and animal subjects <div style="text-align: right; background-color: black; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">A</div>		<ul style="list-style-type: none"> • Collect JIT documents and submit to OSP • Revise budget, if necessary Ensure all compliance approvals (e.g., IRB, IACUC, EHSO) have been obtained • Ensure training for COI and human and animal subjects are current for study personnel • If requested, assist PI in obtaining subaward JIT information <div style="text-align: right; background-color: red; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">R</div>					
	Prepare other support							
	<ul style="list-style-type: none"> • Provide input to RAS for other support documents <div style="text-align: right; background-color: blue; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">C</div>		<ul style="list-style-type: none"> • Complete other support documents (with PI input and review) • If multi-PI/unit award, coordinate collection of JIT documents for all investigators <div style="text-align: right; background-color: black; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">A/R</div>					
	Reviews and submits to OSP in eRA Commons							
<ul style="list-style-type: none"> • Reviews and submits to OSP in eRA Commons <div style="text-align: right; background-color: black; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">A/R</div>		<ul style="list-style-type: none"> • Notify OSP if a foreign collaborator/sub-awardee on project <div style="text-align: right; background-color: green; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">I</div>						
Reviews, approves, and submits to Sponsor in eRA Commons								
<div style="text-align: right; background-color: green; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">I</div>		<div style="text-align: right; background-color: green; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">I</div>		<ul style="list-style-type: none"> • [OSP]: Reviews, approves, and submits to Sponsor in eRA Commons <div style="text-align: right; background-color: black; color: white; width: 20px; height: 20px; margin-left: auto; margin-right: 0;">A/R</div>				

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For GRANTS: Award Notification & Negotiation	<ul style="list-style-type: none"> If significant change in SOW or budget, approve changes <div style="text-align: right; margin-top: 10px;">I/C</div>	<ul style="list-style-type: none"> Approve any significant changes related to department commitments from original proposal (e.g., cost share) <div style="text-align: right; margin-top: 10px;">I/C</div>	<ul style="list-style-type: none"> If significant change in SOW or budget, coordinate with PI, Dept, School/Unit, and OSP to obtain approval for changes <div style="text-align: right; margin-top: 10px;">I/C</div>	<ul style="list-style-type: none"> Approve any significant changes related to school/unit commitments from original proposal (e.g., cost share) <div style="text-align: right; margin-top: 10px;">I/C</div>	<ul style="list-style-type: none"> [OSP]: Receive Notice of Grant Award (NGA) [OSP]: Review award terms and conditions to ensure consistency with Emory's policies (If necessary, negotiate alternative language with sponsor) [OSP]: Ensure compliance approvals have been obtained (e.g., IRB, IACUC) [OSP]: Accept and sign award <div style="text-align: right; margin-top: 10px;">A/R</div>		<ul style="list-style-type: none"> 2003: Award Set up Process
Provisional Award Numbers (PANs)	<ul style="list-style-type: none"> Request PAN <div style="text-align: right; margin-top: 10px;">A</div>	<ul style="list-style-type: none"> Approve PAN request <div style="text-align: right; margin-top: 10px;">R</div>	<ul style="list-style-type: none"> Fill out PAN request form and route for approvals Monitor funds spent on PAN account <div style="text-align: right; margin-top: 10px;">R</div>	<ul style="list-style-type: none"> If applicable approve PAN request <div style="text-align: right; margin-top: 10px;">R</div>	<ul style="list-style-type: none"> [OSP]: Set-up PAN in Compass and generate SmartKey <div style="text-align: right; margin-top: 10px;">R</div>	<ul style="list-style-type: none"> [FGC]: Set-up PAN in Compass and generate SmartKey <div style="text-align: right; margin-top: 10px;">R</div>	<ul style="list-style-type: none"> 2002: Provisional Award Number Request

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Post-Award Activities							
Award Set-up: Award Set Up Checklist, Program Income, Creation of eNOA	<ul style="list-style-type: none"> Provide input and agree to revised budget, if necessary 		<ul style="list-style-type: none"> Provide revised budget (if necessary) and other necessary documents to OSP so that award set up can be completed 		<ul style="list-style-type: none"> [OSP]: Request revised budget or other documents (if necessary) from RAS unit/PI [OSP]: Set- up award in Compass utilizing the award set up checklist 		<ul style="list-style-type: none"> 2001: Complex Award Management Post Award 2003: Award Set up Process 2004: Payroll distribution Set-up
	I/C	I/C	I/C		A/R		
Award Set-up: SmartKey, Bill Plan, Finalize and Release eNOA	<ul style="list-style-type: none"> Provide input and agree to revised budget, if necessary 					<ul style="list-style-type: none"> [FGC]: Set- up award in Compass and generate SmartKey [FGC]: Issue eNOA and upload into ComSquared and I-drive [FGC]: Activate bill plan, set up Invoicing and FFR milestones [FGC]: If applicable, ensure cost sharing project has been assigned 	<ul style="list-style-type: none"> 2001: Complex Award Management Post Award 2003: Award Set up Process 2004: Payroll distribution Set-up
	I/C	I/C	I/C			A/R	

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Award Set-up: Payroll distributions, Dissemination of eNOA	<ul style="list-style-type: none"> Provide input and agree to revised budget, if necessary <div style="text-align: right; color: green; font-weight: bold;">I</div>	<ul style="list-style-type: none"> Collaborate with RAS unit when moving personnel off department accounts <div style="text-align: right; color: green; font-weight: bold;">I</div>	<ul style="list-style-type: none"> Send eNOA to PI, Co-PIs and their respective RAS units Set-up payroll distributions; collaborate with department if moving personnel off department accounts Meet with PI to ensure sponsor deliverables and restrictions are understood <div style="text-align: right; background-color: black; color: white; font-weight: bold;">A/R</div>				<ul style="list-style-type: none"> 2001: Complex Award Management Post Award 2003: Award Set up Process 2004: Payroll distribution Set-up <div style="text-align: right; background-color: blue; color: white; font-weight: bold;">C</div>
Establishing Subawards/ Subcontracts	<ul style="list-style-type: none"> Gathers and reviews sub documentation, including budgets and statement of work Defines sub deliverables and milestones <div style="text-align: right; color: green; font-weight: bold;">I/C</div>		<ul style="list-style-type: none"> Obtain sub documentation from PI Submit request for subaward/subcontract in Sub Request System Monitor progress of sub negotiations <div style="text-align: right; background-color: red; color: white; font-weight: bold;">R</div>		<ul style="list-style-type: none"> [OSP]: Negotiate and sign sub with sponsor [OSP]: Create PO in Emory Express [OSP]: Notify RAS unit when sub has been fully executed <div style="text-align: right; background-color: black; color: white; font-weight: bold;">A/R</div>		<ul style="list-style-type: none"> 2005: Requesting a Subaward or Subcontract
Paying Subawardees/ Subcontractors	<ul style="list-style-type: none"> Confirm subawardees/ subcontractors have completed work before payment is sent <div style="text-align: right; background-color: black; color: white; font-weight: bold;">A</div>		<ul style="list-style-type: none"> Receive notification of invoice from Emory Express Obtain confirmation from PIs that work has been completed and approve payment of invoice in Emory Express Receive invoices in Emory Express Manage (with Payment Services) disputes regarding subaward invoicing and payments <div style="text-align: right; background-color: red; color: white; font-weight: bold;">R</div>			<ul style="list-style-type: none"> [Payment Services]: Receive invoices from subawardees/ subcontractors; request approval for payment from RAS units [Payment Services]: Pay invoices <div style="text-align: right; background-color: blue; color: white; font-weight: bold;">C</div>	<ul style="list-style-type: none"> 2006: Paying subawards and subcontracts <div style="text-align: right; background-color: red; color: white; font-weight: bold;">R</div>

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Conduct Research and Manage Expenses	<ul style="list-style-type: none"> Conduct research Hire any staff needed to conduct research Purchase supplies and equipment Provide guidance to RAS on award expenses or projections, as necessary Ensure regulatory compliance certifications are up to date 	<ul style="list-style-type: none"> Collaborate with RAS Units on movement of any expenses to department accounts Process Travel & Expense reimbursements 	<ul style="list-style-type: none"> Reconcile expenditures and create projections on award expenses every 60 days; ensure expenditures do not exceed budget <ul style="list-style-type: none"> – Ensure expenses are allowable – Confirm with PI any expenses that do not look like they belong on the award – Submit any cost transfers, retroactive salary transfers, and journal entries – File CAS exceptions Send reports on reconciliation and projections to PI Approve Emory Express purchases Coordinate updating SmartKeys with Recharge centers Clear suspense accounts for sponsored projects only If applicable, place project on billing hold if not ready for invoicing prior to monthly deadline Provide regular reports on sponsored projects at PI level to Department and School 	<ul style="list-style-type: none"> Approve CAS exception Approve VA appointment 		<ul style="list-style-type: none"> [Cost Studies]: Enter paper retroactive salary transfers(RSTs) 	<ul style="list-style-type: none"> 2001: Complex Award Management Post Award 2007: Projections and Forecasting 2008: Reconciling Expenditures 2009: Cost Transfer 2014: CAS Exceptions
	A	R	R	R	C	R	

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Invoicing		<p>For Dept to Invoice (Contract Type = DEPT TO INVOICE):</p> <ul style="list-style-type: none"> Generate or prepare invoice and send to FGC/RAS or Sponsor 	<p>For Scheduled Pay by Task awards (Contract Type = SCHED_PAY_TASK):</p> <ul style="list-style-type: none"> Determine if PI has met milestone If milestone has been met, indicate in Compass so invoice will be generated <p>For All other award types (letter of credit, scheduled pay, dept to invoice):</p> <ul style="list-style-type: none"> No action 			<p>For all Cost Reimbursable, Scheduled Pay, and other non-Letter of Credit awards:</p> <ul style="list-style-type: none"> [FGC]: Generate invoice and send to sponsor [FGC]: Update invoicing milestone in system to indicate invoice has been submitted; upload invoice to Compass [Sponsored Research Cash and A/R]: Receive checks from sponsor [Sponsored Research Cash and A/R]: Apply checks to proper account in Compass [Sponsored Research Cash and A/R]: Monitor accounts receivable <p>For Letter of Credit (LOC) awards:</p> <ul style="list-style-type: none"> [Sponsored Research Cash and A/R]: Generate invoices to determine amount of money to draw down weekly [Sponsored Research Cash and A/R]: Draw down cash from funding agency [Sponsored Research Cash and A/R]: Apply cash to account in Compass [Sponsored Research Cash and A/R]: Provide cash reports to agencies (typically quarterly) for LOC drawdowns 	<ul style="list-style-type: none"> 2010: Invoicing
		A/R	R				A/R

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Missing or Misapplied Payments			<ul style="list-style-type: none"> Monitor cash receivables Notify FGC if a payment is missing or was misapplied <div style="text-align: right; background-color: #c00000; color: white; padding: 2px;">R</div>			<ul style="list-style-type: none"> [Sponsored Research Cash and A/R]: Correct missing or misapplied payments <div style="background-color: black; color: white; padding: 2px;">A/R</div> [Sponsored Research Cash and A/R]: Follow-up with sponsor for missing payments 	<ul style="list-style-type: none"> 2010: Invoicing
Interim Financial Reports (see FSR RACI)	<ul style="list-style-type: none"> Review and approve interim financial reports <div style="text-align: right; background-color: black; color: white; padding: 2px;">A</div>		<ul style="list-style-type: none"> Prepare interim financial reports Send interim financial reports to sponsor Update FFR milestone in Compass to indicate financial report was sent <div style="text-align: right; background-color: #c00000; color: white; padding: 2px;">R</div>				<ul style="list-style-type: none"> 2011: Developing Interim FFRs
Progress Reports	<ul style="list-style-type: none"> Prepares non-financial information needed for progress report If OSP review not needed, submit to sponsor <div style="text-align: right; background-color: black; color: white; padding: 2px;">A</div>		<ul style="list-style-type: none"> Assist PI with preparing and submitting progress reports, including preparing: <ul style="list-style-type: none"> – Financial information – Effort allocations – Other administrative information If requested, assist PI in uploading relevant administrative information into eRA Commons (for NIH Progress Reports) If institutional signature needed, enter progress report into EPEX and submit for routing <div style="text-align: right; background-color: #c00000; color: white; padding: 2px;">R</div>		<ul style="list-style-type: none"> [OSP]: If applicable, review and approve progress reports [OSP]: If applicable, submit progress reports to sponsor <div style="text-align: right; background-color: #c00000; color: white; padding: 2px;">R</div>		<ul style="list-style-type: none"> 2012: Progress Reporting and Renewals

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No Cost Extension (NCE)	<ul style="list-style-type: none"> Complete justification for NCE [If Sponsor approval is required]: Draft letters to sponsors for NCE request <p style="text-align: right;">A</p>		<ul style="list-style-type: none"> 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 <p style="text-align: right;">R</p>		<ul style="list-style-type: none"> [OSP] If granted authority, approve NCE [OSP]: If not granted authority, submit NCE requests to Sponsor [OSP]: Update Compass with new end date and issue <p style="text-align: right;">R</p>		<ul style="list-style-type: none"> 2013: No Cost Extension
Carryover (for awards without automatic carryover)	<ul style="list-style-type: none"> Initiate request for carryover (notify RAS unit) Writes scientific explanation and budget justification sections of carryover request letter <p style="text-align: right;">A</p>		<ul style="list-style-type: none"> Prepare FFR or Final Invoice Draft Carryover request letter Submit request for carryover to OSP <p style="text-align: right;">R</p>		<ul style="list-style-type: none"> [OSP]: Once approved, send checklist packet to FGC <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> [FGC]: Review request and submit to sponsor for approval [FGC]: Once approved, make budget adjustments in Compass <p style="text-align: right;">I R</p>	<ul style="list-style-type: none"> 2015: Carryover 2021: Prepare Final FFR/Final Invoice
Effort Reporting & Certification	<ul style="list-style-type: none"> Certify effort <p style="text-align: right;">A</p>	<ul style="list-style-type: none"> Coordinate with RAS unit, as necessary, on effort reporting <p style="text-align: right;">C</p>	<ul style="list-style-type: none"> Pre-review effort certification forms, adjust as necessary Monitor effort certification process <p style="text-align: right;">R</p>			<ul style="list-style-type: none"> [Cost Studies]: Maintain effort reporting system; Initiate and roll out effort reports 	<ul style="list-style-type: none"> 2016: Effort Reporting <p style="text-align: right;">I/C</p>
Changes to Award (Rebudgeting, Changes in Effort, PI, or scope)	<ul style="list-style-type: none"> Initiate changes to award, including rebudgeting and changes in effort, PI, or scope (notify RAS unit) <p style="text-align: right;">A</p>	<ul style="list-style-type: none"> Approve requests for change in PI <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> If sponsor approval required, submit requests for changes to OSP (rebudgeting, changes in effort, PI, or scope) If sponsor approval not required, RAS processes net zero rebudgeting in Compass <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> Approve requests for change in PI <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> [OSP]: If applicable, Request sponsor approval for changes in effort, PI, or scope; if changes in effort are <25%, approve record [OSP]: If applicable, Make necessary updates to Compass <p style="text-align: right;">R</p>		<ul style="list-style-type: none"> 2017: Rebudgeting 2018: Changes in Effort 2020: Changes to Award <p style="text-align: right;">I/C</p>
Add additional Compass projects			<ul style="list-style-type: none"> Obtain approval for additional projects from school <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> Approve justification for additional projects <p style="text-align: right;">R</p>		<ul style="list-style-type: none"> [FGC]: Create additional projects in Compass <p style="text-align: right;">I/C R</p>	<ul style="list-style-type: none"> 2019: Add additional Compass Project
Transfers/ Relinquishment	<ul style="list-style-type: none"> Draft transfer letters Complete Final Invention statement <p style="text-align: right;">A</p>	<ul style="list-style-type: none"> Approve transfers/ relinquishments <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> Manage transfer process Obtain approvals for transfers/ relinquishments Review expenditures and prepare financial reports Submit final documents to OSP <p style="text-align: right;">R</p>	<ul style="list-style-type: none"> Approve transfers/ relinquishments <p style="text-align: right;">R</p>		<ul style="list-style-type: none"> [FGC]: Submit letters and financial reports to the sponsors <p style="text-align: right;">I/C R</p>	<ul style="list-style-type: none"> 2020: Changes to Award

Research Administration Services: Roles & Responsibilities

Category	PI/PI Staff	Department	RAS Unit	School/Unit	ORA Offices	Finance	Relevant SOP
Award Close-Out	<ul style="list-style-type: none"> Review and approve final reportable expenses on ARRT Prepare invention statement, if applicable Prepare non- financial reports Review and approve award close through PACT Maintain non- financial records 	<ul style="list-style-type: none"> Approve transfer of residual balances or deficits Approve movement of salary to department accounts from sponsored projects 	<ul style="list-style-type: none"> Reconcile expenses; review F&A, cost share, and program income; determine final reportable expenses; confirm final numbers with PI Notify feeder systems of end of award Clear encumbrances Adjust payroll distributions Prepare ARRT to determine if deficit or residual balance and work with dept./school to transfer Prepare Final FFR and (RAS Director) submit to FGC Update FFR milestone in Compass to indicate financial report was sent to FGC For Compass close-out, prepare PACT. Send PACT to FGC Notify FGC when SmartKey should be inactivated Update FFR milestone in Compass to indicate PACT was sent to FGC 	<ul style="list-style-type: none"> Approve transfer of residual balances or deficits 	<ul style="list-style-type: none"> [OSP]: Verify Final Invention Statements [OSP]: If applicable, assist with Final Progress Reports 	<ul style="list-style-type: none"> [FGC]: Submit Final FFR/Final Invoice to Sponsor [FGC]: Update FFR milestone in Compass to indicate financial report was sent to Sponsor [FGC]: If necessary, return funds to sponsor [Sponsored Research Cash and A/R]: Ensure all cash has been collected and posted to award; clear any outstanding A/R [FGC]: Update FFR milestone in Compass to indicate award is closed [FGC]: Inactivate smartkey [FGC]: Retain award financial records 	<ul style="list-style-type: none"> 2021: Prepare Final FFR/Final Invoice 2022: Close-out Award
	A	R	R	R	R	R	R