

For Grants and Contracts (Excludes Clinical Trials)

Category	PI/PI Staff	Department*	RASU	School/Unit	Central RA (SPA, GCA, ORPD)	Relevant SOP
Pre-Award Activities						
Identify funding opportunities	<ul style="list-style-type: none"> Identify funding opportunity 		<ul style="list-style-type: none"> If requested, send proposal application and guidelines to PI (<i>proposal name and agency must be provided by PI</i>) 		<ul style="list-style-type: none"> Conduct educational offerings on finding funding 	<ul style="list-style-type: none"> N/A
Limited Funding Opportunities	<ul style="list-style-type: none"> Notify RASU of limited funding opportunity 		<ul style="list-style-type: none"> Notify SPA and/or School/Unit of PI intent to apply for limited funding opportunity 	<ul style="list-style-type: none"> <i>If proposal is specific to a school/unit:</i> Coordinate review and selection committee to select eligible PI(s) to apply 	<ul style="list-style-type: none"> SPA: Coordinate review and selection committee with relevant Schools/Units to select eligible PIs to apply 	<ul style="list-style-type: none"> N/A
Develop Research Plan	<ul style="list-style-type: none"> Notify RASU of intent to submit a proposal Review sponsor requirements Write research plan and statement of work Prepare other sections of the proposal, as necessary If a contract, obtain draft of contract from sponsor 	<ul style="list-style-type: none"> Proofread science and edit for spelling, grammar, and formatting 	<ul style="list-style-type: none"> Maintain list of PI proposals in process Assist PI with proposal preparation, by: <ul style="list-style-type: none"> Reviewing sponsor requirements Meeting with PI to discuss plan for putting proposal together (<i>meeting is optional</i>) Identifying all proposal elements that must be completed and determine who is completing each Notify (via regular report) to department that PI intends to submit to ensure PI is eligible and has sufficient effort to complete research Ensure PI meets school/unit eligibility requirements If an award with multiple PIs/units, coordinate with other RASUs 		<ul style="list-style-type: none"> SPA: Aid with interpretation of sponsor guidelines 	<ul style="list-style-type: none"> Notification of Intent to Submit Research Proposal Application Process Non-Complex Complex Award Management – Pre-Award

*Note: In certain Schools/units, the Department role may be performed by the school/unit

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Develop Budget and Justification	<ul style="list-style-type: none"> Define budget elements needed to accomplish proposed research Develop budget justification 		<ul style="list-style-type: none"> Develop budget in standard template (meet/talk with PI to understand what is needed in budget) Ensure proper F&A rate is chosen; If necessary, assist in obtaining F&A waiver Review budget justification to ensure it matches budget 			<ul style="list-style-type: none"> Budget Development Cost Share and FA Waiver Approval Process
Complete non-scientific sections of proposal	<ul style="list-style-type: none"> Complete non-scientific sections of proposal, as necessary Update biosketch content, as necessary 		<ul style="list-style-type: none"> Maintain biosketches; put into correct format and assist with updating or editing for specific submission purpose (with input from PI) 			<ul style="list-style-type: none"> Research Proposal Application Process Non-Complex Complex Award Management – Pre-Award
Compile all proposal elements	<ul style="list-style-type: none"> Provide relevant proposal elements to hub 		<ul style="list-style-type: none"> Compile all proposal elements from PIs; follow-up with PI if missing paperwork Put proposal elements into proper format (e.g., PDF) 			<ul style="list-style-type: none"> Research Proposal Application Process Non-Complex Complex Award Management – Pre-Award

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Obtain commitments	<ul style="list-style-type: none"> Obtain and maintain compliance approvals (IRB, IACUC, radiation safety, etc.) Obtain cost share commitment approvals (<i>must be approved by Department & School</i>) Identify and request need for additional space Fill out VA MOU, if necessary Obtain commitment letters from subawardees/subcontractors 	<ul style="list-style-type: none"> Coordinate with Biosafety for lab inspections Approve departmental commitments for cost share and space 	<ul style="list-style-type: none"> Confirm compliance approvals have been obtained Confirm cost share approvals have been obtained Obtain VA MOU, if necessary If requested, assist in collecting commitment letters from sub-awardees /subcontractors 	<ul style="list-style-type: none"> Approve school/unit commitments for cost share and space 		<ul style="list-style-type: none"> Research Proposal Application Process Non-Complex Complex Award Management – Pre-Award
Complete Conflict of Interest Forms (For a proposal; NOT annual certification)	<ul style="list-style-type: none"> Complete COI forms 		<ul style="list-style-type: none"> Ensure relevant COI forms have been completed 			<ul style="list-style-type: none"> Research Proposal Application Process Non-Complex Complex Award Management – Pre-Award

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For GRANTS: Proposal Review and Submission	<ul style="list-style-type: none"> • Certify proposal submission • <i>*If PI submission required, submit proposal to sponsor after SPA approval</i> 	<ul style="list-style-type: none"> • Review and approve proposals for the following, if applicable: <ul style="list-style-type: none"> – Dept cost share commitments (including salary cost share) – Dept space commitments – PI course/clinical release – Type of research and key personnel performing research 	<ul style="list-style-type: none"> • Monitor proposal progress • Adjust proposal, if requested by Department, School/Unit, or SPA • <i>*If a paper application, submit to sponsor after SPA approval</i> 	<ul style="list-style-type: none"> • If applicable, review and approve the following elements of proposals: <ul style="list-style-type: none"> – Cost share commitments funded by school/unit – New space or renovation funded by school/unit – Collaborative splits – VA MOU – F&A waivers 	<ul style="list-style-type: none"> • SPA review, approve, and sign proposal on behalf of University • SPA submit proposal to sponsor (<i>unless a special case*</i>) 	<ul style="list-style-type: none"> • Research Proposal Application Process Non-Complex • Complex Award Management – Pre-Award
For CONTRACTS: Contract Review and Negotiation			<ul style="list-style-type: none"> • Monitor progress of contract negotiations 		<ul style="list-style-type: none"> • SPA: Negotiate contract with sponsor; make contract revisions • SPA: Sign and execute contract with sponsor • SPA: Update Contract Tracking System or manual system with progress of contract negotiations 	<ul style="list-style-type: none"> • Research Proposal Application Process Non-Complex

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Manage JIT Process	<ul style="list-style-type: none"> • Provide input to RASU for other support documents • Obtain and maintain compliance approvals (IRB, IACUC, radiation safety, etc.) • Obtain subaward JIT information • Complete relevant training for COI and human and animal subjects 		<ul style="list-style-type: none"> • Collect JIT documents and submit to SPA • Complete other support documents (<i>with PI input and review</i>) • Revise budget, if necessary • Ensure all compliance approvals (e.g., IRB, IACUC) have been obtained • Ensure training for COI and human and animal subjects are current for study personnel • If requested, assist PI in obtaining subaward JIT information • Notify SPA if a foreign collaborator/sub-awardee on project • If multi-PI/unit award, coordinate collection of JIT documents for all investigators 		<ul style="list-style-type: none"> • SPA: Approve and submit JIT information to agency 	<ul style="list-style-type: none"> • Complex Award Management – Pre-Award • JIT Process

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For GRANTS: Award Notification & Negotiation	<ul style="list-style-type: none"> If significant change in SOW or budget, approve changes 	<ul style="list-style-type: none"> Approve any significant changes related to department commitments from original proposal (e.g., cost share) 	<ul style="list-style-type: none"> If significant change in SOW or budget, coordinate with PI, Dept, School/Unit, and SPA to obtain approval for changes 	<ul style="list-style-type: none"> Approve any significant changes related to school/unit commitments from original proposal (e.g., cost share) 	<ul style="list-style-type: none"> SPA: Receive Notice of Grant Award (NGA) SPA: Review award terms and conditions to ensure consistency with Tulane's policies (If necessary, negotiate alternative language with sponsor) SPA: Ensure compliance approvals have been obtained (e.g., IRB, IACUC) SPA: Accept and sign award 	<ul style="list-style-type: none"> Award Notification from SPA

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Post-Award Activities						
Award Set-up		<ul style="list-style-type: none"> Collaborate with RASU when moving personnel off department accounts 	<ul style="list-style-type: none"> Set-up award and create account Activate bill plan, set up Invoicing and financial report milestones If applicable, ensure cost sharing project has been assigned If applicable, set up program income account Set-up payroll distributions; collaborate with department if moving personnel off department accounts Fill out award cover sheet Meet with PI to ensure sponsor deliverables and restrictions are understood 		<ul style="list-style-type: none"> SPA/GCA: Provide guidance on any unusual terms and conditions 	<ul style="list-style-type: none"> Complex Award Management Post Award Award Set up Process Payroll distribution Set-up
Establishing Subawards/ Subcontracts	<ul style="list-style-type: none"> Gathers and reviews sub documentation, including budgets and statement of work Defines sub deliverables and milestones 		<ul style="list-style-type: none"> Obtain sub documentation from PI Submit request for subaward/subcontract Monitor progress of sub negotiations 		<ul style="list-style-type: none"> SPA: Negotiate and sign sub with sponsor SPA: Create PO SPA: Notify RASU when sub has been fully executed 	<ul style="list-style-type: none"> Requesting a Subaward or Subcontract
Paying Subawardees/ Subcontractors	<ul style="list-style-type: none"> Confirm subawardees/ subcontractors have completed work before payment is sent 		<ul style="list-style-type: none"> Receive notification of invoice Obtain confirmation from PIs that work has been completed and approve payment of invoice Manage disputes regarding subaward invoicing and payments 		<ul style="list-style-type: none"> Payment Services: Receive invoices from subawardees/ subcontractors; request approval for payment from RASU Payment Services: Pay invoices 	<ul style="list-style-type: none"> Paying subawards and subcontracts

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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 RASU on award expenses or projections, as necessary • Ensure regulatory compliance certifications are up to date 	<ul style="list-style-type: none"> • Collaborate with RASU 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"> – Ensuring 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 purchases • Clear suspense accounts for sponsored projects only • Provide regular reports on award finances to Department and School 	<ul style="list-style-type: none"> • Approve CAS exceptions 	<ul style="list-style-type: none"> • GCA: Enter paper retroactive salary transfers (RSTs) 	<ul style="list-style-type: none"> • Complex Award Management Post Award • Projections and Forecasting • Reconciling Expenditures • Cost Transfers • CAS Exceptions

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Invoicing			<p><u>For Cost Reimbursable awards</u></p> <ul style="list-style-type: none"> In the month that the invoice is due: Review award expenses and remove charges that do not belong on award <u>For Scheduled Pay by Task awards:</u> Determine if PI has met milestone If milestone has been met, generate invoice <p><u>For All other award types</u> (letter of credit, scheduled pay):</p> <ul style="list-style-type: none"> No action 		<p><u>For all Cost Reimbursable, Scheduled Pay, and other non-Letter of Credit awards:</u></p> <ul style="list-style-type: none"> GCA: Generate invoice and send to sponsor. Update invoicing milestone in system to indicate invoice has been submitted Receive checks from sponsor Apply checks to proper account Monitor accounts receivable <p><u>For Letter of Credit (LOC) awards:</u></p> <ul style="list-style-type: none"> GCA: Generate invoices to determine amount of money to draw down weekly Draw down cash from funding agency Apply cash to account Provide cash reports to agencies (typically quarterly) for LOC drawdowns Place project on billing hold if not ready for invoicing prior to monthly deadline 	<ul style="list-style-type: none"> Invoicing

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Missing or Misapplied Payments			<ul style="list-style-type: none"> • Monitor cash receivables • Notify GCA if a payment is missing or was misapplied 		<ul style="list-style-type: none"> • GCA: Correct missing or misapplied payments • GCA: Follow-up with sponsor for missing payments 	<ul style="list-style-type: none"> • Invoicing
Interim financial reports	<ul style="list-style-type: none"> • Review and approve interim financial reports 				<ul style="list-style-type: none"> • GCA: Prepare interim financial reports • GCA: Send interim financial reports to sponsor • Update system to indicate financial report was sent 	<ul style="list-style-type: none"> • Developing Interim financial reports
Progress Reports	<ul style="list-style-type: none"> • Prepares non-financial information needed for progress report • If SPA review not needed, submit to sponsor 		<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 for NIH progress reports • If institutional signature needed, send progress report and submit for routing 		<ul style="list-style-type: none"> • GCA: Review and approve progress reports • GCA: Submit progress reports to sponsor 	<ul style="list-style-type: none"> • Progress Reporting and Renewals
Carryover (for awards without automatic carryover)	<ul style="list-style-type: none"> • Initiate request for carryover (notify RASU) • Writes scientific explanation and budget justification sections of carryover request letter 		<ul style="list-style-type: none"> • Draft Carryover request letter • Submit request for carryover to SPA • Once approved, make budget adjustments if necessary 		<ul style="list-style-type: none"> • SPA: Review request and submit to sponsor for approval • GCA prepare financial report or final invoice 	<ul style="list-style-type: none"> • Carryover • Prepare final financial report/final invoice

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Effort Reporting & Certification	<ul style="list-style-type: none"> • Certify effort 	<ul style="list-style-type: none"> • Coordinate with RASU, as necessary, on effort reporting 	<ul style="list-style-type: none"> • Pre-review effort certification forms, adjust as necessary • Monitor effort certification process 		<ul style="list-style-type: none"> • GCA Cost Studies: Maintain effort reporting system; Initiate and roll out effort reports 	<ul style="list-style-type: none"> • Effort Reporting
Changes to Award (Rebudgeting, Changes in Effort, PI, or scope)	<ul style="list-style-type: none"> • Initiate changes to award, including rebudgeting and changes in effort, PI, or scope (notify RASU) 	<ul style="list-style-type: none"> • Approve requests for change in PI 	<ul style="list-style-type: none"> • Submit requests for changes to GCA (rebudgeting) or SPA (changes in effort, PI, or scope) • After approval received, make necessary updates to record 	<ul style="list-style-type: none"> • Approve requests for change in PI 	<ul style="list-style-type: none"> • GCA: Approve rebudgeting requests or obtain sponsor approval to do so • GCA: Request sponsor approval for changes in effort, PI, or scope; if changes in effort are <25%, approve 	<ul style="list-style-type: none"> • Rebudgeting • Changes in Effort • Changes to Award
Transfers/Relinquishment	<ul style="list-style-type: none"> • Draft transfer letters 	<ul style="list-style-type: none"> • Approve transfers/relinquishments 	<ul style="list-style-type: none"> • Manage transfer process • Obtain approvals for transfers/relinquishments • Review expenditures and prepare financial reports • Submit final documents to SPA 	<ul style="list-style-type: none"> • Approve transfers/relinquishments 	<ul style="list-style-type: none"> • GCA: Submit letters and financial reports to the sponsors 	<ul style="list-style-type: none"> • Changes to Award

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Award Close-Out	<ul style="list-style-type: none"> Review and approve final reportable expenses Prepare invention statement, if applicable Prepare non-financial reports 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 systems of end of award Clear encumbrances Adjust payroll distributions Determine if deficit or residual balance and work with dept/school to transfer 	<ul style="list-style-type: none"> Approve transfer of residual balances or deficits 	<ul style="list-style-type: none"> GCA: Review, approve, and submit final financial report/final invoice to sponsor GCA: If necessary, return funds to sponsor GCA: Ensure all cash has been collected and posted to award; clear any outstanding A/R GCA: Retain award financial records GCA completes final financial report/final invoice 	<ul style="list-style-type: none"> Prepare final financial report/final invoice Close-out Award