COLUMBIA UNIVERSITY SCHOOL OF NURSING (CUSON)
OFFICE OF RESEARCH RESOURCES (ORR)
MISSION STATEMENT

The **goals** of the ORR are to **facilitate faculty and research trainee research, maximize the success of funding applications and promote scholarly productivity including research, publications, and other means of disseminating scholarly work.**

The Office provides the following services:

- **Support for professional development** by providing Continuing Education courses or information about available courses and disseminating information about conferences and other scholarly opportunities;
- **Support for grant and research preparation** including mentoring for grant writing, staff assistance with literature reviews and preparation of proposals, setting up 'mock review' sessions, provision of research assistants, dissemination of grant information, assistance with IRB submissions;
- **Support for dissemination of scholarly work** such as assistance with manuscript preparation, setting up presentation rehearsals, external communication;
- **Tracking of research progress, scholarly work, regulatory compliance and communications** including maintenance of databases for regulatory compliance and grants; and
- **Monitoring of the budgetary process** for funded research projects, including account set-up, progress reports, monthly and annual financial statements and reports, and account close-out.

CUSON ORR
STANDARD OPERATING PROCEDURES (SOPs)

Abbreviations

AA = CUSON Finance Office Administrative Assistant
ADF = CUSON Associate Dean for Finance and Administration
ADR = CUSON Associate Dean for Research
ADS = CUSON Associate Dean, Student Services
DO = CUSON Director of Operations
DRR = Director, CUSON Office of Research Resources
FAD = CUSON Financial Aid Director
FAS = Financial Accounting System
FM = CUSON Finance Manager
FS = CUSON Finance Supervisor
FSR = Final Status Report
JIT = Just in Time
NGA = Notice of Grant Award
PA = Program Announcement
PI = Principal Investigator
RA = Research Administration
RF = Restricted Funds
RFA = Request for Applications
SAF = Salary Accounting Form
SPBA = Sponsored Project Budget
SPO = RA Senior Project Officer

Personnel (as of 8/1/07)

AA - Maribel Pachay
ADF - Jeremy Merrill, MBA
ADR - Elaine Larson, RN, PhD, FAAN, CIC
ADS - Judy Honig, DrNP, EdD, CPNP-PC
CUSON Vice Dean - Sarah Sheets Cook, DrNP, RN-CS
CUSON ORR Biostatistician - Haomiao Jia, PhD
DO - Barbara Wallenstein
DRR - Kristine Kulage, MA
FAD - Oscar Vasquez
FS - Wassie Ayalew
SPO - Victor Cabrera
FM - Ruth Torres, EMPA

Definitions

AP/CAR = Accounts Payable/Controlled Analytical Review (invoice payment system)
COI = Conflict of Interest Statement
DARTs = Departmental Advanced Reporting and Tracking System
eSNAP = Electronic submission of progress reports through eRA Commons for projects which are subject to the Streamlined Non-completing Award Process (SNAP)
Grants.gov = Federal grants web site used for all electronic submissions to the NIH and other federal agencies
GCP = Good Clinical Practices (Training in the Protection of Human Subjects)
HIPAA = Health Insurance Portability and Accountability Act
InfoEd = Columbia University's mandatory online portal for electronic NIH and other federal grant submissions to grants.gov

Just in Time (JIT) = information the NIH requests after grant application goes through the initial peer review and is within the range of possible funding
NIH eRA Commons = Online electronic research administration system used by the National Institutes of Health
PDF = Adobe Acrobat .pdf file
PureEdge = Application used to access, complete, and submit applications electronically to grants.gov when InfoEd is unavailable for a particular submission
RA Submission Deadline = MINIMUM of 5 full business days PRIOR to deadline date
RASCAL = Columbia University's Internal Research Compliance and Administration System

Useful Web Pages

CUSON Office of Research Resources: http://cpmcnet.columbia.edu/dept/nursing/research/office_resources.html
Research Compliance Requirements: http://cpmcnet.columbia.edu/dept/nursing/research/compliance.html
Columbia University Finance Gateway: http://www.finance.columbia.edu/

ORR SOPs TABLE OF CONTENTS

I.A.1. PRE-AWARD: Sponsored Project Submissions via InfoEd

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Director, Office of Research Resources	Roles & Responsibilities: Other(s)
Initial preparation for submission	As soon as possible (2-3 months prior to deadline recommended; 1 month required)	• Notifies Dean, ADR, and DRR that a proposal is planned • Secures permissions (if needed) from Dean and/or other members of administration for submission • Requests mock review (if requested) • Verifies and/or updates personal information in NIH eRA Commons and My Columbia directory (see ORR Research Compliance Requirements web page)	• Has initial meeting with PI to discuss the proposal • Functions as the liaison between CUSON and SPO. **NOTE: All communication with RA must go through ORR.** • Initiates online InfoEd proposal and completes administrative information • Informs RA of the pending proposal • Reviews RFA or PA for submission	• ADR arranges mock review session (if applicable)
Identification of research team, key personnel, collaborators, and/or subcontract institution	4 weeks prior to RA submission deadline. **NOTE: RA Submission Deadline = MINIMUM of 5 full business days PRIOR to deadline date**	• Secures participation of key personnel • Initiates communication between DRR and research team, key personnel, collaborators, and/or administrative individuals at subcontract institution • Secures availability of CUSON faculty from ADF and/or Vice Dean for participation and/or "in kind" effort contribution to project • Meets with DO to determine appropriate administrative positions, levels, and salaries for "To be Named" personnel • Requests profiles and biosketches for key personnel and Other Significant Contributors in other departments and/or institutions	• Creates RASCAL proposal giving FM editing capabilities • Works with subcontract institution on obtaining administrative pieces and budget • Confirms with RA that subcontract will be allowed on proposal • Updates biosketches for CUSON faculty for inclusion, assuring formatting consistency • Edits other biosketches as needed to assure formatting consistency • Uploads profiles and biosketches in InfoEd	• ADF and/or Vice Dean approves availability and participation of CUSON faculty on application • ADF approves "in kind" participation of CUSON faculty • DO meets with PI re: proposed staffing of grant
Budget Preparation	4 weeks prior to RA submission deadline	• Designs general budget including effort for personnel, consultants, travel, etc. • Brings budget plan to DRR for detailed budget design • Works on budget justification	• Meets with PI to design detailed budget, assuring time frame, funding limits, allowable costs, etc., are followed • Advises on any gaps in budget	• ADF or FM provides current annual salaries for CUSON faculty and staff on proposal
Research Plan Preparation	4 weeks prior to RA submission deadline	• For a mock review, submits draft of proposal to ADR (3 weeks prior to mock review) • Requests letters of support from consultants or collaborators • Distributes research plan to research team and/or internal readers for review and comments	• Assists PI with Facilities & Resources and other administrative sections of application as needed • Continues work on budget with collaboration of PI and subcontract institution officials	• ADR distributes draft of proposal to mock review members
Finalization of Budget and Research Team	2 weeks prior to RA submission deadline	• Finalizes budget with DRR • Finalizes budget justification	• Meets with PI to finalize budget and justification; cross-checks for accuracy; uploads in InfoEd	• ADF assists with any final budgetary issues

I.A.1. PRE-AWARD: Sponsored Project Submissions via InfoEd				
		Roles & Responsibilities		
Activity	**Time Frame**	**Principal Investigator**	**Director, Office of Research Resources**	**Other(s)**
Finalization of Facilities & Resources, Human Subjects, Letters of Support, Appendices, etc.	2 weeks prior to RA submission deadline	• Finalizes Facilities & Resources, Human Subjects, Appendices, etc. • Provides final letters of support and appendices to DRR • Composes cover letter	• Uploads final versions of Facilities & Resources, Human Subjects, cover letter, etc. in InfoEd • Scans and uploads any letters of support and appendices • Scans and uploads cover letter • Completes any sections of InfoEd proposal that are "Not Applicable" to the project	
Completion of RASCAL Proposal	1 week prior to RA submission deadline	• Approves RASCAL proposal (notified via e-mail)	• Completes RASCAL proposal and releases for approvals; sends budget information to approvers • Assures all approvals for RASCAL are obtained and personnel have COI, GCP, and HIPAA certification (see ORR Research Compliance Requirements)	• ADF approves RASCAL
RA DEADLINE: Finalization of Project Summary, Project Narrative, Literature Cited, and Research Plan	MINIMUM of 5 full business days PRIOR to agency deadline date (7-10 business days recommended)	• Finalizes Project Summary, Project Narrative, Literature Cited, and Research Plan • **NOTE: APPLICATION CANNOT BE CHANGED ONCE SUBMITTED TO RA FOR REVIEW AND SUBMISSION**	• Assists with any needed final formatting • Uploads final versions of Project Summary, Project Narrative, Literature Cited, and Research Plan in InfoEd	
RA DEADLINE: Final Review and Submission of Proposal	MINIMUM of 5 full business days PRIOR to deadline date (7-10 business days recommended)	• Reviews final PDF file of application • Works with DRR on any last-minute changes to attachments prior to submission to RA • **NOTE: APPLICATION CANNOT BE CHANGED ONCE SUBMITTED TO RA FOR REVIEW AND SUBMISSION**	• Builds final PDF file of application • Works with PI on any last-minute changes to attachments prior to submission to RA • Routes InfoEd application to SPO for review and submission to grants.gov • Delivers any supplemental paperwork to SPO	
RA Reviews and Submits Proposal	By 5:00pm on Deadline Date	• Must go through DRR or FM in order to communicate with SPO or RA regarding status of application	• Contacts SPO regularly to check on status of application to assure timely submission • Is notified by SPO with PI on any needed revisions indicated by the SPO • Updates CUSON sponsored projects database with information on submission	• SPO submits final proposal to grants.gov

I.A.2. PRE-AWARD: Sponsored Project Submissions via PureEdge

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Director, Office of Research Resources	Roles & Responsibilities: Other(s)
Initial preparation for submission	As soon as possible (2-3 months prior to deadline recommended; 1 month required)	• Notifies Dean, ADR, and DRR that a proposal is planned • Secures permissions (if needed) from Dean and/or other members of administration for submission • Requests mock review (if requested) • Verifies and/or updates personal information in NIH eRA Commons and My Columbia directory (see ORR Research Compliance Requirements)	• Has initial meeting with PI to discuss the proposal • Functions as the liaison between CUSON and SPO. **NOTE: All communication with RA must go through ORR**. • Downloads PureEdge application package from grants.gov web site and completes administrative information • Informs RA of the pending proposal • Reviews RFA or PA for submission	• ADR arranges mock review session if applicable
Identification of research team, key personnel, collaborators, and/or subcontract institution	4 weeks prior to RA submission deadline. **NOTE: RA Submission Deadline = MINIMUM of 5 full business days PRIOR to deadline date**	• Secures participation of key personnel • Initiates communication between DRR and research team, key personnel, collaborators, and/or administrative individuals at subcontract institution • Secures availability of CUSON faculty from ADF and/or Vice Dean for participation and/or "in kind" effort contribution to project • Meets with DO to determine appropriate administrative positions, levels, and salaries for "To be Named" personnel • Requests profiles and biosketches for key personnel and Other Significant Contributors in other departments and/or institutions	• Creates RASCAL proposal giving FM editing capabilities • Works with subcontract institution on obtaining administrative pieces and budget • Confirms with RA that subcontract will be allowed on proposal • Updates biosketches for CUSON faculty for inclusion, assuring formatting consistency • Edits other biosketches as needed to assure formatting consistency • Attaches profiles and biosketches in PureEdge application	• ADF and/or Vice Dean approves availability and participation of CUSON faculty on application • ADF approves "in kind" participation of CUSON faculty • DO meets with PI re: proposed staffing of grant
Budget Preparation	4 weeks prior to RA submission deadline	• Designs general budget including effort for personnel, consultants, travel, etc. • Brings budget plan to DRR for detailed budget design • Works on budget justification	• Meets with PI to design detailed budget, assuring time frame, funding limits, allowable costs, etc., are followed • Advises on any gaps in budget	• ADF or FM provides current annual salaries for CUSON faculty and staff on proposal
Research Plan Preparation	4 weeks prior to RA submission deadline	• For a mock review, submits draft of proposal to ADR (3 weeks prior to mock review) • Requests letters of support from consultants or collaborators • Distributes research plan to research team and/or internal readers for review and comments	• Assists PI with Facilities & Resources and other administrative sections of application as needed • Continues work on budget with collaboration of PI and subcontract institution officials	• ADR distributes draft of proposal to mock review members
Finalization of Budget and Research Team	2 weeks prior to RA submission deadline	• Finalizes budget with DRR • Finalizes budget justification	• Meets with PI to finalize budget and justification; cross-checks for accuracy; attaches in PureEdge application	• ADF assists with any final budgetary issues

I.A.2. PRE-AWARD: Sponsored Project Submissions via PureEdge

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Director, Office of Research Resources	Roles & Responsibilities: Other(s)
Finalization of Facilities & Resources, Human Subjects, Letters of Support, Appendices, etc.	2 weeks prior to RA submission deadline	• Finalizes Facilities & Resources, Human Subjects, Appendices, etc. • Provides final letters of support and appendices to DRR • Composes cover letter	• Attaches final versions of Facilities & Resources, Human Subjects, cover letter, etc. • Scans and uploads any letters of support and appendices • Scans and uploads cover letter • Completes any sections of PureEdge application that are “Not Applicable” to the project	
Completion of RASCAL Proposal	1 week prior to RA submission deadline	• Approves RASCAL proposal (notified via e-mail)	• Completes RASCAL proposal and releases for approvals; sends budget information to approvers • Assures all approvals for RASCAL are obtained and personnel have COI, GCP, and HIPAA certification (see ORR Research Compliance Requirements)	• ADF approves RASCAL
RA DEADLINE: Finalization of Project Summary, Project Narrative, Literature Cited, and Research Plan	MINIMUM of 5 full business days PRIOR to agency deadline date (7-10 business days recommended)	• Finalizes Project Summary, Project Narrative, Literature Cited, and Research Plan • **NOTE: APPLICATION CANNOT BE CHANGED ONCE SUBMITTED TO RA FOR REVIEW AND SUBMISSION**	• Assists with any needed final formatting • Attaches final versions of Project Summary, Project Narrative, Literature Cited, and Research Plan in PureEdge application	
RA DEADLINE: Final Review and Submission of Proposal	MINIMUM of 5 full business days PRIOR to deadline date (7-10 business days recommended)	• Reviews final PDF file of application • Works with DRR on any last-minute changes to attachments prior to submission to RA • **NOTE: APPLICATION CANNOT BE CHANGED ONCE SUBMITTED TO RA FOR REVIEW AND SUBMISSION**	• Builds final PDF file of application • Works with PI on any last-minute changes to attachments prior to submission to RA • Delivers supplemental paperwork and PureEdge application to SPO via CD for review and submission to grants.gov	
RA Reviews and Submits Proposal	By 5:00pm on Deadline Date	• Must go through DRR or FM in order to communication with SPO or RA regarding status of application	• Contacts SPO regularly to check on status of application to assure timely submission • Is notified by SPO with PI on any needed revisions indicated by the SPO • Updates CUSON sponsored projects database with information on submission	• SPO submits final proposal to grants.gov

I.A.3. PRE-AWARD: Sponsored Project Submissions via Paper				
		Roles & Responsibilities		
Activity	**Time Frame**	**Principal Investigator**	**Director, Office of Research Resources**	**Other(s)**
Initial preparation for submission	As soon as possible (2-3 months prior to deadline recommended; 1 month required)	• Notifies Dean, ADR, and DRR that a proposal is planned • Secures permissions (if needed) from Dean and/or other members of administration for submission • Requests mock review (if requested) • Verifies and/or updates personal information in NIH eRA Commons and My Columbia directory (see ORR Research Compliance Requirements)	• Has initial meeting with PI to discuss the proposal • Informs RA of the pending proposal • Functions as the liaison between CUSON and SPO. **NOTE: All communication with RA must go through ORR.** • Reviews RFA or PA for submission • Begins work on administrative pages of application, including face page	• ADR arranges mock review session if applicable
Identification of research team, key personnel, collaborators, and/or subcontract institution	4 weeks prior to RA submission deadline. **NOTE: RA Submission Deadline = MINIMUM of 5 full business days PRIOR to deadline date**	• Secures participation of key personnel • Initiates communication between DRR and research team, key personnel, collaborators, and/or administrative individuals at subcontract institution • Secures availability of CUSON faculty from ADF and/or Vice Dean for participation and/or "in kind" effort contribution to project • Meets with DO to determine appropriate administrative positions, levels, and salaries for "To be Named" personnel • Requests biosketches for key personnel and Other Significant Contributors in other departments and/or institutions	• Creates RASCAL proposal giving FM editing capabilities • Works with subcontract institution on obtaining administrative pieces and budget • Confirms with RA that subcontract will be allowed on proposal • Updates biosketches for CUSON faculty for inclusion, assuring formatting consistency • Edits other biosketches as needed to assure formatting consistency	• ADF and/or Vice Dean approves availability and participation of CUSON faculty on application • ADF approves "in kind" participation of CUSON faculty • DO meets with PI re: proposed staffing of grant
Budget Preparation	4 weeks prior to RA submission deadline	• Designs general budget including effort for personnel, consultants, travel, etc. • Brings budget plan to DRR for detailed budget design • Works on budget justification	• Meets with PI to design detailed budget, assuring time frame, funding limits, allowable costs, etc., are followed • Advises on any gaps in budget	• ADF or FM provides current annual salaries for CUSON faculty and staff on proposal
Research Plan Preparation	4 weeks prior to RA submission deadline	• For a mock review, submits draft of proposal to ADR (3 weeks prior to mock review) • Requests letters of support from consultants or collaborators • Distributes research plan to research team and/or internal readers for review and comments	• Assists PI with Facilities & Resources and other administrative sections of application as needed • Continues work on budget with collaboration of PI and subcontract institution officials	• ADR distributes draft of proposal to mock review members
Finalization of Budget and Research Team	2 weeks prior to RA submission deadline	• Finalizes budget with DRR • Finalizes budget justification	• Meets with PI to finalize budget and justification; cross-checks for accuracy; and completes budget pages	• ADF assists with any final budgetary issues
Preparation of a complete version of Facilities & Resources, Human Subjects, Letters of Support, Appendices, etc.	2 weeks prior to RA submission deadline	• Prepares a complete version of Facilities & Resources, Human Subjects, Appendices, etc. • Provides letters of support and appendices to DRR	• Formats Facilities & Resources, Human Subjects, etc., as needed • Adds headers and footers to any letters of support and appendices	

I.A.3. PRE-AWARD: Sponsored Project Submissions via Paper

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Director, Office of Research Resources	Roles & Responsibilities: Other(s)
Completion of RASCAL Proposal	1 week prior to RA submission deadline	• Approves RASCAL proposal (notified via e-mail)	• Completes RASCAL proposal and releases for approvals; sends budget information to approvers • Assures all approvals for RASCAL are obtained and personnel have COI, GCP, and HIPAA certification (see ORR Research Compliance Requirements)	• ADF approves RASCAL
RA DEADLINE: Preparation of a complete version of Abstract, Research Plan, Literature Cited, and Research Plan	MINIMUM of 5 full business days PRIOR to agency deadline date (7-10 business days recommended)	• Prepares a complete version of Abstract, Key Personnel list, Literature Cited, and Research Plan	• Assists with any needed formatting • Assures that formatting is consistent throughout the application • Assures that proper headers and footers are applied to all pages	
RA DEADLINE: Final Review	MINIMUM of 5 full business days PRIOR to deadline date (7-10 business days recommended)	• Reviews final complete draft of entire application. **NOTE: Face Page and Budget MUST be FINAL versions; other parts of document must be complete, but not necessarily "Final."** • Works with DRR on any changes to documents prior to submission to RA	• Compiles a complete working draft of entire application • Works with PI on any changes to documents prior to submission to RA • Delivers complete application to SPO for review and signature • Delivers any supplemental paperwork to SPO	
RA Reviews Proposal and Signs Face Page	The week prior to mailing the application	• Must go through DRR or FM in order to communication with SPO or RA regarding status of application	• Contacts SPO regularly to check on status of application • Is notified by SPO with PI on any needed revisions indicated by the SPO • Retrieves signed face page from SPO for inclusion in the final application package	• SPO reviews proposal, notifies DRR of any needed revisions, and signs face page
Final Preparations for Submission of Application	The week prior to mailing the application	• FINALIZES all parts of application, including final research plan • Reviews FINAL version of application for accuracy • Composes cover letter	• Compiles FINAL version of application, appending signed face page	
Paper Application is Mailed to Agency	As indicated on PA or RFA (normally MINIMUM of 1 day prior to agency deadline date)	• Reviews final package to be mailed to agency	• Makes necessary photocopies of FINAL version of application and appendices • Prepares Fedex box and label for mailing to agency • Delivers package to Fedex drop box or office • Updates CUSON sponsored projects database with information on submission	

I.B. PRE-AWARD: Just in Time Preparation

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Director, Office of Research Resources	Roles & Responsibilities: Other(s)
I.B.1. eRA COMMONS JIT SUBMISSION				
Agency sends official e-mail request for JIT information to PI and RA	Normally within 2 weeks of Scientific Review Meeting	• Notifies DRR and FM that JIT information has been requested • Notifies Key Personnel on application and requests Other Support pages and proof of GCP (from personnel at other institutions) • Notifies DRR of any changes in Key Personnel from original submission • Submits IRB Proposal in RASCAL, listing DRR on IRB Proposal with viewing capability	• Creates / updates Other Support pages for CUSON Key Personnel • Verifies accuracy of Other Support pages with CUSON Key Personnel • Follows up with Key Personnel in other departments / institutions to obtain Other Support pages and proof of GCP	
Human Subjects IRB Proposal is fully approved	As soon as possible; depends on IRB review schedule and nature of project	• Notifies DRR of IRB approval date	• Combines all Other Support pages into a single Word document and uploads into eRA Commons JIT interface • Composes response to Human Subjects Education request in eRA Commons JIT interface	
Finalization and submission of JIT information	As soon as IRB is approved	• Reviews final eRA Commons JIT information for accuracy	• Notifies SPO that JIT information is ready to be submitted • Submits back-up documentation to SPO • Checks periodically on status of JIT submission • Updates CUSON sponsored projects database with new status	• SPO verifies accuracy of JIT information • SPO submits JIT through eRA Commons • SPO forwards e-mail confirmation to PI and DRR
I.B.2. PAPER JIT SUBMISSION				
Agency sends official e-mail request for JIT information to PI and RA	Normally within 2 weeks of Scientific Review Meeting	• Notifies DRR and FM that JIT information has been requested • Notifies Key Personnel on application and requests Other Support pages and proof of GCP (from personnel at other institutions) • Notifies DRR of any changes in Key Personnel from original submission • Submits IRB Proposal in RASCAL, listing DRR on IRB Proposal with viewing capability	• Creates / updates Other Support pages for CUSON Key Personnel • Verifies accuracy of Other Support pages with CUSON Key Personnel • Follows up with Key Personnel in other departments / institutions to obtain Other Support pages and proof of GCP	
Human Subjects IRB Proposal is fully approved	As soon as possible; depends on IRB review schedule and nature of project	• Notifies DRR that IRB has been approved and provides IRB #, approval date, and IRB Board # that reviewed proposal • Signs JIT cover letter	• Composes JIT cover letter, indicating project title, number, and any changes to Key Personnel, to be co-signed by PI and SPO • Prints all Other Support pages for faxing to agency contact • Completes GCP verification letter	

I.B. PRE-AWARD: Just in Time Preparation

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Director, Office of Research Resources	Other(s)
			• With assistance from PI, completes Protection of Human Subjects Assurance Certification federal form (OMB No. 0990-0263) and obtains signature from IRB Team Manager • Submits all paperwork to SPO for review	
Finalization and submission of JIT information	As soon as IRB is approved		• Retrieves signed pages from SPO • Faxes JIT paperwork to agency contact indicated in the JIT e-mail • Provides final copy of JIT paperwork to PI • Updates CUSON sponsored projects database with new status	• SPO verifies accuracy of JIT information • SPO signs GCP verification letter • SPO co-signs JIT cover letter

II.A. POST-AWARD: Budget Process

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Finance Manager	Other(s)
II.A.1. STANDARD ACCOUNT SET-UP				
Notification is received from agency in the form of an NGA or signed Agreement/Contract	5-10 business days	1. Notifies or forwards information to FM 2. Schedules a meeting with FM to edit budget	1. Receives NGA or signed contract 2. Contacts DRR and obtains original proposal budget 3. Edits budget with PI 4. Forwards budget to RA 5. Receives SPBA and account number and stored in CUSON Finance Office binders	1. DRR sends original budget information to FM 2. Financial Analyst at RA receives budget and enters into CU Accounting System 3. CU System generates SPBA and new account number 4. RA e-mails SPBA to FM and DRR
II.A.2. PRE-AWARD ACCOUNT SET-UP				
Preliminary award notification is received from agency. A delay in receipt of award is anticipated and agency guarantees the pre-award costs are allowable.	5-10 business days	1. Writes a letter to ADF requesting permission to set up pre-award cost account including agency notification (must include a guaranteed account) 2. Sends photocopy of letter to FM 3. When NGA is received, meets with FM to discuss budget	1. Receives copy of request letter to ADF 2. Sends documentation for request to RA 3. FM receives SPBA listing new account number; waits for NGA 4. After NGA is received, FM contacts DRR to obtain original proposal budget 5. Edits budget with PI 6. Forwards budget to RA 7. Updated SPBA is received and stored in CUSON Finance Office binders	1. ADF approves letter and submits request to FM 2. RA reviews material and approves request 3. An account is set up with a “$0” budget 4. Financial Analyst updates system with account number and SPBA 5. SPBA is e-mailed to FM 6. DRR provides FM with original proposal budget

II.A. POST-AWARD: Budget Process

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Finance Manager	Other(s)
II.A.3. RE-BUDGETING				
PI wants to procure services outside of the budgeted plan and/or PI wants to request the re-budget of funds to meet goal	5 business days	1. Contacts FM to discuss objective and ensure action is appropriate to project requirements and whether request does or does not require prior approval from agency 2. PI contacts GMO for approval of action if prior agency approval is required 3. Obtains and prepares an "Equipment Re-budgeting Request Form" with FM and attaches prior approvals to request	1. Advises PI on decision to re-budget based on NGA rules and requirements 2. Works with PI to prepare "Equipment Re-budget Request Form" 3. Forwards request to ADF 4. Hand delivers request to RA for processing	1. ADF approves re-budgeting request 2. RA reviews request with SPO 3. SPO approves request 4. Financial Analyst updates budget via accounting system, creating revised SPBA 5. SPBA is e-mailed to FM
II.A.4. SUBCONTRACTS				
PI subcontracts outside source to perform substantive programmatic work pertinent to the sponsored project	21 business days	1. Obtains updated budget, compliance documentation, and justification from Subcontract site 2. Forwards documentation to FM 3. Reviews R&R and approves 4. Returns R&R to FM 5. Receives bills from Subcontract site and forwards to CUSON Finance Office AA for payment	1. Forwards subcontract documents to Subcontract Specialist at RA 2. Receives R&R form and forwards to PI for approval 3. Receives approved R&R from PI and forwards to Subcontract Specialist at RA 4. If receives Subcontract site invoices, forwards to CUSON Finance Office AA for payment 5. Monitors subcontract activities and budget balances until the end of project period **NOTE: Project Director (or FM in lieu of Project Director) sends reminders requesting invoices from subcontract site if delays in receipt.**	1. Subcontract Specialist reviews information with SPO 2. Subcontract Specialist generates R&R form and contractual agreement and sends to Subcontract site 3. Subcontract site signs and returns contractual agreement 4. Subcontract Specialist contacts CUSON Finance Office AA for PO number set up 5. AA receives bills from PI or FM and enters into AP/CAR for processing

II.B.1. POST-AWARD: Accounting/Bookkeeping Process – Monthly Reports

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Finance Manager	Other(s)
Monitoring of monthly account statements and distribution of monthly account reports	Reports generated monthly or upon request. **NOTE: Year end closings or special project may interfere with receipt of reports.**	1. Responsible for tracking project activities and expenses 2. Work closely with FM to monitor and manage post-award activities 3. Receives monthly report listing project balances and expenses from FM 4. Meets monthly with FM to review reports, ask questions, or make special requests	1. Prints out account details from DARTs monthly 2. Transfers DARTs information to standard CUSON monthly account report template 3. Forwards report to PI 4. Meets with PI to review report	1. Account expenses are recorded in FAS and DARTs

II.C. POST-AWARD: Procurement Process

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Finance Manager	Roles & Responsibilities: Other(s)
II.C.1. PURCHASING				
PI needs to make purchases on their sponsored project account for the execution of activities within the scope of the project	1-5 business days from purchase request	1. Contacts FM to inquire as to the feasibility or affordability of the purchase 2. If purchase is not part of original budget and requires re-budgeting of funds, works with FM on re-budgeting 3. Contacts DO and makes a formal written purchase request and provides FM copy of request 4. Contacts DO for updates on status of purchase request	1. Meets with PI to verify project policies and restrictions; advises PI on best course of action (if needed) 2. If re-budgeting is necessary and no other approvals are required, prepares a re-budgeting request and/or other pertinent documentation to Financial Analyst at RA for processing 3. Waits for SPBA updates for RA if re-budgeting needed	1. DO receives written purchase request 2. DO performs test of allowability 3. DO verifies with FM that purchase is appropriate to the project 4. DO processes and approves the order
II.C.2. HIRING				
Project Staff and Professionals are hired to fulfill aims and objectives of project	1-6 months after project start date; as needed throughout project period	1. Contacts FM to ensure that hire is allocable, affordable, and reasonable to the project 2. Contacts DO verbally and/or in writing to make hiring request 3. Meets with DO to discuss hire 4. Interviews candidates 5. Contacts DO to discuss chosen candidate for hire	1. Reviews hiring request with PI to ensure that hire falls within scope of project; verifies with DRR that position was originally budgeted for project 2. If hire falls outside of project's or budget's scope, advises PI on whether or not to obtain prior agency approval for hire 3. Discusses effort information with PI 4. Prepares SAF form to allocate funds to project account	1. Do meets with PI to discuss title, salary, and scope of work 2. DO checks with FM for availability of funds 3. DO posts position at CU Human Resources Office 4. Candidates apply for position 5. Candidate is chosen and hired 6. FS at CUSON Finance Office contacts FM for a SAF
II.C.3. REVIEW OF FUNDING SUPPORT FOR RESEARCH TEAM				
In order to continue with project goals and objectives, PIs must review available funding which supports research staff and determine if any changes in effort are needed	Three times per year: every June 30 (CU fiscal year end), 30-60 days before beginning of the project period, and 30-60 days prior to the end date of the project period	1. Contacts FM to ensure that any action pertaining to research staff is allocable, affordable, and reasonable to the project 2. If changes are needed associated with support staff or administrative support, contacts DO in writing 3. If changes are needed associated with faculty, contacts ADF in writing	1. Reviews request with PI, ADF, and DO to ensure that any needed changes fall within project specifications 2. Reviews effort and financial information with PI 3. Once change is confirmed, sends approval to all parties involved 4. Gives SAF directives to SF (if applicable) 5. Makes appropriate accounting notations to account to reflect changes (e.g., increases, terminations, etc.)	1. ADF or DO receives change request in research team and verifies status of available funds with FM 2. ADF or DO forwards request to FS 3. Change is processed by FS and Dean's Office 4. FS contacts FM and requests a SAF 5. ADF approves SAF online

POST-AWARD: Procurement Process

Activity	Time Frame	Roles & Responsibilities: Principal Investigator	Roles & Responsibilities: Finance Manager	Roles & Responsibilities: Other(s)
II.C.4. INVOICE PAYMENT				
Payment of invoices associated with funded project activities	30 business days after delivery of goods or services; 10 business days to process payment of invoice (depending on nature of expense)	1. Receives invoice for activities associated with a funded project 2. Reviews, verifies delivery of goods or services, and initials invoice 3. Hand delivers invoice to AA at CUSON Finance Office 4. Contacts AA (or FM if AA is unavailable) at CUSON Finance Office regarding vendor problems	1. Receives initialed invoice from PI 2. Reviews invoice with AA at CUSON Finance Office to determine feasibility, affordability, and reasonability of expense	1. AA of CUSON Finance Office enters invoice into AP/CAR for payment 2. AA sends originals to Accounts Payable for processing 3. Vendor receives payment
II.C.5. TRAVEL				
PI or other research team member travels as required by the project	Notification of trip is done 1 month prior to its occurrence. Travel reimbursement reports are turned in 10 days after the trip occurs. **NOTE: Reports that are 120 days late require an explanation for lateness. Reports over 120 days late are taxable to the traveler.**	1. Prior to trip, completes a Travel Request and Approval for Meetings form 2. Hand delivers form to AA at CUSON Finance Office 3. Receives signed form and files it to be attached to reimbursement form 4. Returns from trip and completes a Travel/Business Reimbursement Form. This includes attaching receipts, conference flyers, etc., along with the Travel Request and Approval Meeting form 5. If reimbursement will be charged to a scope/pilot account, secures prior approval signatures from Program Director 6. Hand delivers packet with all signatures to AA at CUSON Finance Office	1. Reviews travel report with AA of CUSON Finance Office to determine feasibility, affordability, and reasonability of expense	1. AA of CUSON Finance Office reviews reimbursement and, if invoice meets University guidelines, enters invoice in AP/CAR and contacts ADF (or DO if unavailable) for approval 2. ADF or DO approves reimbursement electronically 3. AA sends originals to Accounts Payable for processing 4. Traveler receives payment
II.C.6. PETTY CASH				
Petty Cash Account needs to be set up for participant / patient incentives on a project	5-10 business days for set-up; up to 30 days for closing	1. Sends written request to FM which includes: petty cash value, account number, custodian's name, purpose of account 2. Receives check from Accounts Payable 3. If named custodian, goes to nearest Chase bank to cash check 4. Submits replenishing or closing requests to AA; must provide AA with receipts or left over cash	1. Reviews petty cash request to determine feasibility, affordability, and reasonability of request 2. Forwards request to CUSON AA for processing 3. Checks account to ensure that new funds, replenishments, or closings appear accurately	1. AA prepares a memo and Check Request Form and sends to Office of the Treasurer 2. Office of the Treasurer approves paperwork and sends Check Request to Accounts Payable 3. Accounts Payable cuts check and sends to Custodian 4. Custodian (can be PI or other named individual) is in charge of saving all receipts and reconciling the account 5. AA processes closing or replenishing requests (must have receipts or left over cash for processing)

II.D. POST-AWARD: Training Grants

Activity	Time Frame	Roles & Responsibilities		
		Principal Investigator	**Finance Manager**	**Other(s)**
PIs of training grants need to hire/terminate trainees	Once per year, at the beginning and/or end of the current project period	1. If new trainees is being appointed, must write an appointment letter to trainee for Dean's signature 2. Copies signed letter to PI, FM, DRR, FAD, ADS, ADF, and FS 3. If trainee is being terminated, must inform FM and DRR in writing (via memo or e-mail) 4. Reviews monthly account reports to ensure that trainee is listed properly	1. FM receives signed trainee appointment letter from PI 2. Forwards appointment letter to CUSON FS for processing 3. If new appointment or re-appointment, completes a standard federal government "Statement of Training" form, PHS 2271, with assistance from trainee and PI 4. If terminating an appointment, fills out a standard federal government "Termination Notice" form PHS 416-7, with assistance from trainee and FAD 5. Submits forms to SPO for review, approval and/or signature 6. Retrieves signed forms and submits to agency 7. Updates account	1. FAD provides budgetary information 2. Trainee and/or PI verifies information and signs appointment, re-appoint, or termination forms (as required per form) 3. SPO reviews, approves and signs (if needed) federal forms and contacts FM for pick up.

II.E.1. POST-AWARD: Annual Progress Reports – eSNAP via eRA Commons

		Roles & Responsibilities			
Activity	**Time Frame**	**Principal Investigator**	**Director, ORR**	**Finance Manager**	**Other(s)**
Completion of Annual Progress Report	Due a MINIMUM of 45 days prior to current budget year end date	• Initiates eSNAP Progress Report in eRA Commons • Renews IRB protocol as needed for subsequent year of project • Notifies DRR of any changes to Key Personnel • Completes scientific portion of Progress Report • Provides list of publications resulting from the project to date (should follow the NIH Public Access Policy notice which includes submitting publications to NLM's PubMed Central mechanism) • Answers eSNAP question, "Has there been a change in the "other support" of key personnel (or has there been any changes in named key personnel) since the last reporting period?" If yes, needs to explain • Answers eSNAP question, "In the next budget period, will there be a significant change in the level of effort for key personnel from what was approved for this project?" If yes, needs to explain • If answer to eSNAP 25% carryover balance is yes, with assistance from FM, answers question, "Why is there a significant balance and how will it be spent if carried forward into the next budget period?" • Completes the cumulative-to-date human subjects / gender / race / ethnicity "Inclusion Enrollment Report" for the project	• Creates RASCAL for Annual Progress Report • Updates Other Support pages for Key Personnel as needed for inclusion in the Progress Report • With assistance of the PI, uploads following documents into eSNAP pages of eRA Commons: updated Other Support, proof of GCP for any new key personnel, etc	• With assistance from PI, provides answer to eSNAP question, "Is it anticipated that there will be an estimated unobligated balance (including prior-year carryover) that will be greater than 25% of the current year's total budget?" • Assists PI with answer to eSNAP question, "Why is there a significant balance and how will it be spent if carried forward into the next budget period?"	
Submission of Annual Progress Report	MINIMUM of 45 days prior to current budget year end date	• Routes eSNAP Progress Report to SPO for review and submission	• Provides any back-up documentation to SPO		• SPO Reviews eSNAP Progress Report and submits to agency
NGA issued for next year of project	Normally just prior to next project year start date	• Meets with FM to develop detailed budget as needed	• Updates CUSON sponsored projects database accordingly	• Meets with PI to develop detailed budget as needed • Submits detailed budget to Financial Analyst as needed	• Financial Analyst issues new or revised SPBA
New or Revised SBPA is issued	1-2 weeks after NGA issued	• Reviews SPBA for accuracy		• Reviews SPBA for accuracy	
Annual Reconciliation and FSR (see "Post-Award: Annual Closing of Sponsored Project Accounts")					

II.E.2. POST-AWARD: Annual Progress Reports – Paper copy with Detailed Budget					
		Roles & Responsibilities			
Activity	**Time Frame**	**Principal Investigator**	**Director, ORR**	**Finance Manager**	**Other(s)**
Completion of Annual Progress Report	Due a MINIMUM of 60 days prior to current budget year end date	• Initiates eSNAP Progress Report in eRA Commons • Renews IRB protocol as needed for subsequent year of project • Notifies DRR of any changes to Key Personnel • Completes scientific portion of Progress Report • Provides list of publications resulting from the project to date • Answers eSNAP question, “Has there been a change in the “other support” of key personnel (or has there been any changes in named key personnel) since the last reporting period?” If yes, needs to explain • Answers eSNAP question, “In the next budget period, will there be a significant change in the level of effort for key personnel from what was approved for this project?” If yes, needs to explain • If answer to eSNAP 25% carryover balance is yes, answers question, “Why is there a significant balance and how will it be spent if carried forward into the next budget period?” • Works with FM to design detailed budget for next project year • Composes detailed budget justification for next project year • Completes the cumulative-to-date human subjects / gender / race / ethnicity “Inclusion Enrollment Report” for the project • Signs Progress Report cover letter	• Creates RASCAL for Annual Progress Report, finalizes and submits to SPO • Updates Other Support pages for Key Personnel for inclusion in the Progress Report • Completes Progress Report face page (PHS 2590) • Completes Key Personnel form page • With assistance of PI, creates Progress Report cover letter to be co-signed by PI and SPO	• With assistance from PI, provides answer to eSNAP question, “Is it anticipated that there will be an estimated unobligated balance (including prior-year carryover) that will be greater than 25% of the current year’s total budget?” • Works with PI and DRR to design detailed budget for next project year • Completes Progress Report Checklist page	• SPO reviews RASCAL • SPO reviews Progress Report, signs GCP page for new key personnel, and signs progress report cover page
Submission of Annual Progress Report	MINIMUM of 60 days prior to current budget year end date		• Copies completed progress report; distributes copies to PI and FM • Fedexes Completed Progress Report to Grants Management Office (or other individual as specified in NGA)		
NGA issued for next year of project	Normally just prior to next project year start date		• Updates CUSON sponsored projects database accordingly	• Submits detailed budget to Financial Analyst as needed	• Financial Analyst issues new or revised SPBA

II.E.2. POST-AWARD: Annual Progress Reports – Paper copy with Detailed Budget

		Roles & Responsibilities			
Activity	**Time Frame**	**Principal Investigator**	**Director, ORR**	**Finance Manager**	**Other(s)**
New or Revised SBPA is issued	1-2 weeks after NGA issued	• Reviews SPBA for accuracy		• Reviews SPBA for accuracy	
Annual Reconciliation and FSR (see "Post-Award: Annual Closing of Sponsored Project Accounts")					

II.F. POST-AWARD: Annual Closing of Sponsored Project Accounts

		Roles & Responsibilities		
Activity	**Time Frame**	**Principal Investigator**	**Finance Manager**	**Other(s)**
An project period or cycle ends and arrangements are made to close the account and send out year end reports **NOTE: Annual closing of account is applicable depending on type of project and NGA guidelines.**	30-90 days prior to the project period end date	1. Meets with FM to review last minute details (e.g., account balances) 2. Makes arrangements to spend down or carry forward any surpluses into next project year (if allowable) and/or correct overdrafts 3. Reviews report with FM and files report	1. Schedules meeting with PI to review last minute closing details 2. Correct all accounting problems 3. Prepares reconciliation and submits report to RF 4. Receives FSR, reviews, approves, and files 5. Coordinates with RF and RA any transfer of surpluses or overdrafts onto next project year (if allowable) or discretionary account (if non-government project)	1. RF reviews reconciliation and works with FM to finalize closing 2. FSR is released to FM for signature (depending on type of reporting required) 3. RF released FSR to agency and sends copy of report to FM and PI 4. RF works with FM and/or RA to arrange transfers of any account surpluses or overdrafts

II.G. POST-AWARD: No-Cost Extensions

		Roles & Responsibilities			
Activity	**Time Frame**	**Principal Investigator**	**Director, ORR**	**Finance Manager**	**Other(s)**
II.G.1. AGENCY APPROVAL NOT REQUIRED					
No-Cost Extension Request	Normally requested 1-2 months prior to end date of project; can be processed up to the day before end date	• Renews IRB protocol as needed for no-cost extension period • Completes the RA FDP / No-Cost Extension Request Form • E-mails FDP / No-Cost Extension Request to SPO for processing • Meets with FM to design detailed budget for the no-cost extension period	• Assists PI with administrative fields of the FDP / No-Cost Extension Request Form	• Provides PI with budgetary information needed on the FDP / No-Cost Extension Request Form • Meets with PI to design detailed budget for the no-cost extension period	• SPO reviews FDP / No-Cost Extension Form and submits formal request for a project extension in eRA Commons (1-year extension)
Revised SPBA Issued	1-2 weeks after No-Cost Extension Issued	• Reviews SPBA for accuracy • Meets with FM to re-budget as need	• Updates CUSON sponsored projects database with new end date and status of project	• Reviews SPBA for accuracy • Submits re-budgeting request to Financial Analyst as needed	
II.G.2. AGENCY APPROVAL REQUIRED					
No-Cost Extension Request	Normally requested 1-2 months prior to end date of project; process is dependent on instructions in the NGA	• Renews IRB protocol as needed for no-cost extension period • Submits written request and/or other paperwork to SPO as per instructions in the NGA • Meets with FM to design detailed budget for the no-cost extension period	• Assists PI with administrative elements as needed	• Provides PI with budgetary information (e.g., how much funds are available for no-cost extension and/or what funds must be returned to agency as per NGA instructions) • Meets with PI to design detailed budget for the no-cost extension period	1. SPO reviews request for a project extension to the appropriate agency contact as indicated in the NGA 2. Agency Contact provides permission in writing to issue a no-cost extension for a specified time frame 3. SPO forwards agency permission to Financial Analyst for SPBA revision
Revised SPBA Issued	1-2 weeks after No-Cost Extension Issued	• Reviews SPBA for accuracy • Meets with FM to re-budget as need	• Updates CUSON sponsored projects database with new end date and status of project	• Reviews SPBA for accuracy • Submits re-budgeting request to Financial Analyst as needed	

II.H. POST-AWARD: Final Progress Report					
		Roles & Responsibilities			
Activity	**Time Frame**	**Principal Investigator**	**Director, ORR**	**Finance Manager**	**Other(s)**
Completion of Final Progress Report	Due within 90 days of project end date	• Using PHS 2950 Progress Report page and then PHS 398/2590 Continuation pages, completes the Final Progress Report which includes: (1) a summary of the progress toward achievement of the originally stated aims, (2) a list of significant results, (3) a list of publications, (4) indication if children were involved in the study or how the study was relevant for conditions affecting children, and (5) description of any data, research materials, protocols, software or other information resulting from the research that is available to be shared with other investigators and how it may be accessed • Provides information on the inclusion of gender and minority study subjects by completing the "Gender and Minority Inclusion Table" (in the PHS 2590) • Completes, signs, and dates Final Invention Statement and Certification (HHS 568)	• Assists PI with completion of the Final Invention Statement and Certification • Obtains co-signature of SPO on Final Invention Report	• 1-2 months before project end date, contacts PI more frequently on the financial status of the account	• SPO reviews, signs, and dates Final Invention Statement and Certification
Submission of Final Progress Report	As soon as completed	• Provides DRR with completed Final Progress Report documents	• Submits the original plus one copy to the Grants Management Officer via Fedex	• Receives a copy of the Progress Report and Invention report from DRR for the office files and begins preparations for closing of the account	

II.I. POST-AWARD: Final Closing of Sponsored Project Accounts				
		Roles & Responsibilities		
Activity	**Time Frame**	**Principal Investigator**	**Finance Manager**	**Other(s)**
An sponsored project ends and arrangements are made to close the account and send out year end fiscal reports	30-90 days prior to the project end date	1. Meets with FM to review last minute details (e.g., account balances) 2. Makes arrangements to spend down any surpluses or correct overdrafts 3. Reviews final report with FM and files report	1. Schedules meeting with PI to review last minute closing details 2. Correct all accounting problems in account 3. Prepares reconciliation and submits report to RF 4. Receives FSR, reviews, approves, and files 5. Coordinates with RF and RA any spending of remaining funds or transfer of surpluses of overdrafts into discretionary or other active account (ONLY if non-government project)	1. RF reviews reconciliation and works with FM to finalize closing 2. FSR is released to FM for signature (depending on type of reporting required) 3. RF released FSR to agency and sends copy of report to FM and PI 4. RF works with FM and/or RA to arrange transfers of any account surpluses or overdrafts