Emory University  
Research Administration Services (RAS)  
Standard Operating Procedure (SOP)

TITLE: Award Set Up Process  
NUMBER: SOP – 2003  
VERSION: 4.0  
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PREPARED BY: Office of Research Administration, Research Administration Services and Office of Business Practice Improvement  
APPROVED BY: RAS Central Operations  
ASSOCIATED DOCUMENTS: none

I. PURPOSE

The Office of Sponsored Programs (OSP) and Finance, Grants and Contracts (FGC) is responsible for the acceptance and set up of awards and will be supported by the Research Administration Services (RAS) units. RAS units are responsible for providing OSP with a revised budget (if necessary), reviewing the Electronic Notice of Award (eNOA), and distributing the eNOA to co-collaborators.

II. INTRODUCTION:

When funding has been awarded by a sponsoring agency, the agency will send a Notice of Grant Award (NGA) to the institution, usually to OSP, the Principal Investigator (PI), or the Department. It is the responsibility of OSP to review all grant and contract awards and ensure that all terms and conditions required by the agency can be met and are consistent with the policies of the institution. In circumstances where an agency requests conditions or terms which either cannot be met or are out of conformance with internal policy, OSP will work with the agency to negotiate mutually acceptable alternative language. Once an award is accepted by the University, award setup in the PeopleSoft financial system and generation of a SmartKey is necessary for the PI to begin spending for the project. In addition, a bill plan must be established in Compass so that Emory can receive money from the sponsor. These activities are managed by OSP and FGC.

NOTE: Throughout this document, Notice of Grant Award (NGA) will be used to reference all types of grants and contracts.

The time-frame for processing an award can vary based on the complexity of the award and receipt of the required award documentation. A SmartKey will be generated within five business days of the receipt of the NGA and all supporting materials from the RAS by FGC. Complex Multi-Component Grants such as Program Projects may require more than five days for full setup. Under certain circumstances, Provisional Account Numbers can be setup with departmental/school approval (See SOP 2002).

In order to speed the issuance of SmartKeys, as of April 1st, 2014, OSP will establish SmartKeys for each project within an award. For awards with multiple projects, FGC will establish a budget in Compass of $100 for each associated project and the remainder of the total amount identified in the NGA will be entered as the budget for a master project in the PI’s department.

When detailed budgets are available, the Post-Award Administrator will have access to the Compass budget page to change the $100 initial budget to the amounts provided by the PI in the detailed budget. The Post-Award Administrator will work with the PI to establish Inter-Unit Collaborative Agreements (ICAs) for awards with multiple projects across departments.

As the SmartKey will be available from the start of the project, there will be no need for booking project expenses to a suspense account. However, until a detailed budget is loaded into Compass by the RAS unit, associated projects will show...
deficits against the original $100 budget. The $100 budget will be a flag that there has not been a detailed budget loaded into Compass for that project.

Types of Award Setups covered:

- New Award
- Continuations
- Supplements
- Award Modifications

III. PROCEDURE

General Procedure for all Award types (Grants steps 1-7, contracts steps 4-7)

1) Receipt of Award from Sponsor

   a) When a proposed project is awarded and accepted, the sponsor sends a NGA letter detailing the amount awarded and the terms and conditions. All awards must be received in Office of Sponsored Programs (OSP).

   b) If NGA is sent directly to the RAS unit or the Principal Investigator (PI), the Post Award Administrator will forward the NGA to OSP either via email or hand deliver, as required.

2) OSP will review the NGA and in circumstances where an agency requests conditions or terms which either cannot be met or are out of conformance with internal policy, OSP will work with the agency to negotiate mutually acceptable alternative language. In addition, OSP will review the NGA for restrictions and milestones. Once the needed information is provided to OSP (within 5 business days of the request), OSP will initiate award set-up process and forward to FGC, per internal process (please refer to ORA policy). FGC will begin award set up in Compass, generate an eNOA and SmartKey, per internal FGC processes. FGC will set up the bill plan, per internal FGC processes and establish the financial milestones on the FSR Milestones page.

   a) When the eNOA is completed, an automatically generated email will be sent to the appropriate listserv from ComSquared, proprietary software. The Post-Award Administrator will retrieve the eNOA from ComSquared and review for accuracy. The Post Award Administrator will also review the financial milestones and bill plan set up by FGC for conformity (accuracy and completeness) with the eNOA. If inaccuracies are found, the Post-Award Administrator will make a change request to the OSP Analyst assigned to their RAS unit.

3) The Post Award Administrator will email the eNOA to the PI and any other co-collaborators, including other RAS units of collaborating investigators as confirmation that the award has been granted. The Post Award Administrator will review award to determine if detailed budgets are needed in Compass and/or rebudgeting in projects is needed. If so, follow the appropriate job aid.

4) The Post Award Administrator will review the eNOA and may set up non-financial milestones on the Milestone page as per the relevant job aid.

IV. RESPONSIBILITY

Principal Investigator (PI):

- Responsible for verifying that the budget information is accurate, especially when there are outgoing subcontracts or revisions from the originally submitted budget.

Post Award Administrator:

- Respond to requests from OSP regarding information needed to set up award, such as a revised budget.
- Review eNOA for accuracy and notify OSP/FGC if changes need to be made.

Office of Sponsored Programs (OSP):
• Monitor e-mail for new awards.
• The OSP team works with the PI/RAS Personnel to gather any outstanding pre-award documentation (such as a revised budget or compliance approvals) and attaches these materials to the Compass record.
• Negotiation of acceptable award terms and initiation of the award set-up process.

Finance, Grants and Contracts (FGC):
• Set up award in Compass and issue a SmartKey and eNOA.
• Set up bill plan in Compass.

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