

SERVICE LEVEL AGREEMENT:
THOMAS JEFFERSON UNIVERSITY
RESEARCH ADMINISTRATION CENTER OF EXCELLENCE (RACE)

February 01, 2019

Table of Contents

Acronyms List	3
Section I – General Information and Objectives	4
SLA Purpose and Expectation	4
RACE Mission.....	4
RACE Vision	4
RACE Guiding Principles	4
RACE Goals.....	4
RACE Structure	5
Section II – RACE Service Components.....	5
Expectations for Response	5
RACE Services	6
Section III – RACE Performance Metrics.....	6
Tracking Effectiveness.....	6
Pre-award.....	6
Post-award	6
Faculty Service Related Metrics.....	7
Escalation Procedures: Failure to Meet Performance Expectations.....	7
Section IV – SLA Maintenance	7
Conditions Requiring Maintenance.....	7
Periodic Review of SLA	7
Ad Hoc Maintenance Requests	8
SLA Modification Review	8
Appendix.....	9
I. Business Processes	9
Pre-Award Services.....	9
Post-Award Services	10
II. Roles and Responsibilities Matrix	13
III. Purchase Program Components	29
RACE Purchasing Support	29
Sponsored Sources PCard	29
Departmental Purchasing	30

Acronyms List

1. **A/R:** Accounts Receivable
2. **Cayuse SP:** Cayuse Sponsored Programs
3. **CCR:** Central Contractor Registration
4. **CCRRC:** Cancer Clinical Research Review Committee
5. **CDA:** Confidentiality Disclosure Agreement
6. **CITI:** Collaborative Institutional Training Initiative
7. **COI:** Conflict of Interest
8. **eRA:** Electronic Research Administration
9. **F&A:** Facilities and Administrative
10. **PO:** Purchase Order
11. **FAC:** Faculty Advisory Committee
12. **FFR:** Federal Financial Report
13. **GA:** Grants Administrator
14. **GL:** General Ledger
15. **HR:** Human Resources
16. **IACUC:** Institutional Animal Care and Use Committee
17. **IDC:** Indirect Costs
18. **IDE:** Investigational Device Exemption
19. **IRB:** Institutional Review Board
20. **JIT:** Just in Time
21. **MCA:** Medicare Coverage Analysis
22. **MDG:** Multidisciplinary Groups
23. **NCE:** No Cost Extension
24. **NIH:** National Institutes of Health
25. **NOA:** Notice of Award
26. **NSF:** National Science Foundation
27. **ORA:** Office of Research Administration
28. **OSD:** Online Salary Distribution
29. **PAF:** Personnel Action Form
30. **PAR:** Personnel Action Request
31. **PI:** Principal Investigator
32. **PMS:** Payment Management System
33. **QCT:** Qualifying Clinical Trial
34. **R&D:** Research and Development
35. **RACE:** Research Administration Center of Excellence
36. **SFRAR:** Salaried Faculty Recruitment Authorization Request
37. **SLA:** Service Level Agreement
38. **SPAO:** Sponsored Program Accounting Office
39. **TJU:** Thomas Jefferson University
40. **UPAS:** University Prior Approval System

Section I – General Information and Objectives

SLA Purpose and Expectation

The purpose of this Service Level Agreement (SLA) is to establish the foundation for a cooperative partnership between the Research Administration Center of Excellence (RACE) and the departments, colleges, and campuses it serves.

This SLA will outline:

- The services that RACE offers and the working relationship between RACE and the departments, colleges, and campuses served
- The key performance indicators used to measure the quality of service provided

RACE will work closely with the departments to meet their research administration needs. Communication, feedback, and accountability are critical to ensure excellent service.

RACE Mission

RACE's mission is to provide pre- and post-award research administration to all of the departments of Thomas Jefferson University. Superior and standard service can be expected due to our staff members' expertise in pre- and post-award services, as well as their knowledge regarding the individual PIs, departments, institutes, colleges, and campuses they support.

RACE Vision

Handling the *business* of research so faculty can *perform* the research

RACE Guiding Principles

1. **Faculty Service:** Excellent service to faculty is at the core of everything we do. When problems arise, we focus on finding solutions.
2. **Communication:** We value open, genuine, and honest communication. We provide clear and transparent communications to our faculty and key stakeholders.
3. **Integrity and Respect:** We maintain a mutual respect for each other and those we serve. Integrity is fundamental to all of our transactions, and we keep the "big picture" for TJU in mind and resist the temptation to protect our local interests.

RACE Goals

1. High level of *expert and professional support* for all researchers on all campuses
2. *Clear roles and responsibilities* for RACE staff members and their faculty

3. ***Comprehensive and ongoing training*** for RACE staff members to ensure employees remain engaged and are constantly learning and growing
4. ***Professional and attainable career path*** for RACE staff to ensure we attract and retain the highest quality talent
5. ***Streamlined and standardized processes*** that support researchers and the increasingly complex and competitive research environment
6. ***Tailored solutions*** to research administration questions and issues that best meet the needs of TJU and faculty

RACE Structure

Each Department will have a designated RACE staff member to serve both pre- and post-award research administration needs from one of four RACE teams. If your RACE Grants Administrator is out of the office for a planned or unplanned absence, a designated back-up individual will be available to meet your needs from the same RACE team.

The current list of RACE teams and the departments they serve can be found on the Thomas Jefferson University RACE [website](#).

The Director of RACE reports to the Senior Vice President for Administration, with a secondary reporting relationship to the Executive Vice President and Chief Operating Officer. RACE performance evaluations will be based on input from the PIs and the department administrators with whom RACE works closely. During annual performance evaluations, the RACE Director and Associate Directors will solicit PI and department administrator views on the performance of the staff member serving the corresponding department. Should performance issues arise at other times, the PI, Dept. Chair or department administrator may contact the individual's supervisor. It is critical that performance issues are brought to the attention of supervisors as soon as they become a concern.

Section II – RACE Service Components

RACE Locations

The RACE offices serving your department are located in the **[INSERT LOCATION HERE]**. The expectation is that your RACE Grants Administrator is completely mobile and should meet you either in your office or lab, should you require an in-person meeting. In addition, drop-in visits to your Grants Administrator's office are always welcome; however, you are encouraged to call or e-mail to ensure your RACE Grants Administrator is in the office as they may be with another PI.

Expectations for Response

RACE staff will respond to any request (whether submitted by a PI, Dept. Chair or department administrator) submitted within **two business days**, with the understanding that when a PI and Grants Administrator are actively working on a proposal, communication will be more frequent. In the event that your RACE staff member is out of the office on a planned or unplanned absence, their designated back-up staff member will address your request. For

planned absences, RACE staff members will be required to notify their PIs and department administrators of the individual who will be serving as their back-up while they are gone. For unplanned absences, RACE staff members will be required to leave contact information for their back-up via their out-of-office message in Outlook.

While RACE staff will constantly strive to meet expected service goals, please be aware of the following annual events that may impact processing time:

- Increased financial reporting requirements due to the institution's annual budgeting process
- NIH proposal cycle deadlines
- TJU Fiscal Year closing

RACE Services

RACE will work with ORA, SPAO, the departments, and the PI who will collaborate and collectively be responsible for the entire award life cycle. RACE staff will also assist the PI by preparing any documentation required for review and approval by ORA or SPAO. High level roles and responsibilities are outlined below. A detailed roles and responsibilities matrix is included in the Appendix.

Section III – RACE Performance Metrics

Tracking Effectiveness

Timely, efficient, and accurate service and accountability are critical components of RACE. To ensure that we meet these goals, we will track key performance indicators.

The key performance indicators will be monitored by RACE management on a monthly basis and officially assessed annually with the Faculty Advisory Committee and senior leadership.

The Senior Vice President for Administration will also conduct an annual faculty satisfaction survey. Survey results will be used to identify areas where RACE is meeting or exceeding expectations, or where attention may be needed to improve service.

Key Performance Indicators

Pre-award

Service Level Measures

Percentage of proposals that **do not** require ORA to return them to RACE for revisions prior to submission to sponsor

Post-award

Compliance Risk and Service Level Measures

Number of Advance Accounts open greater than 90 days

Number of Accounts where the project period has ended and the account is in deficit (> \$1,000) or where there is a surplus remaining (> \$1,000)

Percentage of accounts reviewed with a PI quarterly

Number of Financial reports that are submitted past the sponsor due date

Number of Awards that are open, but the project has ended, greater than 90 days prior to current date
Number of cost transfers both greater than and less than 90 days prior to current date
Number of Effort reports certified by institutional due date

Faculty/Department Service Related Metrics

Service Level Measure
PI and department administrator satisfaction with RACE support (annual survey)
PI and department administrator transactional surveys available on the RACE website and in the e-mail signatures of RACE Team Members – available to be completed at any time

Escalation Procedures: Failure to Meet Performance Expectations

In the event that RACE fails to meet the expectations outlined in this document, a PI, Chair, Dean or Department Administrator can take the following steps:

- 1. Communicate the problem directly to your RACE staff member**
Strong communication is the key to the success of the partnership between the Departments and RACE. If a problem arises, the first step is to identify it specifically and discuss possible resolutions with your RACE staff member. Depending on the need, you may do this in a meeting in your office, phone call, or email to your RACE Grants Administrator.
- 2. Contact the appropriate RACE Associate Director**
If discussions with your RACE Grants Administrator fail to resolve the problem or if the issues become pervasive, contact the appropriate RACE Associate Director (the individual's direct supervisor). If you do not know to whom your RACE Grants Administrator reports, refer to the staff organizational chart (staff tab) on the RACE [website](#), or contact any of the RACE Associate Directors.
- 3. Contact RACE Director**
If discussions with the appropriate RACE Associate Director fail to resolve the problem, please contact the RACE Director to discuss the problem and identify a resolution.

Section IV – SLA Maintenance

Conditions Requiring Maintenance

The SLA should accurately reflect the services provided by RACE staff to the Departments that they serve. As processes and policies evolve, changes to services and service levels may be required. Updates and changes to the SLA can be identified, presented, and confirmed through the processes described below.

Periodic Review of SLA

The Senior Vice President for Administration, RACE Director, and Faculty Advisory Committee (FAC) will meet annually to review the SLA to determine whether the services and service level commitment are meeting the needs of the departments served. During the early stages of RACE implementation, more frequent review (as often as quarterly) may be necessary to ensure that the SLA accurately reflects the Pls' and departments' needs and the capacity of RACE to meet them.

Substantial changes in the University, such as a significant increase in sponsored research, should also prompt a review of the SLA.

Ad Hoc Maintenance Requests

The Senior Vice President for Administration, RACE Director, FAC, Department Chairs, Department Administrators and Deans can propose changes to the SLA outside of the regular review process. This review process is outlined below.

SLA Modification Review

The SLA will be reviewed for proposed changes/revisions and to consider any outstanding resource needs. The reviewers include the RACE Director, representatives from the Senior Vice President for Administration, FAC, Senior Administrators from the departments, as well as other central administration offices (e.g., ORA and SPAO).

The Senior Vice President for Administration, RACE Director, FAC, Department Chairs, Department Administrators and Deans may submit requested updates and recommendations, with a brief rationale for each recommendation. At the direction of the review committee, the RACE Director will make all approved changes to the SLA document. The SLA will be posted on the RACE [website](#) to promote accountability. The Senior Vice President for Administration and the RACE Director will be responsible for implementing changes to the SLA and communicating SLA changes to their stakeholder group.

Appendix

I. High Level Business Processes

The chart below outlines the high level business processes performed by RACE and the PI/Departments whom they serve. A detailed Roles & Responsibilities Matrix is contained in Appendix II.

Pre-Award Services

Process	RACE Responsibilities	PI/ Department Responsibilities
Identifying Funding Opportunities	<ul style="list-style-type: none"> Meets with PI in order to gauge interest in Funding Opportunity Announcements Collects and distributes targeted funding opportunities from all sources to PIs on Jefferson Research Website Schedules kickoff meeting to initiate proposal development once PI verifies interest 	<p>PI, in partnership with their Department Chair, makes final decision on whether or not to pursue the opportunity</p> <p>PI, utilizes Pivot Database supported through Jefferson's library</p>
Proposal Development	<ul style="list-style-type: none"> Manages Cayuse 424 / Cayuse SP Checklist Assists in development of budget Compiles all administrative components of proposal Contacts proposed subcontractors to gather required proposal components Drafts Letter of Intent, if applicable 	<ul style="list-style-type: none"> Dept. Chair approves proposed cost sharing PI alerts RACE Grants Administrator their intent to propose at least 4 weeks in advance of sponsor deadline PI completes scientific components of the proposal and assists in budget/budget justification development
Proposal Review and Submission	<ul style="list-style-type: none"> Compiles final proposal package, reviews, and routes Cayuse SP for approval 	<p>Dept. Chair and Senior Administrator approve Cayuse SP (Dept. is confirming that PI is allowed to submit the proposal, and that the department is committing appropriate resources)</p>
Just in Time Submissions	<ul style="list-style-type: none"> Prepares all administrative components of Just in Time or other pre-award requests from the sponsor Facilitates regulatory approvals required for Just in Time submissions Submits all materials to ORA or Sponsor 	<ul style="list-style-type: none"> PI prepares all scientific components of JIT submissions PI can delegate RACE GA to assist with a JIT in eRA Commons, if desired
Award Acceptance	<ul style="list-style-type: none"> Reviews award document and determines if revised budget is required Facilitates regulatory approvals required to accept award Revises budget based on awarded amount (if varies from proposed budget) 	<ul style="list-style-type: none"> PI approves revised budget, if necessary PI meets with RACE Grants Administrator to review award terms and conditions and grant purchasing guidelines

Process	RACE Responsibilities	PI/ Department Responsibilities
		<ul style="list-style-type: none"> Department Senior Administrator is notified of significant budget changes
Award Modifications	<ul style="list-style-type: none"> Identifies need for award modification that requires ORA or Sponsor prior approval Completes internally required forms (e.g., UPAS, Cayuse SP) In collaboration with PI, drafts letter of request to the Sponsor (if applicable) Forwards required forms to ORA for review, if applicable 	PI and Senior Administrator approves UPAS (for advance accounts, pre-award costs, and cost sharing)
Progress Report Submissions	<ul style="list-style-type: none"> Beginning 30 days prior to the due date of a progress report (or 45 days for paper submissions), prepares all administrative components for Progress Report submissions Facilitates regulatory approvals required for Progress Report submissions Submits all materials to ORA or Sponsor 	<ul style="list-style-type: none"> PI prepares all scientific components of Progress Report submissions (including ensuring the proper publications are linked in accordance with the NIH Public Access Policy) PI can delegate RACE GA to assist with a Progress Report in eRA Commons if desired

Post-Award Services

Process	RACE Responsibilities	PI/ Department Responsibilities
Budget Reconciliation	<ul style="list-style-type: none"> Monitors spend patterns on sponsored accounts by reviewing data from the general ledger on a regular basis and updating PI quarterly on balance and burn rate Documents data into RACE internal spreadsheet in order to make accurate projections for each grant and PI Submits Cost Transfers for unallowable expenses 	<ul style="list-style-type: none"> Department manages non-sponsored department accounts PI meets with RACE Grants Administrator on a quarterly basis (at a minimum) to review grant accounts and pending submissions Department Administrator may attend meetings if desired
Annual Budget Management	<ul style="list-style-type: none"> Compiles financial information from current and pending grants in order to accurately project out for the current and upcoming fiscal year (in consultation with PI) and provides the data to the department in the template that is required to ease data entry into Hyperion. 	Department Administrator incorporates information from RACE into annual department budget (including Hyperion data entry)

Process	RACE Responsibilities	PI/ Department Responsibilities
	<ul style="list-style-type: none"> Meets with Senior Administrator to review grant budget information 	
Salary Distribution	<ul style="list-style-type: none"> Completes OSD (Online Salary Distribution) Form for salary on 08x accounts Obtains approval for salary distribution from the PI 	<ul style="list-style-type: none"> Department Administrator approves OSD (if salary is hitting grant accounts and department non sponsored accounts) Department Administrator initiates PAR/ PAF/ SFRAR HR Forms
Effort Reporting	<ul style="list-style-type: none"> Reviews all effort reports to ensure accuracy in a timely fashion, allowing time for certifier (3 business days) Notifies Certifier once reports have been reviewed 	Approved Certifier – Certifies Effort Reports
Interim Financial Reporting	<ul style="list-style-type: none"> Reviews financial report for accuracy Verifies carryforward amount 	N/A
Cost Transfers	<ul style="list-style-type: none"> Reviews expenses on sponsored accounts on a regular basis and identifies expenses that must be transferred in accordance with the Sponsor, ORA, and TJU policies Prepares Cost Transfer form and completes > 90 day justification, if necessary Routes Cost Transfer form for approval 	<ul style="list-style-type: none"> Receives cost transfers that credit Department accounts for information purposes only Department Administrator approves cost transfers that debit Department accounts PI approves all cost transfers on sponsored accounts
Payment of Subcontract Invoices	<ul style="list-style-type: none"> Notifies ORA of subcontractors who are not submitting invoices in a timely manner Maintains record of all invoices submitted. Coordinates with ORA confirmation of accurate posting of invoices submitted to A/P for processing; Reviews subrecipient spending patterns with PI Informs ORA of payment or subrecipient performance issues 	<ul style="list-style-type: none"> PI approves subcontract final invoices for payment if desired (ORA policy does not require a PI approval, with exception of final invoices, under fixed price agreements & patient-related invoices. PI notifies RACE Grants Administrator and ORA should there be an issue with the work being completed by a subcontractor
Purchasing	<p><i>Detail regarding the three options for Purchasing are located in Appendix III.</i></p> <ul style="list-style-type: none"> Completes purchase for PI or PI's designee (if requested) Retains documentation related to purchases on sponsored projects Approves purchases on sponsored projects in Ascent and in Payment Net 	<ul style="list-style-type: none"> PI or PI's designee identifies need for purchase Completes purchasing request form (if utilizing RACE purchasing capability) Forwards purchase confirmations and packing slips to RACE for auditable file

Process	RACE Responsibilities	PI/ Department Responsibilities
Closeout	<ul style="list-style-type: none"> Reconcile all sponsored accounts in preparation for closeout Process OSDs required for grants that are ending Notify PI, purchasers, and senior department administrators that grant is ending at least 30 days prior to expiration Ensure final subcontract and consulting invoices are received Review final financial reports and invoices prior to submission to Sponsor Contact PI for technical report follow-up 	<ul style="list-style-type: none"> PI approves final financial reports PI completes all final technical reports required by Sponsor Department terminates employees (if applicable) once an award ends and processes paperwork as necessary

RACE will not provide support on the following matters related to sponsored awards:

- Maintaining faculty appointments
- Entering departmental annual budget information into Hyperion
- Travel arrangements or preparation of travel reimbursements
 - This includes travel related to conferences. Conference travel arrangements can include but are not limited to: registrations, abstracts, flight and hotel arrangements, and car rental.
- Coordination for department related meetings
 - This includes the coordination of catering, medical media services, audio visual preparations etc.

II. Roles and Responsibilities Matrix

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Identify Funding Opportunities (Pre-Award)					
Meets with PI in order to gauge interest in Funding Opportunity Announcements			X		
Creates, collects, and disseminates funding opportunities campus-wide on Jefferson Research Website			X	X	
Identifies specific funding opportunities based on research area and key word search through Pivot Database	X				
Corresponds with sponsors regarding specific funding opportunities	X				
Makes final decision on pursuit of funding opportunity	X	X			
Conducts periodic meeting with PI to discuss funding horizon and funded awards			X		
Maintains system access and system requirements for each potential sponsor				X	
Proposal preparation (Pre-Award)					
Manages planned applications for faculty via Cayuse SP working files / Cayuse 424			X		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Prepares and maintains Cayuse SP record for proposals due			x		
Prepares proposal - compiles administrative components (ie. Project Summary/Abstract, Project Narrative, Facilities and Other Resources, Equipment, Biographical Sketches, Subcontractor documents)			x		
Budget Development	x		x		
Prepares proposal - technical/scientific, letters of support (including budget justification as it relates to the specific aims of the proposal)	x				
Approves proposed cost sharing		x			
Obtains documentation from proposed subcontractors			x		
Drafts Letter of Intent (administrative or financial), if applicable. If a budget is required, PI should alert RACE Grants Administrator their intent to propose at least 2 weeks in advance of sponsor deadline.			x		
Drafts Letter of Intent (scientific), if applicable	x				
Maintains copies of Biosketch and Current/Pending Support,	x		x		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
documents in common files for use in future proposals					
Updates biosketches prior to proposal submission (including but not limited to: position title, education/training, personal statement, positions and honors, contributions to science, and research support)	x				
Completes, reviews, and routes proposal for approval			x		
Approves proposal	x	x		x	
Submits proposal to sponsor				x	
Award Reporting (Pre Award)					
Prepares all administrative components of Just in Time or other pre-award requests from the sponsor			x		
Verifies CITI certifications for human subject training is active			x		
Prepares protocol, if applicable	x				
Gathers regulatory approvals for JIT and Progress reports (IRB & IACUC)			x	x	
Prepares all administrative components of Progress Report submissions			x		
Verifies Carryforward Amount	x		x		
Prepares all scientific components of Just in Time and Progress Report submissions	x				

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
(including ensuring the proper publications are linked in accordance with NIH Public Access Policy)					
Submits material (Just in Time documents/responses) to sponsor				X	
Award Acceptance (Pre-Award)					
Reviews award document and determines if a revised budget is required			X		
Reviews award terms and conditions and grant purchasing guidelines with the PI			X		
Gathers regulatory approvals for JIT and Progress reports (IRB & IACUC)			X		
Prepares protocol, if applicable	X				
Prepares awarded budget (if different from proposed budget)			X		
Approves awarded budget (if different from proposed budget)	X	X			
Reviews and confirms effort/salary cap/cost sharing and subcontract execution			X		
Accepts grant award on behalf of TJU				X	
Negotiates contract or award with sponsor on behalf of TJU				X	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Participates in negotiations as advisor	x		x		
Prepares and approves NIH and other federal non-grant/contract arrangements				x	
Requests and monitors Advance Accounts			x		
Approves request for Advance Account		x		x	
Sets up award (or Advance) account in GL					x
Sets up award for transactional processes and systems (PeopleSoft/focus)					x
Completes Conflict of Interest Disclosures prior to expending funds on awarded grants	x				
Reviews to ensure COI is complete			x	x	
Award Modifications					
Identifies need for award modification	x		x		
Completes internally required forms (i.e. UPAS, Cayuse SP)			x		
Initiates request for No Cost Extension (NCE) or other award amendment			x		
Approves UPAS (for advance accounts, pre-award costs and cost sharing)		x			

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Drafts letter of request to the sponsor			X		
Reviews required forms and submits request to sponsor				X	
Award Management (Post-Award)					
Monitors spend pattern compared to budget			X		
Documents data into RACE internal spreadsheet in order to make accurate projections for each grant and PI			X		
Issues monthly grant management reports to RACE administrators and departmental administrators					X
Reviews all red flag charges to award (such as federal express, office supplies, postage etc.)			X		
Obtains periodic confirmation of salary distributions from PI - key personnel and research staff			X		
Completes reconciliation of grant accounts			X		
Resolves cost overruns on sponsored accounts via Cost Transfer			X		
Reviews status of grant accounts with PIs on a quarterly basis			X		
Prepares projections			X		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Analyzes Reserve				X	
Documents cost allocation methodologies			X	X	
Annual Award Management (Post- Award)					
Provides award and projection data for Hyperion for departmental budgeting			X		
Enters data for annual budgeting process into Hyperion		X			
Initiates request for re-budgeting			X		
Approves re-budgeting request				X	
Salary Distribution					
Initiates personnel changes (grant begin/end, prospective distribution changes)			X		
Reviews and manages personnel changes (personnel hiring/terminations, unscheduled status/rate changes *no retroactive increases, for example)		X			
Completes Online Salary Distribution Form (OSD) for 08x accounts			X		
Obtains approval for salary distribution			X		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Approves salary distribution	x	x		x	
Initiates PAR/ PAF/ SFRAR Human Resources Forms		x			
Approves PAR/ PAF/ SFRAR Human Resources Forms on sponsored accounts	x	x	x	x	
Posts personnel charges to GL					x
Posts fringe benefit adjustments to GL					x
Effort Reporting					
Triggers effort reports for review				x	
Reviews effort reports for accuracy			x		
Notifies certifiers once reports have been reviewed			x		
Certifies effort reports	x (Certifier)				
Tracks key personnel effort changes and identifies need to disclose to sponsor, if necessary			x		
Prepare key personnel effort change communication			x		
Discloses key personnel effort changes to sponsor				x	
Cost Transfers					
			x		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Prepares cost transfers and completes > 90 justification if necessary					
Approves cost transfers that involve transfers from research accounts to departmental accounts	x	x		x	
Approves cost transfers that involve transfers between research accounts	x			x	
Processes approved cost transfers					x
Review of animal charges	x		x		
Approves animal charges	x				
Monthly/ Quarterly IDC Report: Sends Data to Department for F&A Split upon request			x		
Monthly/ Quarterly IDC Report: Processes IDC Split		x			
Purchasing					
Allocates grant salaries/expenses/purchases	x		x		
Approves salary/expenses/purchases	x	x	x	x	
Ensures purchases appropriate to award period			x		
Equipment purchasing, tracking, and safeguarding	x	x	x		
Approves equipment purchases				x	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Posts PO encumbrance entries to GL					X
Approves requisitions			X	X	
Documents and prepares Professional Service Agreements			X		
Executes Professional Service Agreements				X	
Provides supporting documentation for p-card charges	X				
Approves and retains support for P-card charges		X	X		
Prepares employee reimbursement report		X			
Approve employee reimbursement report on sponsored accounts			X	X	
Prepares Travel Reimbursement forms	X	X			
Approves Travel Reimbursement on sponsored accounts			X	X	
Subrecipient monitoring					
Reviews invoices received prior to processing payment				X	
Reviews and follows-up on invoices with special terms and conditions				X	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Submits invoices for payment				x	
Addresses subrecipient questions regarding payment of invoices				x	x
Approves Invoices for payment	x				
Addresses performance issues with subrecipient and reports to RACE and central office immediately	x				
Closeout					
Prepares Final Invention statement	x				
Submits Final Invention statement				x	
Prepares final reconciliation/financial report/invoice					x
Notifies appropriate personnel and PI that grant is ending			x		
Completes final reconciliation and closeout grant account			x		
Processes OSDs required for ending grants			x		
Approves final financial report/invoice	x		x		
Submits financial report/invoice					x
Prepares final scientific and technical reports	x				
Reviews to ensure all technical reports have been delivered				x	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Prepares Relinquishing Statement			X		
Approves Relinquishing Statement				X	
Reconciles cost sharing with residual balances				X	
Inactivates award on GL so no longer available for transactions					X
Terminates employees if applicable, once award ends and processes paperwork		X			
Returns residual balance to sponsor, if required					X
Compliance & Interim Financial Reporting					
Ensures PMS updates are correct per prior institution FFR and NOA					X
Prepares external surveys				X	
Posts internal fees to GL					X
Posts monthly F&A allocation					X
Issues grant, PI, Department, College, and University statements and reports to all constituents				X	X
Approves variations to full rate as proposed by sponsors				X	
Disclosure for bond issues				X	
Submits annual CCR registration				X	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Completes annual disclosure in conjunction with TJU policy	x				
Works with TJU Research Administrative offices to ensure compliance	x		x	x	x
Invoicing, Accounts Receivable, and Cash Management					
Deposits checks related to sponsored accounts					x
Applies cash received to the proper sponsored award					x
Applies unidentified deposits to clearing account; prepares and approves cash transfer when identified and applied to sponsored project					x
Assists with the investigation of unidentified deposits (if needed)			x		
Prepares invoices for sponsored accounts (milestones, execution of contract, specified invoice schedule, and cost reimbursement)					x
Confirms when milestones are met for invoicing	x		x		
Provides additional information for sponsored account invoices (if needed)	x		x		
Submits invoices to sponsor					x
Identifies significant cash deficit on sponsored accounts			x	x	x

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Performs follow-up on accounts receivable for invoiceable projects (milestone and cost reimbursement)					X
Performs follow-up on accounts receivable for non-invoiceable projects (payment upon execution, scheduled payments, etc.)					X
Interprets and outlines payment terms on establishment memo				X	
Assists with follow-up for escalated accounts receivable upon issuance of third dunning notice			X		
Prepares cash transfers			X		
Approves cash transfers				X	
Posts cash transfers to GL					X
Applies electronic funds					X
Prepares and analyzes receivable/ advance balance sheet accounts					X
Posts interest earnings when applicable					X
Sponsor Communication (Pre and Post Award)					
Identifies need to contact sponsor	X		X	X	X

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Assists with drafting sponsor communication (letters requiring institutional signature)	x		x		
Contacts sponsor on behalf of TJU (letters requiring institutional signature)				x	x
Contacts sponsor on behalf of TJU (general pre and post award grants administration inquiries)				x	x
Other Activities					
Participates in continuing education	x		x	x	x
Coordinates all external audit requests				x	
Exhibits TJU and sponsor system proficiency			x	x	x
Responds to requests for information related to audits	x	x	x	x	x
Maintains current files (electronic) for use in audit requests			x	x	x
Ensures requisitions expensed and match exceptions addressed			x	x	
Maintains roles and users in sponsor systems				x	
Works with PI and sponsor to expedite transfer of award; confirm start date of employment			x	x	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Rate/ fee development, negotiation, and application				X	X
Posts TJU/H Subrecipient activity					X
Enacts related transactions; provides related management reports				X	X
Approves research incentive bonuses and coding				X	
Documents circumstances requiring JeffTemps and Work Study related to grants			X		
Prepare final equipment				X	
Provides PI- centric content for website			X	X	
Ensures regulatory/policy updates available to all			X	X	
Develops reports/queries as needed				X	X

III. Purchasing Program Components

Purchasing options will be extremely flexible. RACE will provide purchasing support in addition to the existing ordering methods through PCard and Ascent.

RACE Purchasing Support – Option 1

For researchers who do not have purchasing support in their departments, RACE will provide support in allocating charges and placing orders.

1. PI or designee will prepare an electronic (pdf) requisition that provides the information related to the purchase and the grant to be charged
2. RACE Purchasing Coordinator will confirm the allocation or calculate as needed (in cooperation with RACE Grants Administrators).
3. RACE Purchasing Coordinator will submit the order to the vendor using the most effective mechanism (PCard or Ascent).
4. RACE Purchasing Coordinator will forward confirmation of the order to the requestor by e-mail.
5. Order tracking and issue resolution remain the responsibility of the requestor. The requestor should notify RACE that the item has been received.
6. RACE Purchasing Coordinator will not go back to the requestor for approval of shipping costs, it is assumed these are approved in order to obtain the item requested.
7. Should the price be less than a \$50 difference from what has been estimated by the requestor, RACE Purchasing Coordinator will not obtain an additional approval from the requestor. Should the difference be greater than \$50, an additional approval will be required from the requestor.
8. Once the item is received, the requestor should send the packing slips to RACE so they may maintain full purchasing files.

Service Level: RACE will issue orders for requisitions received by 3:00pm on the same business day. Requisitions received after 3:00pm will be issued by noon the following business day. To the extent possible, RACE will accommodate rush requests, but work will be organized first-in/first-out.

Sponsored Sources PCard – Option 2

Users who wish to make PCard orders against sponsored funds must use a PCard specifically identified for this purpose. PCard holders placing fewer than 100 orders per year (approximately 144 PCard holders) are strongly encouraged to use the RACE Purchasing Support service.

1. The default account will remain the departmental account (By policy, PCards cannot default to sponsored sources).
2. These cards should be used for any sponsored source or combination of sponsored sources; different cards are not required for different grants.
3. These cards should be used for any transaction that includes sponsored sources (i.e., split funded with university sources).
4. Cardholders must have separate cards for sponsored programs purchases and departmental purchases.
5. The Cardholder will still be the reviewer and will be responsible for inserting comments regarding the transaction into PaymentNet. Comments must include the following:
 - a. Lab benefiting from the purchase
 - b. Description of item being purchased

- c. Allocation method for item, should it benefit multiple projects
6. The Cardholder will be responsible for obtaining all documentation (confirmation of transaction and packing slip) as required by Jefferson PCard Policy and forwarding them to RACE Purchasing Support (paper or electronic). RACE Purchasing Support will retain these for the official grant file.
7. RACE Grants Administrator will approve sponsored programs transactions in Payment Net.
8. For transactions that involve split sponsored program and departmental/non-sponsored fund sources, RACE will coordinate with the appropriate party to confirm that the appropriate sources are used.
9. RACE Purchasing Support will periodically perform audits on Cardholder documentation related to research purchases.
10. Issues due to cardholder non-compliance may not be an allowable charge to the grant.

Service Level: RACE will review and resolve all transactions placed on Sponsored Sources cards before the PaymentNet deadlines. **PCard reviewers must review their transactions 48 hours prior to the end of the monthly cycle.** In cases where a question or issue remains outstanding by the deadline, RACE will shift a transaction to the default account and then follow up with the appropriate financial administrator. In the exceptional case where a Pcard expense needs to be allocated to a sponsored account, RACE will perform the cost transfer with the review and approval of the RACE Director.

Vendor disputes (e.g., regarding receipt of order, defective order, or agreed-upon pricing) will be the responsibility of the requestor.

RACE will be able to recommend that PCards be suspended for non-compliant use or failure to properly document allocations in the comments sections of PaymentNet.

Departmental Purchasing – Option 3

Departments that have established processes and resources to support purchasing, may continue to use Ascent to place orders.

1. Ascent maintains the required approvals electronically. In cases where PI is not in the electronic workflow, Departmental purchaser will need to obtain a signed form and upload it to the Ascent transaction.
2. Workflow will be configured to allow RACE to review any orders against sponsored projects.
3. RACE will coordinate review of high-risk purchases (e.g., capital expenditures) with ORA.
4. Department is responsible for retaining receipt confirmation and all documentation related to order issue resolution (this will eventually need to be scanned and uploaded into Ascent).

Service Level: RACE will review and approve all requisitions (non-high risk) received by 4:00pm on the same business day. Requisitions received after 4:00pm will be reviewed and approved by 10:00am the following business day.