Office of Research

HARRIOT COLLEGE OF ARTS AND SCIENCES

RAMSES TRAINING MANUAL

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Noteworthy items are highlighted.
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RAMSeS (Research Administration Management System and electronic Submission) is ECU’s official proposal tracking and award management system. It is used to create and manage the official University records for all sponsored projects. Each record contains both financial and compliance information necessary for submission as well as financial management once an award has been made.

All proposals requesting funding for a grant, contract or cooperative agreement, whether submitted electronically or via hardcopy, must be routed through RAMSeS. This is accomplished by preparing an electronic Internal Processing Form (eIPF) which is mandatory for all applications regardless of the funding source or submission method.

This manual is designed to walk Research Administrators (RA) and Principal Investigators (PI) through creating and managing submissions in RAMSeS. If at any time you have problems, you should contact OSP at 328-9540 or ramses@ecu.edu for assistance.

RAMSeS Submissions

Log into RAMSeS to create or work with a current submission by going to the following link:
https://ecu.myresearchonline.org/rams

The first time you log in, or if you are using a different computer, you will see a box asking you to choose your campus, as seen in figure 1. From the drop down select “East Carolina University” and then check the box “Remember My Selection” and click the submit button (the selection will be remembered until the history has been cleared on the computer being used).

Enter your ECU passphrase (user id) and password at the next screen (see Figure 2).

If you have problems logging into RAMSeS, you should do the following:

First, if you log in using a saved short cut or favorite, go to OSP website and log in from their main page using the RAMSeS log in button: http://www.ecu.edu/osp/.

Second, attempt to reset your ECU passphrase by going to http://www.ecu.edu/cs-itcs/passphrasereset.cfm.
If resetting the passphrase does not work, contact OSP at 328-9540 or ramses@ecu.edu.

Once you are logged in, the screen will look like Figure 3 below. The home page, also referred to as the “Dashboard,” is where PIs or administrators create new or access prior submissions and awards. It is also the place for department heads and deans to access proposals for their respective departments or schools/colleges.

The menu links do the following:

- **Start New Proposal** – Where the RA or PI goes to create a new proposal
- **My Proposals** – List of all unsubmitted/submitted proposals that the user created or is named on
- **Proposals in My Dept** – Access for department heads/deans to all proposals from/associated with faculty in their department or school/college
- **Assumption of Risk Inbox** – OSP use only
- **My Awards** – List of all Active/Inactive awards for the PI logged in or anyone listed as an Administrative Contact on the award
- **Awards In My Dept** – Access for department heads/deans to all awards for/associated with faculty in their department or school/college
- **ARRA Submissions** – Used for accessing ARRA reports (only PIs who have an ARRA-funded project will see information here)
- **PI Certification Inbox** – Shows list of submissions that require the PI to electronically approve

**Noteworthy items are highlighted.**
Dept Approval Inbox – Shows list of submissions that require the department head's/dean's electronic approval

The center of the screen provides information about both the Proposal and Award Dashboards and provides links to the Frequently Asked Questions and Help files. The Help file is also accessible from every page within a proposal.

An Adobe printable document of a proposal can be obtained by clicking on the adobe icon at any time. This icon is found on the far right of the row for each proposal shown and under each menu option on the home page except for START NEW PROPOSAL and ARRA SUBMISSIONS. Within a proposal, the Adobe icon is located in the top left right beside the proposal number. The Adobe document contains all information that was entered while answering the questions on the eIPF, the name and size of every attachment associated with the proposal, and the date and time approvers required to “sign off” on the proposal complete this task (see Appendix 1 for an example).

Creating a new proposal

Click on the Start New Proposal link and begin filling in the required fields. Throughout RAMSeS, required fields are marked with a red asterisk (*). To aid you, the information related to these fields will be marked with an asterisk (*) in this documentation.

The first screen in RAMSeS is divided into two sections: Funding Agency(ies) and General Proposal Information (Figure 4, previous page).

Noteworthy items are highlighted.
General Information

The magnifying glass (🔍) to the right of any field enables a search of a pre-populated list. Each of these is based on keyword searches. Therefore, it is not necessary to type the entire agency name to retrieve the information. Instead, enter a portion or an abbreviation of the name. For instance, if the PI is applying to the National Institute of Child Health and Human Development (NICHD), the RA or PI should search using NIH, NICHD, Child Health, or Human Development to bring up a list of choices (Figures 5 & 6). This will regularize the official name of the agency in the RAMSeS record.

Funding Agency(ies)

* Funding Agency: Select the Agency/ Sponsor that will directly fund the research/project at ECU from the list in the popup window. Generally speaking, this is the Agency/ Sponsor whose name will be on the check to ECU or to whom OGC will send invoices. If the Sponsor is not listed, select “Organization Not Listed” and then enter the name of the Sponsor.

Funding Opportunity/Sponsor Application Number: If applicable, enter the alphanumeric number for this Request for Proposals (RFP)—in Grants.gov, this is called the Funding Opportunity Number (FON). This information is very helpful for all parties involved but especially with opportunities that utilize the Grants.gov application process.

Noteworthy items are highlighted.
Sponsor Program Name: If applicable, enter the name of the agency program for which the application is intended. For example, NSF offers many funding opportunities but each has a distinct name, such as the Postdoctoral Research Fellowships in Biology, Frontiers in Earth System Dynamics, or Paleo Perspectives in Climate Change.

Proposal Guideline URL: If applicable, enter the web address of the guidelines/instructions associated with the Sponsor's announcement and application materials.

Prime Funding Agency: The Prime Funding Agency field applies when ECU receives a sub-grant or subcontract from an intermediate funding source (e.g., NIH awards a grant to Duke and Duke awards a sub-grant to ECU. In this case, NIH is the Prime Funding Agency and Duke is the Funding Agency).

Address: Provide the address of the funding agency to which the proposal will be submitted.

Contact Phone: Provide the phone number for the contact person at the agency to which the proposal is being submitted.

The General Information consists of the following fields:

* Short Project Name: This may be different from the full Project Title and is used for tracking purposes.

* Project Start Date: Please use the calendar feature to select the proposed start date for the project.

* Project End Date: Please use the calendar feature to select the proposed project end date.

* Activity Type or Chess Code: Please select the most appropriate activity type from the drop-down list (e.g., Research, Training).

Proposal Type: Please select the appropriate label.

Supplement: Select this identifier if you are requesting additional new dollars, extending the period of performance, or requesting a change in the scope of work on an existing award.

New: Select this identifier if you are requesting new dollars NOT associated with an existing contract or grant.

Non-Competing Continuation/ Progress Report: Select this option if you are requesting release of dollars previously committed by sponsor/agency for an existing contract or grant. This option is...
also used to route a No Cost Extension request. If routing a no cost extension, PI should indicate effort on personnel page as “0%” and budgets will be “$0” on the budget page. This option will also require designation of a parent project, i.e., the original project. Click in this box and options will show – choose original project that is associated with this action. Upload project report as an attachment for routing/approvals.

Renewal (Competitive): Select this label if you are submitting a competitive proposal requesting new dollars for continuation of an existing award to establish a new budget period.

Preproposal: Select this label if you are submitting a preproposal that requires a budget and therefore college and/or university approvals. A&S requires all preproposals that give a bottomline budget amount, detailed budget and/or cost share be routed for approvals. See college policy http://www.ecu.edu/cs-cas/customcf/oor/preproposal.pdf

If your proposal does not match one of the descriptors above, please contact your College Grant Administrator or Office of Sponsored Programs representative to discuss the specific circumstances.

Award Type: Select the appropriate label.

*Will this proposal be submitted electronically to the Sponsor? Indicate if the proposal is to be submitted to the sponsor by an electronic method (i.e., Grants.gov, email, etc.).

Does the sponsor require a paper copy of this proposal or any part thereof? Please indicate if any physical documents are to be submitted to the sponsor. If this is the case, it will be necessary to bring the documents with a bar-coded cover sheet to the OSP office (the PI and eIPF creator will receive an email directing them to provide the cover sheet and any hardcopy documents once the eIPF has been approved by all departments). If paper copy is required, provide the number of copies and courier address proposal is to be mailed to. Additional mailing instructions can be left as a submission note.

*Is this a SNAP? (Streamlined, Non-Competing, Award Process): Please indicate if this proposal is being completed for a SNAP. For more information about SNAPs, working with NIH, and eRA Commons, go to http://era.nih.gov/services_for_applicants/reports_and_closeout/esnap.dfm.

Noteworthy items are highlighted.
Is this proposal being submitted for funding under the American Recovery & Reinvestment Act (Stimulus Funding)?

* Award Admin Department (Lead Unit): Select the ECU Department that will receive the award and that ultimately has management oversight of the contract or grant. This unit will receive all OGC post award information such as monthly financial statements.

Primary Administrative Contact: In most instances, this will be your department’s lead administrator. Click in this box to be taken to a module where you can search for that person. In rare cases, an award may be administered by admin personnel outside the awarding unit. If an arrangement has been made, indicate that person here.

Affiliated Center/Institute: Select other ECU Centers/Institutes that will contribute space, personnel, or equipment to this project. (This information is pulled from the departmental pick list.)

Sponsor Deadline: Enter the date by which the proposal must be received at the Agency/Sponsor. Please indicate whether receipt will be noted based on the day the proposal was sent (postmark) or the day the proposal was received by the sponsor (receipt date). Generally, OSP and OGC review proposals in the order in which they are received. Proposals should be submitted in RAMSeSa minimum of five business days prior to the sponsor deadline to ensure proper review and timely submission. (When proposals are not internally routed within the above timeframe, they will still be processed and submitted.)

Previous ECU Account Number (6 digits): To assist with review, if this proposal amends, supplements, renews, or continues an existing project, provide the most recent ECU account number.

* Title of Project: Include the full title of the proposal that ECU is submitting to the Funding Agency. This title should match the title on the cover letter, the face page that will be sent to the sponsor, and the title listed on the abstract.

Once all the required fields have been completed, the “SAVE” button located at the bottom of the page should be clicked. Once the information has been saved, the proposal is assigned a number and a new menu will appear. This initial menu will have only the General Info and Submission Notes sections checked as complete.
As you complete each section, it will be checked off (see Figure 9 below). Once all sections are completed, you can click the SUBMIT button to route the proposal for electronic signatures. Don’t forget to certify!!!

Investigators/Research Team

In the Investigators/Research Team section, you will provide the requested information about all individuals involved with this proposal. The research team must include individuals named in the budget as well as administrative contacts and investigators whose research protocols (human and animal) may be used on the project (see definitions below).

NOTE: Contact your College Grants Administrator or OSP if you have questions about who should and should not be added to the Research Team and Key Personnel listing. A&Spolicy is to add your department administrator and the college grants and contracts administrator, Melody Bentz, as an administrative contact so they can assist with review and revisions, as required.

To add an Investigator:

Click the magnifying glass icon and a pop-up window will appear that will allow you to search the ECU database by last name. If you cannot find an individual on the list, please contact ramses@ecu.edu or 328-9540. For each research team member, enter the
corresponding phone, email address, department, role (see below), and expected percentage of effort (see below). In addition, if an individual holds dual appointments and the wrong department, in respect to your proposal, appears, you may change the department. (See Figure 10 below.)

Role: There are several role types but the first person entered MUST be listed as the Lead Principal Investigator. Below is a listing of role types from which to choose.

- **Lead Principal Investigator**: Every proposal must have one (1) Lead Principal Investigator. This individual is responsible for the technical, regulatory, and financial aspects of the project. Please verify that the person listed as the Lead PI is eligible to serve in accordance with the following ECU policy: Only full-time permanent EPA employees are eligible to serve as Principal Investigators on sponsored research projects. Any exceptions require the approval of the department chair and the appropriate dean. For additional guidance on this policy, please contact OSP at 328-9540.

- **Principal Investigator**: This individual should only be selected if the Sponsor allows for multiple PIs, meets all of the criteria for a PI, and is not the Lead Principal Investigator. The classification Principal Investigator in RAMSESeS corresponds with...
the title Co-PI as used by funding agencies. All principal investigators have to certify the proposal in RAMSeS.

- Investigator: This individual is considered to be a primary contributor to the successful conduct of a research project. Investigators are not required to certify the RAMSeS proposal, but their respective department heads and Deans will have to authorize the proposal.

- Fellow: This individual is a student, pre or postdoc, applying for a fellowship or support for dissertation research whose mentor is the Lead Principal Investigator on this proposal.

- PostDoc: This individual has received a doctoral degree and serves on the research project.

- Administrative Contact: This individual has proposal edit rights, but is not named in the budget (e.g., department contract and grant manager). *REMEMBER NEVER* add the OSP or OGC points of contacts as an Administrative Contact. They have access to all proposals in RAMSeS and adding them could hold up a proposal because of unnecessary delays caused by the related routing and approval issues.

- Other: This individual does not meet any of the above definitions.

RAMSeS does not view Investigators the same as most agencies do. The Lead Principal Investigator would be the equivalent of a Principal Investigator with NIH or NSF and Principal Investigator would be equivalent to Co-Principal Investigators. When in doubt which to choose, contact your college grant administrator for assistance. **ECU requires that only one individual serve in the "lead" investigator role.**

% Effort: This is the "Budgeted % Effort for the Initial Project Year or the first budget year the individual is included on the project". Effort paid by the sponsor should be listed in the "Sponsored Effort %" column. Any effort commitment from ECU should be listed in the "Cost Shared Effort %" column.

Contract Type is type of contract in which the effort is applied and normally falls within three categories: 12 (CY); 9 (AY) or 3 (summer). If faculty on 9 month contracts are being paid or cost sharing effort in both the AY and summer, then the effort should be converted to a 12-month % and entered in RAMSeS as contract type 12. For example, faculty on a 9-month contract is requesting that the sponsor pay salary in the AY for 9 months @ 14%; and 3 summer months at 50%. The academic year conversion to 12 month = 10.50 months and the summer conversion to 12 month = 12.50. Therefore, the effort should be reflected in RAMSeS under "Sponsored % Effort" at 23% of 12 months. The A&S College Grants

Noteworthy items are highlighted.
Program Specialist has a 12-month conversion chart available. Email betcherg@ecu.edu to request a copy of the chart to be sent to you via email or check the OOR website.

Example:

<table>
<thead>
<tr>
<th>9-Month Faculty EPA Salary (1310)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor</td>
</tr>
<tr>
<td>Mos. Effort</td>
</tr>
<tr>
<td>---------</td>
</tr>
<tr>
<td>9.0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Summer Salary/9-Month Faculty (1000)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor</td>
</tr>
<tr>
<td>Mos. Effort</td>
</tr>
<tr>
<td>---------</td>
</tr>
<tr>
<td>3.0</td>
</tr>
</tbody>
</table>

14% of 9 months 10.50 of 12 months
50% of 3 months 12.50 of 12 months

% 12 Month Effort 23.00%

PIs are encouraged to discuss release time and buy out questions with their department chair well in advance of RAMSES submissions.

List of Investigators

The Lead Principal Investigator and all Co/Principal Investigators will receive an electronic notification to certify their role on this project prior to submission to the Sponsor. (You may go back and “Remove” an individual who has been previously accepted. If you need to make changes to an Investigator already added to the proposal, you may click on the "Edit" link to the left of the individual’s information. (See Figure 11)
Budget

Fill in the budget information for the initial and total period of the project (see Figure 12 on next page). If the project is just one year, complete the Initial Period and then click the “Click Here if this is a one year project” link located to the left of “Total Budget/Total Request.”

Do not use commas to separate hundreds, thousands, and millions in the budget fields. RAMSeS will not process the information if commas are included.

Initial/Current Budget Period (see figure 12, next page)

The initial period is the first year of the project.

- **Begin Date**: The start date for the initial period/first year of the project. The begin date comes over from the information entered on the General Info screen.
- **End Date**: The completion date of the initial period/first year of the project which will be 365 days after the begin date (for example, a July 1st start has a June 30th end date the following year).
- **Direct**: The estimated direct costs for the first budget year of the project. (Do not use commas to separate hundreds, thousands, and millions.)
- **F&A Base and F&A Base 2 (or Modified Total Direct Costs [MTDC])**: All salaries and wages, fringe benefits, materials and supplies, services, travel and subcontracts up to $25,000 of each subcontract (regardless of the period covered by the subcontract). ECU’s F&A base excludes equipment, capital expenditures, and charges for patient care and tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subcontract in excess of $25,000. Equipment is defined as an item costing $5000 or more per unit. (Reminder: Mandatory in-state tuition for eligible GRAs on research grants must be excluded from the F&A cost base for each budget year.)
- **F&A Rate and F&A Rate 2**: The F&A rate defaults to the current Organized Research rate, but may be changed by clicking “Change Rate” and entering a different rate in the field. More information on F&A rates is available on the following OSP website:  
  http://www.ecu.edu/osp/Proposal-Dev.cfm
- **Required Submission Note**: If the F&A rate is different from any of the University’s rates, it is required that you include a submission note with your proposal telling why the rate is different (see submission note instructions below). If it is agency mandated, instruct OSP

Noteworthy items are highlighted.
where to find this information in the guidelines for the project, or preferred, upload a copy of the sponsor’s guidelines as an attachment.

- F&A Amount and F&A Amount 2: Click “Calculate Amt” to obtain the product of the F&A base and the F&A rate. If necessary, this field may be edited manually. More information on F&A rates is available on the following OSP web site: http://www.ecu.edu/cs-acad/grants/upload/POLDistributionofFACRecoveries-6.pdf

- Initial Funds Req (Requested): This field may either be calculated by clicking “Calculate Total” or changed manually.

If your project lasts only one year, you should click the "Click Here if this is a one year project" link to the right of Total Period/Total Request. This will copy the information from the Initial Period to the Total Period so that you do not have to enter the information again.

**Total Period/ Total Request**

Enter the cumulative fiscal information for the entire grant funded period in these fields. Total period include all years of the proposed project. This could be one year or multiple years.

**Cost Sharing or Cash Matching (initial/ current budget period)** figure 13

NOTE: All cost sharing must be documented in accordance with the new OSP cost sharing policy. The Lead Principal Investigator and his/her department chair must concur with and commit to any cost shared resources.

Noteworthy items are highlighted.
Does the proposal include any “mandatory/reportable” funds or contributions in the form of cost sharing or cash matching as per the below definitions? Please indicate whether this proposal commits ECU, the Department or Center/Institute, and/or a subcontractor to provide cost sharing or cash matching in support of the project. If the answer is yes, please select the unit on campus that will be providing the match by clicking on the blue link that reads “Click Here to Add Cost Sharing/Cash Matching Unit.” You will need to provide the unit, amount and account number from which the funds are to be drawn (see figure 13).

- If yes, check the appropriate type(s): Please check all that apply.

From the OSP Policy: Procedures for Identifying cost sharing in RAMSeS

Definitions

Cost sharing: Cost sharing are those allowable, allocable and reasonable expenses of a sponsored project that are not borne by the sponsor. Cost sharing may be reportable and if so, it’s an auditable expense. Cost sharing may also be described as matching funds, leveraging funds, institutional contribution.
Reportable, mandatory cost sharing: Costs that are direct to the project, but not born by the sponsor. In fact, the sponsor requires that ECU bear a portion of project costs, usually represented by a ratio or percent of total project costs. Such costs must be allowable and allocable to the project and paid from a variety of sources, however federal funds, including flow through funds, cannot be used as a cost share on other federal grants. All cost sharing is reported by ECU on periodic and final financial reports to the sponsor and the ECU auditors.

Reportable, voluntary cost sharing: Costs those are direct to the project, but not borne by or required as a contribution by the sponsor. If cost sharing is volunteered on a project and is included in the sponsor budget, it automatically becomes auditable and reportable to the sponsor. Voluntary cost sharing is strongly discourages and must be approved by the Dept. Chair, Dean and VC-RGS prior to proposal submission.

Non-reportable, voluntary cost sharing: Costs that are direct to a project but are NOT required by the sponsor, not included/noted in the sponsor budget and not reportable on financial reports to the sponsor. Non-reportable, voluntary cost sharing is a long standing tradition in academia and is how universities subsidize the research enterprise.

An example of this is the effort provided by faculty on a sponsored program during the academic year and paid by a state funded salary line. An additional example is the under recovery of F&A, i.e. ECU’s negotiated F&A rate is 47%, however a sponsor will pay 10% F&A. The difference between the negotiated rate and the allowed 10% is an under recovered F&A, as well as a voluntary cost share that is not reportable to the sponsor.

Non-Reportable, mandatory cost sharing: There really isn’t cost sharing that is both required by the sponsor, but not reportable. Remember, the inclusion of numbers in the budget or narrative of the proposal sent to the sponsor transforms it into reportable cost sharing.

Only reportable cost sharing is identified in RAMSeS. It will be either Mandatory and/or voluntary as described in one of the definitions above and for which RAMSeS has data entry fields. Under recovery of F&A will NOT be shown as a cost share unless it’s included in the proposal budget and will be reportable to the sponsor. The portion of salary that exceeds a sponsor’s salary cap will only be shown as a cost share when it is reportable to the sponsor. “In kind” represents goods/services with a cash value that are provided by a party other than ECU. Matching represents the amount and sources of funds from ECU that will be reported to the sponsor.

Other Definitions

In-Kind: Normally encountered in public service-oriented projects involving the contribution of services from outside the University. Such services might be donated by student tutors, private MDs, dentists, volunteers, etc., or consist of property donated by non-federal third parties. Although the University does not pay for such services, these must be documented and should, at a minimum, entail a record of dates and time donated.
by the individual. **IMPORTANT: FAILURE TO MEET OR ADEQUATELY DOCUMENT IN-KIND CONTRIBUTIONS COULD RESULT IN A PRO-RATA PORTION OF UNIVERSITY INCURRED COST BEING DISALLOWED AND THE CREATION OF A SERIOUS FINANCIAL PROBLEM.**

Matching: Involves a University contribution of funds specifically appropriated for and allocated to the project. The allocation and billing of project costs is processed in accordance with the agreement—for example, 75% Federal and 25% non-Federal.

Salary Cap: A mandatory form of cost sharing whereby a sponsor (typically the NIH) places an upper limit on the salary payable to a PI.

Other: Use this field to describe other types of cost sharing or cash matching.

Are you requesting the Vice Chancellor for Research and Economic Development (ORED) provide funds to support this proposal? Please indicate whether this proposal commits ECU or a subcontractor, not the Department/Institute, to provide cost sharing or cash matching in support of this project.

**Required Submission Note** regarding matching: If cost sharing or cash matching is to be included in your proposal, please provide a submission note (see submission note instructions below) that lets OSP and other IPF approvers know if it is required or voluntary. If the cost sharing/cash match is mandatory, please include sufficient information in your submission note to allow IPF approvers to find the stipulation in the project’s guidelines.

**Personnel/Space/Equipment**

Do you need additional resources to do this project over and above what is requested in the proposal budget? If the answer to this question is yes, check any options that apply and provide justification for each in the space provided as well as indicating if approvals from your (or other) department(s) have been obtained for allocation of these additional resources. Once all sections of the budget page have been completed, click the Save button to retain the information that has been added and move to the next step in completing the RAMSeS proposal.

**F&A Sharing**

If more than one department has an investigator listed on the personnel page and F&A is being recovered, the PI must indicate the “split” between departments here. Total of all %’s must add up to 100%. If awarded, OGC will set up the account (F&A split) as noted here. **As a rule, dual appointees should split F&A sharing 50/50 between the departments.**

Noteworthy items are highlighted.
Conflict of Interest [http://www.ecu.edu/cs-acad/rgs/conflicts.cfm]

PIs must ensure that members of the Research Team are not involved in activities that may create an actual or perceived conflict of interest as it would relate to the conduct of the research and/or a member of the research or project team’s relationship with the sponsor. If you think a conflict exists, see ECU’s Policy on Conflicts of Interest and Commitment.

Once all questions have been answered, click the “Save” button to save the information entered and to advance to the next page of the RAMSeS file.

Research Subjects
For both human and animal subjects, answer the questions as they apply to the current project.

Human Subjects [http://www.ecu.edu/cs-acad/rgs/humansubjects.cfm]

If the proposal involves human subjects and submission to the IRB has been completed, provide the protocol number assigned by the IRB. Clicking on the magnifying glass (🔍) will allow you to identify all human subject protocols for every member of the research team who is listed on the Investigator/Research Team page. Select the relevant protocol(s) for this proposal from the list (see Figure 14 below). At this time, you should begin the OHRI’s e-Pirate process.

The remaining Yes/No questions are necessary for IRBs to accurately link research proposals with approved protocol(s). Please answer these questions to facilitate the work of the IRB.

If the proposal involves human subjects and no submission to the IRB has been made, indicate:

- **JIT (Just in Time processing):** This indicates that submission of a protocol will be made to the IRB once ECU is notified that funding/award is imminent.
- **Not Submitted:** Some explanation required. The PI will need to know why this option exists and how it differs from JIT.

Noteworthy items are highlighted.
Animal Subjects  http://www.ecu.edu/cs-acad/rgs/animalwelfare.cfm

If the proposal involves animal subjects and submission to the Institutional Animal Care and Use Committee (IACUC) has been completed, provide the protocol number assigned. Clicking on the magnifying glass (🔍) will allow you to identify all animal protocols for every member of the research team who is listed on the Investigator/Research Team page. Select the relevant protocol(s) for this proposal from the list.

The remaining Yes/No questions are necessary for the IACUC to accurately link research proposals with approved protocol(s). Please answer these questions to facilitate the work of the IACUC.

If the proposal involves animal subjects and no submission to the IACUC has been made, indicate:

- JIT (Just in Time processing): This indicates that submission of a protocol will be made to the IACUC once ECU is notified that funding/award is imminent.

- Not Submitted: Some explanation required. The PI will need to know why this option exists and how it differs from JIT.

Research Materials

Special ECU clearances may be required if these types of research materials are used in the sponsored project. If any of the hazardous research materials listed will be employed in the project, please contact Office of Safety for guidance regarding these questions at safety@ecu.edu.

Once all questions have been answered, click the “Save” button to save the information entered and advance to the next page of the RAMSES file.

Subcontractors

If subcontractors are included as part of the proposal, list the subcontractor names and provide the information requested below (see Figure 15). Search for subcontractors by key word (i.e., one word from the subcontractor’s legal name) (🔍); if the subcontractor is not listed, use the Not Listed option to manually add the subcontractor.
Items to include as attachments related to subcontractors (see below for instructions related to attachments):

1) Subcontractor statement of work
2) Subcontractor budget
3) Subcontractor budget justification
4) If NIH is the sponsoring agency, include a 398 and a 2590 face page, budget pages for initial and subsequent years, budget justification, checklist, and Subcontract Commitment Letter.
5) If NIH is not the Sponsor Agency, a Subcontract Commitment Letter is still a necessary attachment.

Additional information that may be required includes (1) the negotiated Indirect Cost Rate Agreement and (2) Representations and Certifications.

If the project has no subcontractors, click the No Subcontractors button to save the page and advance in the RAMSeS file.

Export Control  [http://www.ecu.edu/cs-acad/rgs/export.cfm](http://www.ecu.edu/cs-acad/rgs/export.cfm)

The Export Control page has been created to assist with determining whether compliance issues exist. There is also information about this topic available on various sponsor websites. Your college
administrator and/or OSP will assist PIs in assessing the application of such regulations, but primary compliance responsibility will rest with the Lead Principal Investigator for the project or program. If you have any questions about export control regulations, please contact John Chinn, Director, Office of Research Compliance Administration at 328-9473 or visit the Export Control website http://www.ecu.edu/cs-acad/rgs/export.cfm.

With respect to Export Controls, the Lead Principal Investigator shall determine, with assistance from the ORCA or input that any research affected by the Export Control Act complies (in advance of/before initiation of the project) with the Act’s regulations and reporting requirements in order that an export license can be obtained, should one be required. The Lead PI shall also determine whether any change in the scope or addition of new staff may require a reassessment of this determination.

As a result, the Lead PI must complete the Export Control screen in RAMSeS (see Figure 16 next page) by answering the following questions:

* Do you anticipate sending/transporting anything or receiving anything from outside of the U.S.?

  This applies to both actually exporting or importing equipment or other items or hand-carrying items into or out of the country.

* Do you anticipate any travel outside the U.S. associated with this project?

  This question applies to any member of the research team.

* Will you send your research results to a foreign country or foreign national?

  This applies to unpublished documentation. The term "foreign national" is defined as a person (individual as well as a corporation, business, association, partnership, society, trust, or any other entity, organization, or group, including government entities) who is not a lawful permanent resident of the United States (i.e., an individual who has not been lawfully accorded the privilege of residing permanently in the United States as an immigrant in accordance with the immigration laws or who is not a protected individual). In addition, the term "foreign national" also applies to a person who has not been issued a "green card" by the U.S. government, or who possesses only a student visa.
* Is any member of the research team a foreign national? See above for definition.

* Does this proposal involve carrying out classified research, not to include work with "select agents," on campus or require a security clearance for ECU personnel?

Once all questions have been answered, click the Save button to save the information entered and advance to the next step in the RAMSeS file.

Intellectual Property [http://www.ecu.edu/ott/](http://www.ecu.edu/ott/)

Management of intellectual property has significant overlap with management of sponsored research. Contractual terms in sponsored research agreements and licensing or material transfer agreements can sometimes conflict. Your answers to these questions will help OSP speed communication and avoid problems that may delay your project (see figure 17).

For additional information regarding any of your intellectual property questions, please contact the Office of Technology Transfer (OTT) or visit OTT’s Frequently Asked Questions and Answers About Patents & Licensing [http://www.ecu.edu/cs-acad/ott/faq.cfm](http://www.ecu.edu/cs-acad/ott/faq.cfm).

**Noteworthy items are highlighted.**
Disclosure: Disclosure refers to the submission of a Confidential Disclosure Agreement Form (CDA) to the OTT. A CDA may lead to the filing of a patent application and may further lead to commercial licensing of the invention, regardless of whether a patent application was filed. A CDA may be submitted electronically to the OTT email address.

Patent: A patent is a federal grant based on an invention that gives the holder the right to exclude others from making, using, or selling the invention. A patent application gives notice that such rights may arise in the future; however, the right to exclude others begins only when the patent is issued.

Sponsored research projects may focus on further development of ECU inventions already claimed in a patent or patent application, or patented inventions owned by outside parties may be relevant to the project. Situations of this type make it necessary for OSP to address these issues appropriately in the sponsored research agreement and this requires the information requested in this section of RAMSeS.

Transfer Agreement: A transfer agreement can be a Material Transfer Agreement (MTA), academic or research use license, or any other written agreement under which the ECU researcher has
obtained the limited right to use something owned by another entity. ECU researchers also share materials with outside parties under an MTA or other forms of research use licenses.

Should the sponsored research proposal contemplate using materials, data, or software obtained under such an agreement, OSP must take care to avoid conflicting obligations between the transfer agreement and the sponsor of the proposed research.

License: A license is a written agreement whereby the owner of property grants limited rights related to that property to another. A commercial license for tangible property (material) or intellectual property typically grants the right to make, use, or sell the property.

If an ECU invention is licensed to a commercial entity and is also to be used or further developed in the proposed research, OSP must take care to avoid granting rights for that invention to the sponsor of the proposed research.

In order to complete this section of the RAMSeSfile, you must answer the following questions:

Is this proposal an SBIR (Small Business Innovation Research Program)?

SBIR is a highly competitive program that encourages small businesses to explore their technological potential and provides incentives to profit from the commercialization of said technology.

Is this proposal an STTR (Small Business Technology Transfer Program)?

STTR is an important small business program that expands funding opportunities in the federal innovation research and development arena. Central to the program is expansion of the public/private sector partnerships to include joint venture opportunities for small businesses and the nation's premier nonprofit research institutions.

Once all questions have been answered, click the Save button to save the information entered and advance to the next section of the RAMSeSfile.

Community Benefits

All sponsored programs provide benefits in the sense of institutional support, employment, training of students, and the economic multiplier effect (e.g., university, employee, student, and visitor spending). However, these questions are intended to address projects that emphasize benefits to North Carolina citizens beyond the immediate university community. Please check all
that apply to the proposed project. In addition to answering each of the principal questions, please respond to the subpoints that identify the location or extent of the expected benefit.

* Does this project promote economic development?

* Does this project provide information, services or other resources directly to the community?

* Does this project promote the health and well-being of community residents?

* Does this project involve the study of birth?

* Does this project promote adult education and/or life-long learning?

* Does this project involve research with an Institute or Center within ECU?

**“UNC Tomorrow”** – The information requested in this section is being gathered at the UNC General Administration’s request to assist them in reporting on research activities that meet the needs of North Carolina's citizens as outlined in the UNC Tomorrow report (see Figure 18).

* Please Select Primary Activity – Please select one or more of the listed categories that best describe(s) the primary activity(ies) in your proposal. The options are: Global Readiness; Increasing Access to Higher Education; Improving Public Education; Economic Transformation and Community Development; Health; Environment; or “Other.”

Noteworthy items are highlighted.
Once all questions have been answered, click the Save button to save the information entered and move to the next section of the RAMSeS proposal record.

**Location of Sponsored Activities (important to validate F&A rate!)**

For each location added, a percent of time must be provided (i.e., under the In-State County heading an entry of “Guilford 20%” indicates that 20% of the project activity will occur in Guilford County, NC.

**ECU Locations:**
- In the drop-down box, select the specific campus location(s) where research will be conducted (if on-campus F&A rate is used, more % in this section will be reflected)

**Out-of-State Locations:**
- In the drop-down box, select the state(s) in which sponsored activities will occur. More than one state can be selected or all states can be selected.

**In-State County Locations:**
- In the drop-down box, select the NC county or counties in which sponsored activities will occur. More than one county can be selected or all counties can be selected.

**Out-of-Country Locations:**
- Please select the name(s) of the country or countries where sponsored activities will occur.

Once you have selected all applicable locations, you may move to the next section.

**Application Abstract**

At this screen (see Figure 19), please select a Classification of Instructional Programs (CIP) code that describes the type of research contained in this proposal; select an applicable CIP category from the drop-down list. The CIP is a taxonomic coding scheme that contains titles and descriptions of predominantly postsecondary instructional programs. It was developed to facilitate the National Center for Educational Statistics’ (NCES) collection and reporting of postsecondary degree completions by major fields of study using standard classifications that capture the majority of reportable program activity.

* I give permission to include this abstract in the Research Abstracts Database (RAD):

Select Yes/No to indicate whether you wish the proposal abstract to be published in the ECU Research Abstracts Database (RAD). RAD is a database designed to match faculty researchers with potential collaborators and funding resources and to help identify expertise and areas of research interests on the ECU campus. All abstracts in the database will be available to the public. If the project abstract contains ANY university or sponsor proprietary information such as a description of a potentially patentable invention (i.e., a new and useful process, machine, article of manufacturing, composition of manufacture, or related improvements), you MUST not give permission for it to be published (check "No").

The abstract should be plainly written in sufficient detail to summarize at least: (1) the purpose(s) or problem(s), (2) the hypothesis(es) or objective(s), and (3) the method(s) of the project(s).

If the project involves a potentially patentable invention, the PI should contact the Office of Technology Transfer at 328-9549.
Attachments
You may add as many attachments as necessary. These attachments will be available to all IPF approvers (persons authorized to sign/approve the proposal) listed on the "Approving Departments" tab. On the RAMSeS attachment list, these documents will be labeled “IPF” indicating that they were uploaded during the submission of the IPF. Once submitted, attachments may only be viewed. After submission in RAMSeS, documents included as attachments may only be revised by downloading them, editing them, and uploading the revised version. If an attachment needs to be removed from the RAMSeS attachment list, contact the Office Administrator in OSP at 328-9540 or send an email to ramses@ecu.edu.

Additional proposal documents may be uploaded after the IPF has been submitted and assigned for viewing by persons occupying the following roles: IPF Creator, Lead PI Only, Admin Award Dept IPF Approver, Lead PI Appt., Dept IPF Approver, Certifying Investigator(s), Research Team, or All IPF Parties. Any document uploaded after the IPF is submitted will be automatically viewable by the Admin Office as well as OSP. Such documents may include a JIT copy of the IRB or IACUC approval documents. On the RAMSeS system table of attachments associated with the proposal, these documents will be labeled “Post Approval” indicating that they were uploaded after the IPF was submitted.

Approving Departments
Please review the “List of Approving Departments” at the bottom of this screen. Each school and college or center represented in the proposal by a person or department must be listed. This section is pre-populated based on information entered in the Investigator/Research Team section with one exception. Note: The Award Department is always listed first and cannot be changed or removed. The additional departments listed are those that must approve the eIPF. This list will include the departments of each Investigator named on the project. The routing order for these departments can be changed to make them sequential or concurrent by changing the number in the drop-down box to the left of the department name. Investigators and/or administrators should ensure that the proposals route.
through the home department(s) and college prior to routing in the partnering departments and colleges. If cost share has been added, then ensure that sponsored programs is always last in the routing sequence. You may add other departments by clicking the magnifying glass icon and choosing from the alphabetical list. Prior to submission, a listed department can be removed with the ‘Remove’ prompt to the right of the Role(s) column.

Submission Notes

Submission notes are used to communicate important information about the project both prior to and after submission. Information here could be mailing information that needs to be communicated to the OSP staff, or budget information that OGC wants to let everyone know for a particular project. Submission notes may also state whether sponsor guidelines limit the F&A rate for submissions or may outline the reasons for voluntary cost sharing or matching. The college uses submission notes to notify PIs of any required revisions needed prior to college-level approvals or if the submission is ready for college approval. The college grants administrator always uses submission notes to note any changes required or to suggest dean’s level approval.

Routing/ Submission by the PI

Once all the categories listed in the Item List at the left of each RAMSeS screen have a red check mark beside them, the Submit button for the entire proposal can be clicked. This initiates the routing process for review and approval. Submitting the proposal for review and approval triggers email notifications to be sent to all persons needing to approve the proposal before the sponsor deadline.

If any of the investigators named in the proposal clicks the Submit button for the group, the screen will look similar to the one in Figure 21 below. As approvals are given, the appearance of the screen will change. If the PI was not the party who submitted the proposal for review and approval, he/she may gain access by clicking on the number beside “PI Certification” at the extreme lower left on the home page and then clicking on the corresponding number. Department Heads and Deans will do the same, except in their case, access is gained by clicking on the number beside the Dept Approval Inbox at the extreme lower left of the screen.
PIs must **click the Certify Proposal button** and must read through the submission confirmation and click the Yes button to continue.

Then, **PIs must click the Submit Certification button** to electronically sign the proposal.
Each PI/Co-PI is encouraged to follow this procedure. It is only mandatory, however, that the lead PI certify the proposal in RAMSES; it is optional for other personnel (Co-PIs, etc) to certify. Once the Lead PI has signed, the proposal advances to the Departments and Deans’ Offices following the routing order listed on the “Approving Depts” page. OSP is the last stop for all proposals where they receive the final approval.

Department Heads/Deans:

Once the proposal has been submitted by an investigator, approvals may be initiated by access proposals in your Department Approval Inbox on your “dashboard”. A number to the left, will signify how many proposals are awaiting approval. When clicked on, a screen will open as shown in Figure 24 below. Click on proposal # to open and approve.
After you click on the proposal number, the below “Proposal Routing Status” screen will appear. As a reviewer, you should click on the Proposal Number at the top. This will allow you to review each section of the proposal. At minimum, chairs should review the personnel and budget pages, as well as the attachments. As an approver, you are certifying that they have thoroughly reviewed this proposal and concur with the submission as written. These certifications are an auditable item. If any previous approvers have written a note, you can view their note from this screen.

Once you’ve completed your review, and you concur, click on the Authorize Proposal button in the row of buttons as seen in Figure 25. If a PI is in the approval chain, they CANNOT approve/authorize their own proposal. It must be an alternate designee. The authorization of each party required to approve the proposal is complete once the Submit Authorization button is clicked. You may add a note in the submit authorization box if you like.
Once all approvals are received, the proposal moves to Sponsored Programs for final review and approval. OSP will then authorize any cost share and provide final RAMSES approval. If applicable the proposal is then submitted electronically to the sponsor or OSP will provide required signatures, letters of collaboration, etc.

Department Chairs and Deans can choose to reject a proposal if there is something wrong with it by clicking the Reject Proposal button (also found in the row of buttons at the middle of the screen). If you choose to "reject" a proposal, a submission note must be submitted explaining why the submission was rejected. At this point, the proposal review process has stopped and the proposal is returned to the PI for revisions as cited in the rejection note.

More on Attachments

PIs are strongly encouraged to utilize RAMSES as a repository for their proposal and award documents. You are able to upload documents in the attachments section even after a proposal has been approved and award has been made. PIs are actually "required" to use the attachments section for a number of reasons: IRB/IACUC approvals, budget revisions, SOW changes, interim and annual reports, etc.
POST-SUBMISSION AWARD: Working with an existing proposal

For any of the actions that follow, A&S personnel should work with the college’s OSP representative, Ms. E Ramona Brown, 328-9538, brownet@ecu.edu.

There are several reasons in which you will need access to an existing proposal:

1. During the award negotiation process, sponsor requests a proposal update, i.e., budget revision, changes in an SOW, etc.
2. Compliance Approvals
3. Financial Guarantee: You’ve been notified that you will be receiving an award and you need an account opened to recover pre-award costs.
4. Resubmission: copy a previous RAMSES proposal
5. No Cost Extension Request
6. Budget Revision (after award)
7. Change of PI
8. Transfer of Grant

Click on “My Proposals” and then choose either the Unsubmitted or Submitted Proposal tab. A list of proposals including the date submitted by the PI, the proposal number, the project name, the sponsor, the submission deadline, the viewer’s role in the project, the project status, a copy button, and a PDF symbol will appear. Using this list, you may click on a proposal number to gain access to the proposal and begin working with it (see Figure 26).

Figure 26: Accessing unsubmitted and prior submissions with “My Proposals”
Proposals that have been routed

When a proposal is opened that has already been submitted for signatures or has already received PROPOSAL APPROVED status, the view will be similar to Figure 27. The yellow and orange tabs in the middle of the screen provide navigation through the proposal information. The color coding of the tabs is yellow for the screen being viewed and orange for all others.

**Approvals:** The Approvals tab lists everyone who has to electronically approve the submission and the date and time they certified/authorized the proposal.

**Compliance:** Shows all information related to the IRB/IACUC compliance of the proposal based on the answers given to the RAMSeS questions at time of submission.

**Status History:** Shows every time the status changed on the submission (i.e., changed to proposal approved by Ramona Brown, 1/27/2011, 3:43 PM).

**Financial Guarantee (PFG):** This tab to be used by PIs to process a Project Financial Guarantee. PFGs are primarily used to establish a new account while an award is being negotiated or to keep an existing account open while a modification is being negotiated to extend a project, issue next year funding, or to receive supplemental funding.

**Awards:** Shows all awards made with respect to that proposal. You may access individual awards by clicking on the award number in the list appearing on the next screen.

**Notes:** The tab that has a sheet of paper with a turned down edge is the notes tab. This tab allows access to view all submission notes related to the proposal and offers the ability to add new ones.
Submission notes CANNOT be deleted and everyone with access to the proposal in RAMSeS can read them. Exercise your best judgment when drafting a RAMSeS submission note.

Attachments: The paperclip tab is where attachments can be found and added to a proposal once it has been submitted for review and approval by the PI. Once a proposal has been routed for signatures or has reached the PROPOSAL APPROVED status, all of the following—Investigators, Administrative Contacts, Departmental Contacts, or OSP—may add documents to a proposal. However, during the routing of a proposal and/or at this point only OSP may remove attachments or make other changes that may be needed.

For Department Chairs and Deans

Department Chairs, Deans, and anyone listed as an IPF Approver (person authorized to sign on behalf of the Department Chair or Dean) may access proposal data in RAMSeS through PROPOSALS IN MY DEPT or DEPT APPROVAL INBOX depending on the access level given to each individual. These prompts are in the left-hand column of the RAMSeS screen. Chairs and Deans will also have access to a Financial Guarantee Inbox as they are approvers for this action.

If a person has been given access to proposal data, he/she may access the proposals for their department under PROPOSALS IN MY DEPT. Proposals will be visible to all departments that have been granted access. If a person is an IPF Approver as opposed to a department Chair or Dean, proposal data may be accessed through DEPT APPROVAL INBOX. When accessing projects with the DEPT APPROVAL INBOX, depending on the routing status, proposals can be found under either the UNSUBMITTED PROPOSALS or SUBMITTED PROPOSALS tab (yellow and green tabs in upper middle of the screen). Once the desired proposal has been found, click on the proposal number to access it.

At any time a proposal is in development, an Adobe printable document of everything that has been entered in RAMSeS for that proposal may be obtained by clicking on the Adobe icon that appears at the far right in the list of proposals.

Reporting

RAMSeS offers a wide range of reporting options. To access the reports click on the Reporting link on the gold menu bar in RAMSeS. The screen will look like figure 28 next page. Each report can be exported to Excel for modification and review. If you experience problems running any report, contact OSP at ramses@ecu.edu or 328-9540.
Investigator Searches

A PI can search for either their submissions or awards from the reporting screen. Click on “By Lead PI” on the Proposals side to access your submissions. Click on “By Lead Investigator” on the Awards side to access your award data.

Type your last name in Investigator search box
Choose date range: begin date and end date
Click on “View Report” to see results of your search

Proposal Search by Lead PI

The screen in Figure 29 gives a snapshot of submission activity for the period requested. PIs can also view/print their abstract from this screen. “Export to Excel” will convert data to spreadsheet format.

Noteworthy items are highlighted.
Award Search by Lead Investigator

Award search provides access to a wide range of information at a glance and also in subsequent screens, i.e., basic award information and the original proposal (Figure 30). "Export to Excel" will convert the data to spreadsheet format. Clicking on the Award Number, PIs will find basic award info including account number, award amount, etc.

Clicking on View Proposal, PIs will find basic proposal information, Figure 31.
Report Search by Department/School

RAMSES allows individuals who have administrative rights to department/school data an opportunity to view, download, and convert data on a broader scale. They can even manipulate data into a variety of charts and graphs to use for presentation and publishing purposes. The method of accessing data is basically the same as described above. The main difference that individuals need to be aware of are the “Admin” and “Appt” boxes on the search screen. If “Appt” is chosen, the report generated will show those proposal and awards in which department personnel are both “Lead PI” and support roles. If “Admin” is chosen, the report will only show proposals/awards for the administrative (lead) unit. If both the “Admin” and “Appt” boxes are checked, the report generated will include data in which department personnel are designated in a “lead” and “support” role. It will also generate data for dual appointments if the department selected is not the awarding department. Note that data prior to the conversion (2007 and earlier) will only populated when “Admin” is selected. It’s suggested that departments and schools make it a practice to select both “Admin” and “Appt” to get the most accurate data.

The examples below (figures 32-35) reflect a variety of search results.

![Awards By School (graph)](image)

Figure 32: Awards for A&S Admin/Appt data

Noteworthy items are highlighted.
Figure 33: Schools Awards by Sponsor Type Graph Format

Figure 34: Search University Awards Last Four Year (Top Page)

Noteworthy items are highlighted.
Awards Management

Accessing awards is done one of two ways from an individual’s dashboard (Figure 36) depending on the role of the individual accessing them. If it is a person named on the proposal or the individual who created the proposal in RAMSes, awards will be found under “My Awards” or “My Proposals”. If it is the RA who is trying to access awards, they will be found under “Awards in My Department” or “Proposals in My Dept”. If using “Proposals in My Dept.” or “My Proposals”, once a proposal/project has been selected, awards can be accessed under the Awards tab (Figure 37)

Figure 35: Results by College/Center (bottom of page)

Figure 36: Dashboard view
Individual awards and Project information can be accessed from this screen. Note: PIs and RAs have READ ONLY access to award materials. Only OSP can make changes to award data.

When “Go to Project” is selected, the screen will appear as in Figure 38. The award project has tabs to access different parts of the awards much like the proposal view has.

General – The “General” tab shows the project title, PI, agency, payment information, project and budget dates along with notes. Changes made to this screen only get saved when the “Save Project Detail” button is clicked.

Awards – The “Awards” tab lists all the awards for the project. It shows the RAMSeS award number, the Sponsors Award number, award amount, type of funds and the date it was recorded in RAMSeS. To see the detail of a particular award, click on the award number, which is highlighted in blue.
Accounts – The Accounts tab (Figure 39) shows information about each account on a project. When an account number is selected, it will open up a screen that shows detailed “read only” information about the account.

Events – The “Events” tab will list any events that have been created on an award project. Events are typically things that the OSP and OGC staff will need to take care of at some point during the life of a project or after the termination of a project. They are usually technical and final reports.

Proposals – The “Proposals” tab shows every proposal that is linked to a particular project. An award project can have many different proposals listed due to annual renewals, continuations or supplements that have been requested. Each proposal listed can be accessed by clicking on the proposal number.

Noteworthy items are highlighted.
Subcontracts – The “Subcontracts” tab (Figure 41) will show every active subcontract that has been added to a project. This view shows the subcontract number assigned by RAMSeS, the account number of the subcontract, status, sponsor, date sent, date fully executed, and the total amount of the subcontract.

Subcontracts are accessed by clicking on the desired subcontract number. Attachments for subcontracts are only visible within the individual subcontracts. All subcontracts should be created by someone in OSP to ensure that the terms and conditions meet the University’s guidelines. They also must have the signatures of both the authorizing official at ECU and the agency providing the service.

Notes - The “Notes” tab (Figure 42) has an icon of a piece of paper with the corner turned down. It will show all notes.

Attachments – The “Attachments” tab has an icon of a paperclip just like the attachment tab on the proposal side. It shows not only all the award attachments but also all of the proposal attachments. It lists the name of the attachments, the file size, file type, attachment type and who has access. If an attachment says “Admin Office”, only OSP and OGC staff can access the file. If it says “All Parties”, everyone that has access to the file can see it.

Noteworthy items are highlighted.
Individual Award Views

When an award is accessed, a screen will appear showing tabs much like those of the project. It carries over the project title and project number from the award project screen.

General - The “Award General” tab shows the award amount, sponsor award number, award type, reporting designation, dollars feed date, award notice received date, whether or not it is ARRA (Stimulus) funding, budget begin and end dates, the award admin department and notes that are relevant to this award.

Award type can be one of the following:

- **Supplement**: Select this identifier if you are requesting additional new dollars, extending the period of performance, or requesting a change in the scope of work on an existing award.

- **New**: Select this identifier if you are requesting new dollars NOT associated with an existing contract or grant.

- **Non-Competing Continuation/ Progress Report**: Select this option if you are requesting release of dollars previously committed by sponsor/agency for an existing contract or grant.

- **Renewal or Competing**: Select this label if you are requesting new dollars for continuation of an existing award to establish a new budget period.

- **Resubmission or Amendment**: Select this identifier if a previously submitted proposal is being reviewed for funding by the sponsor. The submission of a revised request would occur for the following reasons:
  - Revised Personnel
  - Revised Cost Share
  - Revised Budget

*Noteworthy items are highlighted.*
Reporting Designation can be:

- New
- Carry Forward
- Prorate
- Interest
- Income
- Budget Revision
- Preliminary
- Agreement
- Pending

People – The “People” tab shows everyone that has a role on the proposal. The roles are the same as those on the Investigators/Research Team on the proposal side. They get added when a proposal is added to the award or someone manually adds a person.

Events – The “Events” tab is like that of the submission and the award project “Events”. It shows events that have been created for OSP or OGC staff (Figure 45).

Distribution – The “Distribution” tab shows all the accounts for current award and how much is distributed to each one. OSP adds the accounts and distributes the funds for each award. This screen IS NOT fully functional at ECU.

Figure 44: People view shows each individual that has been named on the award.

Figure 45: Events view lists each event that has been created for the award being viewed.

Figure 46: Distributions view of an award.
Proposals – The “Proposal” tab lists the proposal that is linked to the current award. There should only be one proposal listed on each individual award. A project, however, can have many proposals linked to it. Proposals listed on awards are based on the project. A project can run for many years while an individual award may only run for one to three years based on the terms of the award documents.

Attachments – The “Attachments” tab shows all files that have been uploaded to the award that is being viewed.

Should an award have documents that the PI, RA or anyone else that has been granted access not be accessible, contact OSP. With legacy data, there may be some files that cannot be accessed without OSP making the needed change. When an award is not accessible, the PI or RA should contact the OSP at 328-9540 or email ramses@ecu.edu and they will correct the problem.

If the PI or RA cannot find an award that they have documents for they should contact the college grants administrator or OSP and provide documents so the award can be created in RAMSeS and the accounts set up. All award documents should go to OSP first. OSP will then create the award so that OGC can set up the account. OSP then routes notifications to the appropriate Dean and Department Chair.

RAMSeS Contacts

For technical assistance with the application itself, (i.e., login difficulties, error messages, etc.) contact OSP at 328-9540 or ramses@ecu.edu. If you need procedural assistance with the submission of the forms, contact Melody Bentz, College Grants Administrator at 737-4389 or bentzm@ecu.edu.
Appendix 1

When do I route an e-IPF?

1. An eIPF is prepared when a PI plans to submit an application for external funding or expects to receive funding from an external sponsor. For example, it is necessary to prepare an eIPF for the following:
   a. A new proposal requesting new dollars not associated with an existing award.
   b. A proposal supplement requesting additional dollars to an existing award.
   c. A non-competing continuation proposal, both (e.g., NIH SNAP or eSNAP).
   d. A competing renewal grant or contract application
   e. An incoming subcontract, where funds are directed to the University from the prime recipient of an award.
   f. A prime contract directly awarded from a governmental, commercial or non-profit sponsor.

2. Once completed, the Principal Investigator (PI) must electronically certify the eIPF. It will then be electronically routed to the appropriate University officials for review and approval.

3. The final stop for the eIPF is the OSP Grant Officer. The OSP Grant Officer will approve the proposal in RAMSeS and submit most (but not all) electronic applications to the sponsor on behalf of ECU.

4. The Principal Investigator submits hard copy applications to the sponsor after OSP approval.

5. Applications that are submitted to sponsors without prior OSP approval and endorsement through RAMSeS may be rejected by ECU at the time of award.
Appendix 2

No Cost Extension

A&S contact for no cost extensions is Ms. Ramona Brown, Grant and Contract Officer, 328-9538, brownet@ecu.edu.

How do I generate a No-cost Extension (NCE) for approvals in RAMSES?

1. First, download the form “Request for No Cost Extension” and complete all the fields. The form is on the OSP website at www.ecu.edu/osp; under the forms & templates on the left hand side of the website.
2. The Principal Investigator, Dept. Chair and Dean must sign the form before it is sent to OSP.
3. Attachment to the form: PI should attach the justification to the form when routing for approvals. The justification must include the following information:
   a. All NCE justification includes, at minimum, the name of the PI, requested extension date, remaining account balance (check with your OGC accountant) and a justification for the request (synopsis of why extension is needed and a brief overview of remaining tasks to be completed). Contact College Grants Administrator, bentzm@ecu.edu for a No Cost Extension template.
4. Upon receipt in OSP, the Grant Officer will create a RAMSES NCE event.
5. The Grant Office will coordinate communication regarding the NCE with the Sponsor.
Appendix 3

Financial Guarantee

It is fairly common for an official award document or a modification to extend or grant additional years funding to be delayed, even though funding has been informally assured by an official of the sponsor. The university must always have a written commitment from a source of funds in order to pay expenses of the project. One way to do this is for the PI to request a "Financial Guarantee" in RAMSeS from a Chair and/or Dean willing to cover any cost not covered by the Sponsor. (The costs are not actually paid by the Guarantor at that time.) The "Financial Guarantee" should state the guarantor's commitment to cover expenses of the project, should an award fail to materialize. (The "Financial Guarantee" may set limits on the amount and time period that will be covered; this time period should be within the anticipated time period of the official award.) OSP will then provide Grants Administration with documentation from the proposal file. As soon as official award notification is received from the sponsor, the guarantor may then be reimbursed from the project budget for any expenses incurred.

Step-by-Step Instructions:

In order to implement a financial guarantee you must have created a separate project/proposal in RAMSES for one of the following: new proposal, supplemental funding, no cost extension, non-competitive renewal (see page 8 for definitions). Once the new action is routed and approvals granted, a PI can initiate a Financial Guarantee.

1. From your dashboard, click on the “My Proposals”, then choose submitted. From the list, find the project/proposal in RAMSES for which you would like to initiate a “Financial Guarantee”.
2. At the “proposal routing screen” click on the Financial Guarantee tab.
   a. Add Financial Guarantee to the proposal
   b. Fill in data, i.e., description of assurances (who will cover funds dept/dean) and a short justification.
3. Submission will route the financial guarantee to chair/dean for approval.
4. Ensure all backup documentation for the financial guarantee is included at the proposals attachment tab.
5. OSP will process the Financial Guarantee on behalf of the PI to OGC for an account to be established. PI should be notified of account information within 2 weeks of processing. If a PI does not, please contact your OGC account representative.

Noteworthy items are highlighted.
Appendix 4

Continuation Funds Awarded

Most sponsors make awards incrementally, by year and with the stipulation of successful completion of previous year’s work. If this condition applies to your project, PIs must route a RAMSES entry for each year of the project in order for OSP to sign/process modifications that award subsequent year funding. A&S OSP contact for processing continuation funds is Ms. Ramona Brown, Grant and Contract Officer, 328-9538, brownet@ecu.edu.

Steps for processing Continuation Funding via RAMSES are as follows:

1. Copy original proposal submission (see page 35) or create a new RAMSES entry
2. General Info Page (review copied data and/or enter new data)
   a. Change contract type to “Non-Competing Continuation/Progress Report”
   b. Link this proposal with parent project (see page 8)
   c. Revise project dates so they coincide with year being awarded
   d. Revise method of submission to email, Fastlane, etc. (whichever applies)
   e. Revise deadline date (so your entry will be addressed in a timely manner)
3. Personnel Page
   a. Change effort for all personnel on the personnel page to “0%”
   b. No type
4. Budget Page:
   a. Change project dates on budget page to match general info page
   b. Change all $ amounts to “0” (funds were projected in original RAMSES entry, therefore, no budget noted in this action. However, PI is required to upload original OSP budget spreadsheets as an attachment. If budget has changed, i.e., reduced or increased, PI should revise OSP budget spreadsheets accordingly.)
   c. Initial funds and multi-year funds will both reflect “$0”
5. Review and revise all other pages as required
6. Attachment Page:
   a. Upload Progress Report(s) (any interim that are due to the sponsor)
   b. Upload any other documents that have been received from the sponsor or that are required by the sponsor, i.e., NSF award docs from Fastlane, sponsor modification, etc. All continuation funding requests require backup documentation that includes, at minimum, OSP budget spreadsheets that correspond with $ amount awarded, SOW, etc. Contact College Grants Administrator, bentzm@ecu.edu for a SOW template, if required.
7. Submission Notes: note any additional information here that hasn’t been addressed on any other pages.
8. When approvals are received and request has been received by OSP, the A&S OSP representative will sign any required paperwork and process the request to the sponsoring agency on behalf of the PI.
9. OSP will attach a copy of the signed/executed agreement in RAMSES and forward to OGC.
Appendix 5

How do I change the PI or Admin Unit of a Grant in RAMSeS?

1. Download the form "Request for PI/Admin Unit Change" and complete all the fields. The form is on the OSP website at www.ecu.edu/osp; under the forms & templates on the left hand side of the website.

2. The Principal Investigators, Dept. Chair and Deans affected by the change(s) must sign the form before it is sent to OSP.

3. Upon receipt in OSP, the Grant Officer will create a RAMSeS event and make all other changes in RAMSeS. The Grant Office will coordinate communication regarding the PI Change with the Sponsor.
Appendix 6

Processing Unfunded Proposals

1. Upon receipt of information from a sponsor indicating that a proposal has not been funded, the Grant Officer will change the status in RAMSeS to “Not Funded”. A note will be attached explaining the source of the not funded information, including names and dates. If OSP receives notification in writing, the documentation will be uploaded into the RAMSeS proposal file. The file name of the document will include “unfundednotice” in the title.

2. The Grant Officer will also notify the Principal Investigator that notice of non-funding has been received and will forward a copy via email. If the source of such information is not written, the same information will be sent to the Principal Investigator via email, indicating how OSP learned of the proposal funding status.