

# Emory Proposal Express (EPEX) Questions Job Aid

The purpose of EPEX is to assist in electronic routing, budget development, and institution approval related to sponsored funding at Emory. Additionally, EPEX provides the data necessary to record information sufficient for internal tracking and reporting purposes and facilitates the entry of Proposals in the Compass Grants system.

The information below provides a list of the questions, plus additional guidance and tips for answering the most common challenging questions in EPEX.

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## EPEX PROPOSAL: PAGE ONE OVERVIEW

The screenshot shows the 'Emory Proposal Express' form with the following fields and callouts:

- 1**: Title field (NEXT)
- 2**: Description field (Limited to 254 Characters. Use attachments if more information is needed.)
- 3**: Principal Investigator field (254 characters remaining)
- 4**: Department field
- 5**: Sponsor ID field
- 6**: Sponsor Program field
- 7**: Link to RFP field
- 8**: Purpose field
- 9**: Proposal Type dropdown (New)
- 10**: Proposal Status dropdown (Draft)
- 11**: Due By field (05/10/2017)

- 1 Title**  
If your title is **longer than 82 characters**, enter as much as possible in the Title field and provide the full title in the Description field.
- 2 Description**  
The full title will go here if it cannot all fit in the Title field. This field is **limited to 254 characters**.
- 3 Principal Investigator (PI)**

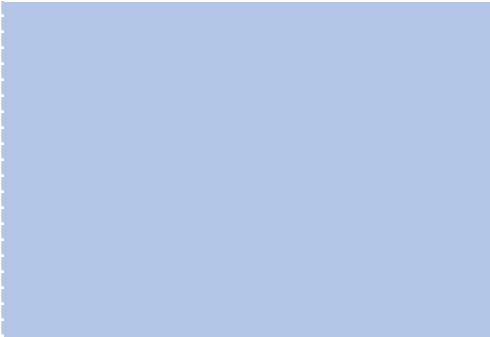
  - Search by the PI's ID, first, or last name
  - The PI field cannot be changed once the information is saved. In cases where the incorrect PI was selected, do not use the copy function. If corrections are needed, you will need to re-create the proposal.
- 4 Department**  
This field is used to identify the Dept. for the PI. Important: Select the Dept. that reflects where the PI will be doing the work to ensure the appropriate approvals are incorporated in the workflow BEFORE routing the proposal. **Note:** PIs may have multiple departments associated with them.
- 5 Sponsor ID**  
If your sponsor does not exist in the system, use 00003839 as the ID number and add the sponsor.
- 6 Sponsor Program**  
Use this field to include the specific opportunity number, if provided, from the sponsor.
- 7 Link to RFP**  
Add the link/URL to any guidelines or websites here.
- 8 Purpose**  
This field identifies the type of work the PI will be performing - research, training, clinical trials, etc.
- 9 Proposal type**  
Select the applicable proposal type. Types include new, new resubmission, renewal, renewal resubmission, continuation, supplement
- 10 Summary periods**  
This is the # of budget periods for the proposal. Tip: Clinical trials should always be one budget period.
- 11 Due By**  
If the guidelines do not specify a deadline, use the date that the PI would like the proposal to be submitted to the sponsor.

**LIST OF SUBMISSION QUESTIONS. Questions in blue are the most common challenging questions.**

<b>SUBMISSION INFORMATION</b>			
Purpose: Allows you to provide more information about the submission of the proposal			
	<b>YES</b>	<b>No</b>	<b>Additional Comments</b>
<p><b>Question 1</b> Is the proposal due at a time other than 5:00 p.m. EST of the Deadline Date?</p>	<p>Indicate in the <b>Comments</b> what time the proposal is due – whether before or after 5:00 p.m. EST.</p>	<p>If OSP is responsible for submitting, the proposal will be submitted by 5:00 p.m. EST once approved.</p>	<p>5 p.m. EST marks the end of OSP’s business day.</p>
<p><b>Question 2</b> Will the proposal be submitted electronically?</p>	<p>Specify which electronic system will be used to submit the proposal in the <b>Comments</b>. EX: ASSIST, Research.gov, ProposalCentral, etc.</p>	<p>No additional action needed.</p>	<p>Make note of who will be submitting the final version of the proposal – indicate whether final submitter will be OSP or PI/Dept. A copy of the proposal should be uploaded to the proposal record.</p>
<p><b>3.</b> Do you have any other comments about the submission of the proposal? If Yes, please specify in comments.</p>			<p>Example Comments:</p> <ul style="list-style-type: none"> <li>The contact at the prime institution that should receive the sub proposal document if it is an incoming subcontract</li> </ul>

## SUBMISSION INFORMATION

Purpose: Allows you to provide more information about the submission of the proposal



- The EPEX is being routed to process an award already issued

## MISCELLANEOUS INFORMATION

Purpose: Allows you to provide more information about the proposal itself.

	Yes	No	Additional Comments
<p><b>Question 1</b> Does the proposal commit non-salary cost-sharing, matching, or in-kind contributions?</p>	<p>A pop-up box will appear to designate what kind of cost share it is – mandatory or voluntary. Specify in the <b>Comments</b> whether commitments are or are not required by the sponsor.</p> <p>Checking <b>Yes</b> will trigger workflow to the school level.</p>	<p>Workflow will not be triggered to the school level.</p>	<p>Each unit has its own practice related to cost share. Contact your unit to determine if a Speedtype is required at proposal.</p>
<p>1a) Non-RAS administrators should answer <b>no</b> to this question. Is the non-salary cost sharing commitment required from a department outside the PI's home department or from the school then answer yes otherwise answer no.</p> <p>If <b>yes</b>, please indicate in comments which schools units and departments will provide funding in ad hoc the relevant</p>			

## MISCELLANEOUS INFORMATION

Purpose: Allows you to provide more information about the proposal itself.

department slash school administrator as an approver.

### Question 2

Does the proposal commit salary cost sharing, matching, or in-kind contributions?

A pop-up box will appear to designate what kind of cost share it is – mandatory or voluntary. Specify in the **Comments** whether commitments are or are not required by the sponsor.

Checking **Yes** will trigger workflow to the school level.

Workflow will not be triggered to the school level.

Each unit has its own practice related to cost share. Contact your unit to determine if a Speed type is required at proposal.

This includes salary cap cost share.

### 2A)

Is the salary cost sharing commitment required from a department outside the PI's home department or from the

Indicate in **Comments** which schools, units and departments will provide funding and ad-hoc the relevant department/school

Check **No** If you already have written confirmation of that Unit's commitment and **attach** the confirmation.

Non-RAS administrators should answer "no" to this question.

## MISCELLANEOUS INFORMATION

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<p>School then answer "Yes," otherwise answer "No."</p>	<p>administrator as and Approver.</p>		
<p><b>Question 3</b> Are subcontractor(s) involved in the proposal?</p>	<p>Specify outgoing subcontractor(s) in <b>Comments.</b></p>		
<p><b>Question 4</b> Does the proposal involve a waiver of any portion of the Facilities &amp; Administration (F&amp;A) cost recovery?</p>	<p>Check with your appropriate Dean or Director's Office to approve the F&amp;A waiver. If the Dean/Director's Office approves the request, it is forwarded to OSP for review and approval/disapproval. See the policy on <a href="#">Research Facilities and Administration Costs</a> for more information.</p>	<p>Check <b>No</b> if the federal or foundation sponsor has a published F&amp;A limit. If the sponsor has a published F&amp;A limit, Emory will honor that rate and a waiver is not necessary.</p>	<p>If an industry sponsor has a published F&amp;A rate limitation, a waiver is needed. Per Emory's Research Facilities and Administration Costs policy, industries must pay the university's fully negotiated rate. See the policy on <a href="#">Research Facilities and Administration Costs</a> for more information.</p>
<p><b>Question 5</b> Will new or additional space or renovation of existing space be required for the proposal?</p>	<p>Specify in <b>Comments.</b></p>		
<p><b>5A)</b> Is the funding of additional space or renovation required from a department outside the PI's home department or from the School?</p>	<p>Indicate in <b>comments</b> which schools, units and departments will provide funding and ad-hoc the relevant department/school</p>	<p>Check <b>No</b> if you already have written confirmation of that Unit's funding commitment and attach the confirmation.</p>	

**MISCELLANEOUS INFORMATION**

Purpose: Allows you to provide more information about the proposal itself.

	<p>administrator as an Approver.</p>		
<p><b>Question 6</b> Does the proposal involve collaboration between investigators in more than one School or Operating Unit which meets the threshold defined in the Emory University Policy? As of July 2013, the threshold for sharing F&amp;A cost was \$10,000.</p>	<p>Applicable schools will be included in the workflow.</p>	<p>Workflow will not be triggered to additional school level approvals.</p>	<p>The \$10,000 direct cost threshold is an aggregate of all departments within an operating unit.</p> <p>For example, if a proposal involves three faculty in different divisions in Public Health and each make up \$5,000 of the proposal budget, Public Health will still be included in the direct cost split because the aggregate amount of direct costs is over \$10,000 between the three investigators.</p> <p><b>Note:</b> The core costs are also included in this \$10,000 direct cost aggregate limit. For example, if an RSPH proposal has \$10k budgeted for SOM's Emory Flow Cytometry Core, that counts as SOM costs.</p>



## MISCELLANEOUS INFORMATION

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<p><b>Question 7</b> Are possible inventions anticipated for the proposal?</p>	<p>Give a brief description of possible invention(s) in <b>Comments</b>.</p>		
<p><b>Question 8</b> Does the proposal involve confidential information?</p>	<p>Identify which pages contain the confidential information in <b>Comments</b>.</p>		
<p><b>Question 9</b> Click Yes and indicate where the research will be conducted in comments.</p>	<p>Indicate where the research will be conducted in <b>Comments</b>.</p>		<p>Include details such as building and room number, if possible.</p>
<p><b>Question 10</b> Does the proposal require the granting of course release or extended leave of absence?</p>			
<p><b>Question 11</b> Is there animal care and use for the proposal?</p>	<p>Specify current protocol information if available or note if pending in <b>Comments</b>.</p>		
<p><b>Question 12</b> Are Emory Primate Center (EPC) resources involved in the proposal?</p>	<p>Specify in the <b>Comments</b> the current protocol information (if available) or note if the protocol is pending.</p> <p>Only answer <b>Yes</b> if the project will be using the EPC <b>and</b> there are no EPC based investigators associated with the proposal.</p>	<p>If the PI's EPC department is used in item 4 above, this question can be answered <b>NO</b>.</p> <p>If the PI's department in item 4 is not EPC but EPC primates are used, then answer <b>YES</b> or similar.</p>	<p>Note, this question must be answered before routing to ensure that the workflow goes to the appropriate approvers.</p> <p>Example Scenario: A faculty member in the School of Medicine (SOM) is working with primates, but they don't have an appointment in the</p>

## MISCELLANEOUS INFORMATION

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	<p>If an investigator has a dual appointment and the preponderance of work is not occurring in the EPC but they are still going to be using the primate center, then the question should be checked <b>Yes</b>.</p>	<p>If the EPC dept is used in the PI dept section, the proposal would route to EPC anyway, so answering yes to this question would just add unnecessary step in the workflow.</p>	<p>primate center. EPC needs to know about the work to ensure space, number of primates, etc. are available.</p> <p>Additional forms may be needed depending on the number of primates needed for the study.</p>
<p><b>Question 13</b> Are human subjects involved in the proposal?</p>	<p>Specify current protocol information if available or note if pending in <b>Comments</b>.</p>		
<p><b>Question 14</b> Will any Third Party Materials (see instructions) be used or transferred during the proposed research, including third party devices, cell lines, gene constructs, promoters, or the like?</p>	<p>Give a brief description.</p> <p>If you are intending to use a material that you believe is proprietary and you are unsure of the licensing arrangements, please note this use and we will follow up with you and the sponsor.</p>		<p>Instructions: This question is designed to identify whether proprietary materials are being used that may require Emory to obtain or confirm that the Sponsor has a license.</p> <p>Third Party Materials in this context are proprietary materials that you have obtained from a non-sponsor. Particular materials include, for example, tetracycline-inducible promoters.</p>

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			<p>This is not intended to include basic, non-proprietary laboratory supplies such as buffers or similar reagents.</p> <p>If you are unsure whether a material is proprietary, please contact the Office of Technology Transfer at 404-712-2514 for advice.</p>
<p><b>Question 15</b> Will human embryonic stem cells (HESC) or human fetal tissue be used in the proposed research?</p>	<p>Contact ORIC at <a href="mailto:oric@emory.edu">oric@emory.edu</a> for approval before starting the research.</p>		<p>More information at <a href="https://rcra.emory.edu/oric/stem-research.html">https://rcra.emory.edu/oric/stem-research.html</a></p>
<p><b>Question 16</b> Have any named investigators NOT completed the Investigator Report of Financial Interest in Research form as required by Emory University policies regarding conflict-of-interest disclosure?</p>	<p>Indicate the completion status of the disclosure.</p>	<p>No additional action needed.</p>	<p>It is important to have this completed as soon as possible. If this is not completed, it is possible the submission of the application will be prohibited.</p>
<p><b>Question 17</b> Is this proposal utilizing Veteran’s Administration (VA) space, patients, resources, and/or VA time?</p>	<p>State if the work will be fully or partially conducted at the VA.</p>	<p>If a faculty member has a dual appointment but none of the work will be occurring at the VA, this question can be marked <b>No</b>. Note, a Memorandum of</p>	<p>Note, this question must be answered before routing to ensure that the workflow goes to the appropriate approvers.</p>

## MISCELLANEOUS INFORMATION

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		Understanding (MOU) is still needed.	
<b>Question 18</b> Will there be any clinical professional or technical charges (e.g., for drugs, medical devices, laboratory or radiology tests, physician services, or medical procedures) during the course of the study that generate a CPT or CDM code at an Emory or Grady healthcare facility that may be billed to study accounts or third-party payors such as Medicare, Medicaid, or health insurance companies?	The Office for Clinical Research (OCR) will be included in the workflow to ensure appropriate coverage analysis for Emory Healthcare.	No additional action needed.	Note, this question must be answered before routing to ensure that the workflow goes to the appropriate approvers.  If you are unsure whether the proposal needs OCR's review, please refer to the OCR Decision Tree for guidance. <a href="https://www.emory.edu/ocr/ocr-decision-tree.pdf">ocr-decision-tree.pdf (emory.edu)</a>
<b>18A)</b> Does the proposed Clinical Trial Agreement have milestone-based payments?			Milestone based payments are another way that sponsors can pay for a study. Under this type of payment structure, the sponsor will pay the University based on a predetermined schedule or once it completes a certain amount of work. This can be after enrolling specific number of eligible study subjects, time

## MISCELLANEOUS INFORMATION

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			<p>based milestones of active work on the project, or some other measure which conveys to the sponsor that the University has successfully completed a meaningful amount of the total project contemplated under the Clinical Trial Agreement.</p> <p>Milestone based payments can be generated automatically from the sponsor or they can require an invoice. These requirements are detailed in the contract.</p>
<p><b>Question 19</b> Do you have any other comments about the proposal?</p>	<p>Specify in the <b>Comments</b> any additional notes about the proposal.</p>	<p>No additional action needed.</p>	<p>Examples of items to make comments about could include information about a Principal Investigator's (PI) effort fluctuating throughout the project, status updates on letters of commitment, any information that would be pertinent to the reviewer, like the status of a COI disclosure.</p>

## MISCELLANEOUS INFORMATION

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### Question 20

Is this proposal coming from a Research Administration Services unit?

If this question and at least one other question is marked **Yes**, the proposal will route to the school for approval.

If this question is **Yes**, but no other questions are marked **Yes**, the proposal will not route to the school for approval.

If this question is marked **No**, the proposal will route to the school no matter what other questions are answered **Yes**.

**EPC does not mark this question Yes. EPC always require Unit-level review.**

If this question is marked **Yes**, also mark Question #12 as **Yes** if an EPC investigator is on the proposal.

## INTERNATIONAL AND EXPORT CONTROL INFORMATION

Purpose: Allows you to detail information about work that is being conducted outside the U.S.

	YES	No	Additional Comments
<p><b>Question 1</b> Are any of the statements true about the proposed project?</p> <p><b>a. Activity outside US:</b> It involves research or activities to be conducted outside of the United States.</p> <p><b>b. Collaboration:</b> It involves collaboration with a foreign organization (including subawards and other means of engagement).</p> <p><b>c. Staffing:</b> It involves sending existing employees abroad, hiring new Emory employees to be based abroad, or engaging independent contractors based abroad.</p> <p><b>d. Property:</b> It requires in-country resources secured and/or managed by Emory (examples: procured, leased, or managed office space, vehicles, or equipment).</p>	<p>If any of the scenarios are true to the project, mark the answer <b>Yes</b>.</p> <p>Once <b>Yes</b> is selected, you will be prompted to select/enter the country in which the work is being done. This information must be completed.</p>	<p>No additional action needed.</p>	<p>This information will also feed into the award record.</p>
<p><b>Question 2</b> Are any of the statements true about the proposed project?</p>	<p>Complete an Export Control Assessment Form at</p>		<p>Consider and budget for business and/or legal expenses that the</p>

**a.** It may or will potentially involve instruments, software, materials, or technology specially designed or modified for military or defense purposes.

**b.** It may or will involve receiving of proprietary, confidential, or other restricted information from the sponsor or a third party.

**c.** It may or will involve use of information received under a non-disclosure agreement, a material transfer agreement, or a confidential agreement.

**d.** It may or will involve shipping or hand carrying materials, samples, equipment, or other technology, or the transmission of technical data or scientific information to foreign persons or to a foreign entity outside the US.

<https://redcap.emory.edu/surveys/?s=838HYCWJCDKHHMNC>.

Completion of this Form is not needed at the time of proposal. However, completion and review of the answers will be required prior to issuance of an award if this proposal is selected for funding, and prior to execution of any industry sponsored research agreement.

Contact the Export Control Office ([exportcontrol@emory.edu](mailto:exportcontrol@emory.edu)) with any questions.

proposed international work may involve, understanding that such expenses may not be allowable to be charged to the award per agency rules for grants. Chris Rapalje ([christine.rapalje@emory.edu](mailto:christine.rapalje@emory.edu)) in Global Services can help assess if such expenses will be necessary. Please be aware that certain activities may simply be prohibited by law.

### **KEYWORDS**

Purpose: Allows you to enter keywords associated with the proposal.

Each proposal should have a keyword associated with it. The Data Analytics team uses these keywords to report to the Senior Vice President for Research on proposed research efforts.