

# Quarterly Research Administrators Meeting

Office of Research Administration

October 29, 2015



## Agenda



**Research Application Development (RAD)**  
– Debera Nixon

**Budget & Finance Reporting**  
– Leroy Lee

**Closeout Project Team**  
– Nate Martinez-Wayman & Moria Montalbano

**Office of Research Administration (ORA)**  
– Michael Dickman  
➤ ORA News & Reminders  
➤ Sponsor Related News and/or Tidbits  
➤ Miscellaneous News and/or Tidbits

## SPS Web – Recent Releases

- Awards 4.11 (8/13/2015) - Addition of Uniform Guidance field
- Proposals 7.3 (9/9/2015) - View/edit for Non-Competing PPGs (marks completion of the port for departmental users!)
- Proposals 7.3.1 (9/16/2015) - Inactive SPS Users can no longer log into SPS Web Proposals
- Proposals 7.4 (10/26/2015) - PDF attachment for Non-competing Renewals (1st post port enhancement!)

## SPS Web – Upcoming Releases

- RAAC-requested changes to assist in Other Support generation, including addition of:
  - Major goals statement
  - Abbreviated aims statement (for DoD OS)
  - Agency contact info (for DoD OS)
- Check to ensure we support required forms for proposals that will be submitted in Grants.Duke (as FOA is added or S2S flag is set to Yes)
- Support for No-Cost Extension Requests

## Sponsored Effort – Upcoming Releases

- Pull in new Other Support info (e.g., Major Goals, Abbreviated Aims, Agency Contact info)
- New section to display 5 years of Inactive Award Information (for DoD OS)

## Grants.Duke – Upcoming Releases

- For NIH, include Commons ID for everyone listed on Senior/Key Person template (if on file)

FUNCTIONALITY	SPS WEB	SPS
Search For Existing Proposals <i>Includes ability to export search results</i>	✓	✓
Create/Edit/Route/Copy Regular New, Competing Renewal, & Non-Competing Renewal Proposals	✓	✓
Create/Edit/Route New, Competing Renewal, & Non-Competing Renewal Program Project Grants	✓	✓
Create/Edit/Route Regular & Program Project Grant Resubmissions & Supplements	✓	✓
Append To Proposal Memo	✓	✓
Attach/Detach Internal Documents	✓	✓
Preview/Print Sponsor-Specific Forms	✓	✓
Preview/Print DPAF	✓	✓
Inbox Access	✓	✓
View Proposal State History	✓	✓
Complete All Proposal Notebooks	N/A	✓
Display F&A Base Amount	✓	
Attach PDFs to Non-S2S Proposals	✓	
Access From Mobile Device	✓	
Preview/Print Review Copy	✓	
User Setup		✓

## SPS Web/Legacy Statistics

- SPS Web - 3,769 proposals created since March 2015 (15 composites, 39 minis)
- Legacy - 970 proposals created since March 2015 (35 composites, 194 minis)
- SPS Web - 818 users are now utilizing SPS Web
- Legacy – 95 users have logged in since 9/1/2015 (includes 46 departmental users)

## SPS Web – Reminders / Points of Interest



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## SPS Web – The dreaded ‘no access’ page

SPS - Proposals Inbox (46) Debera H. Nixon-Test (dhnixon)

Search

You do not currently have access to SPS Web. If you feel that your access has been removed in error, contact your departmental SPS Security Officer if you are a medical center user or the ORS Associate Director if you are a campus user.

- If your PI tells you they can no longer add Enrollment data, they are likely seeing a page that looks like this when they click the Enrollment link in Grants.Duke
- What caused this?
  - Their SPS User record is inactive
- How do I fix it?
  - Contact your SPS Security officer and ask them to reactivate the PI's SPS User record

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## SPS Web—How to Check and Update PAL field prior to Routing

SPS - Proposals Inbox (46) Debera H. Nixon-Test (dhnixon)

Search Main Personnel Facilities Budget Protocols **Validate All**

**Proposal Information**

Proposal ID	106679	Agency Due Date	06/05/2015
PD/PI Name	Peter K. Smith		
Fellow Name	Laurence N. Bohs		
Sponsor	National Institutes of Health		
Owning Duke Org	6960503000 - Comprehensive Cancer		
PI/PPD Duke Org	6960207070 - Surgery - Thoracic		
Short Title	Stephanie's SPS Web Proposals 6.3 F		
Project Dates	02/01/2007 - 01/31/2012		
Initiated By	Stephanie B. Dash (TEST)		
Dept. Pre-Award Liaison (PAL)	Stephanie B. Dash (TEST)		

Dept. Pre-Award Liaison (PAL):

**Select Dept. Pre-Award Liaison**  
Enter all or part of a last name. You may also follow it with a comma and a full or partial first name (e.g., Smt, Patti).

Select	Name	Title	Duke Org	Duke ID
<input type="checkbox"/>	Nixon, Donna L.	Professional Library Staff	Law - Library Affairs	0531559
<input type="checkbox"/>	Nixon-Manual, Debera		Medicine - General	7776666
<input type="checkbox"/>	Nixon-New, Debera	Tired	MC Financial Affairs & Systems	
<input type="checkbox"/>	Nixon-Test, Debera H.	Analyst, IT, Sr	Information Technology	0100894
<input type="checkbox"/>	Nixona-Test, Debera		Medical Center Administration	
<input type="checkbox"/>	Nixonz, Deb	World's Best	Finance and Resource Planning	
<input type="checkbox"/>	Nixonz, Debera		Finance and Resource Planning	

**Errors**

Main  
• Full Title: Must be entered.

- Go to Validate All page
- Enter new name into Dept. Pre-Award Liaison (PAL) field
- Select desired name from pop-up

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## SPS Web—Can changes be made in PNCA? YES!!

SPS - Proposals Inbox (40) Debra H. Nixon-Test (dhnixon)

Search Main Personnel Facilities Budget Protocols Validate All

**Proposal Information**

Proposal ID	106723	Agency Due Date	10/24/2013
PD/PI Name	Peter K. Smith	Agency ID	
Sponsor	National Institutes of Health	Activity	Research
Owning Duke Org	080207070 - Surgery - Thoracic	Award Date	
PI/PPD Duke Org	080207070 - Surgery - Thoracic	Proposal Type	New
Short Title	Debbi's SPS Web 5.0 Budget Test - copy of my SPS Web proposal	Status	Pending Non-Central Approval
Project Dates	02/01/2013 - 01/31/2016	WBS Element	
Initiated By	Marianne C. Drysdale	POA #	
Dept. Pre-Award Liaison (PAL)	Stephanie B. Dash (TEST)		

Main Sponsor Admin Activity Clearances Federal Info Summary of Work

\* Short Title: Debbi's SPS Web 5.0 Budget Test - copy of my SPS Web proposal

\* Full Title: Debbi's SPS Web 5.0 Budget Test - copy of my SPS Web proposal - have added text to my full title while proposal is in PNCA

\* Date Initialized: 10/30/2013

- Who can edit while in PNCA?
  - Initiator (as shown in Initiated By field)
  - Anyone on the Owning Org route
- No need to first uncomplete sections!

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## SPS Web – Changes while in PNCA? Caveats!!

SPS - Proposals Inbox (40) Debra H. Nixon-Test (dhnixon)

Search Main Personnel Facilities Budget Protocols Validate All

Salary Summary Budget Income Justification

+ Expand All - Collapse All Show Periods: ☒ 1 ☒ 2 ☒ 3 Show All: ☐ Hide All: ☐

**Peter K. Smith**

Role: PD/PI (Key); F/B Category: Exempt; Personnel Category: Senior Personnel

**Period 1 (02/01/2014 - 01/31/2015)**

* Effort Start Date	* Effort End Date	% Effort	Person Months	Appt. Type	Base Salary	C/S	Projected Salary	F/B %	F/B Amount	Total Sal/FB
02/01/2014	01/31/2015	75.8 %	9.10	Cal	76,544		58,048	21.00 %	12,190	70,236

**Period 2 (02/01/2015 - 01/31/2016)**

* Effort Start Date	* Effort End Date	% Effort	Person Months	Appt. Type	Base Salary	C/S	Projected Salary	F/B %	F/B Amount	Total Sal/FB
02/01/2015	01/31/2016	75.8 %	9.10	Cal	76,840		59,767	21.00 %	12,555	72,342

- Changes *cannot* be made to Salary information
  - Must be Returned for Changes if updates need to be made to Salary or Effort

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## SPS Web – Changes while in PNCA? Caveats!!

SPS - Proposals

Inbox (46) Debra H. Nixon-Test (dhnixon)

Search Main Personnel Facilities Budget Protocols Validate All

Other Budget Categories	781,199	0	208,204	90,000	74,774	0	1,064,177	90,000
Consortium/Subaward Costs	30,000	0	32,000	0	0	0	62,000	0
<b>Total Direct Costs</b>	<b>810,655</b>	<b>0</b>	<b>342,642</b>	<b>90,000</b>	<b>179,261</b>	<b>0</b>	<b>1,432,558</b>	<b>90,000</b>
F&A Costs	88,000	0	93,462	0	106,764	0	288,126	0
<b>Total Project Costs</b>	<b>999,555</b>	<b>0</b>	<b>436,104</b>	<b>90,000</b>	<b>285,025</b>	<b>0</b>	<b>1,720,684</b>	<b>90,000</b>

Inflate Budget Calculate F&A Costs Show Setup Info Show NIH Recap

Save Validate Cancel

- Budget *cannot* be inflated (since this changes Salary)
- Other budget categories can be changed
- F&A Costs can be recalculated

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## SPS Web – Changes while in PNCA? What??

SPS - Proposals

Inbox (46) Debra H. Nixon-Test (dhnixon)

Search Main Personnel Facilities Budget Protocols Validate All

Proposal Information

Proposal ID: 106723  
 PI/PI Name: Peter K. Smith  
 Sponsor: National Institutes of Health  
 Owning Duke Org: 6860207070 - Surgery - Thor  
 PI/PPD Duke Org: 6860207070 - Surgery - Thor  
 Short Title: Debbi's SPS Web 5.0 Budget  
 Project Dates: 02/01/2015 - 01/31/2020  
 Initiated By: Marianne C. Drysdale  
 Dept. Pre-Award Liaison (PAL): Stephanie B. Dash (TEST)

Notes and Attachments

Budget Justification

test - The Budget Justification can be modified while in PNCA

Salary Summary Budget Income Justification

Budget Justification

- Budget Justification can be updated while in PNCA
- No need to uncomplete sections!
- No impact on other reviewers (as happens in legacy)!



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## SPS Web – All PPGs can now be created/edited

SPS - Proposals Inbox (40) Debra H. Neeson-Test (dhn@duke.edu)

Search

### PPG Creation

PPG Type  
☐ New ☐ Competing Renewal ☒ Non-Competing Renewal

Is this a Supplemental proposal? ☐ Yes ☒ No  
 Is this a Resubmission of a previously submitted, but unfunded proposal? ☐ Yes ☒ No

Originating Proposal ID:

\* Date Initialized: 10/22/2015

\* Short Title: Non-competing Program Project Grant Created through SPS Web

Principal Investigator  
 \* Name: Price, Thomas M.     
 \* Title: Assoc Professor   
 \* Duke Org: 6660205520 - Endocrine & Infertility

\* Sponsor: National Institutes of Health     
 \* Agency Due Date: 11/01/2015

- Click the Create New PPG link on the Proposal Browser
- Select the PPG Type (New, CR or NCR)
- Enter required information and Save

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## SPS Web–Simplified navigation for PPGs

SPS - Proposals Inbox (40) Debra H. Neeson-Test (dhn@duke.edu)

Search Main Personnel Facilities Budget + Protocols Validate All

### Proposal Information

Composite ID	107273	Agency Due Date	11/01/2016
PD/PI Name	Thomas M. Price	Agency ID	
Sponsor	National Institutes of Health	Activity	Research
Owning Duke Org	6016112670 - Diversity Library	Award Date	
PI/PPD Duke Org	6660207070 - Surgery - Thoracic	Proposal Type	New
Short Title	Debra's 7.0 SPS Web Composite for Budget testing	Status	Initialized
Project Dates	02/01/2016 - 01/31/2021	WBS Element	
Initiated By	Debra H. Neeson-Test	FDA #	PA-40-202
Dept. Pre-Award Liaison (PAL)	Debra H. Neeson-Test		

Stand-Alone Consortium Composite Budget Income Justification List of Minis

	Proposal ID	* Project/Core Name	* Project/Core Lead	* Short Title	* Owning Duke Org	Max Project DIC	State
1	107274	Debra's SPS Web Admin Core	Schwinn, Debra A.	Debra's 7.0 SPS Web Mini for budget testing	6660205020 - Anesthesiology-Cardiac Svc	35,000	INIT
2	107323	Debra's SPS Web Project	Smith, Barbara H.	Debra's 7.0 SPS Web Mini - set to PRE-INIT	6064206610 - Literature	125,000	INIT
3	107437	Debra's New Core for 7.1	Price, Thomas M.	Debra's Mini to test handling of trigger	6660205520 - Endocrine & Infertility	0	INIT
4	107436	Debra's New Project 7.1	Schwinn, Debra A.	Debra's 7.1 Project	6660205020 - Anesthesiology-Cardiac Svc	0	INIT

[Add Mini](#)

- Every notebook has a List of Minis or Composite Info tab
  - Allows you to quickly move back and forth between the Composite and its Minis
- Minis can be added/deleted from any notebook



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## SPS Web—Simplified biosketch handling for PPGs

SPS - Proposals Inbox (40) Debera H. Nixon-Test (dhnixon)

Search Main Personnel Facilities Budget Protocols Validate All

**Proposal Information**

Composite ID	107273	Agency Due Date	11/01/2016
PD/PI Name	Thomas M. Price	Agency ID	
Sponsor	National Institutes of Health		Research
Owning Duke Org	0010112070 - Divinity		New
PI/PPD Duke Org	0010112070 - Surgery		Initialized
Short Title	Debb's 7.0 SPS Web		PA-40-202
Project Dates	02/01/2016 - 01/31/2017		
Initiated By	Debera H. Nixon-Test		
Dept. Pre-Award Liaison (PAL)	Debera H. Nixon-Test		

**Notes and Attachments**

Bio-Sketch for Thomas M. Price  
You cannot enter text, because this proposal will be submitted electronically.

None attached [Attach](#)

**Senior/Key Personnel Summary and Associated Bio-Sketches**

Price, Thomas M. (Contact PI)

Overall (#107273) - PD/PI (Duke/Key) ☒

Debb's New Core for 7.1 (#107437) - PI (Duke/Key) ☒

Marley, Dee

Overall (#107273) - Satellite Site - PI (Subcontractor/Key) ☒ [marley\\_bio.pdf](#)

Rhine, Cindy

Debb's SPS Web Admin Core (#107274) - Satellite Site - PI (Subcontractor/Key) ☒ [rhine\\_bio.pdf](#)

**Notes and Attachments**

Bio-Sketch for Dee Marley  
You cannot enter text, because this proposal will be submitted electronically.

[marley\\_bio.pdf](#) [View](#) [Attach](#) [Detach](#)

- PPG Personnel tab allows you to manage biosketches for all Senior/Key personnel from one centralized location

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## SPS Web—Life After Port ('Top 5' Requests)

- PDF attachment for Non-competing Renewals
- Prime Sponsor to drive business rules in the budget (e.g., fringe rates)
- Apply \$25,000 cap for Subawards in Year 2-5
- Separate fields for indicating the following types of Cost Sharing:
  - Over the Salary cap
  - Sponsor-required
  - Voluntary/Committed
- ????



### School of Medicine NIH Awards FFY2013 vs. FFY2014 – in Millions

2013 RANK	2014 RANK	NAME	FFY 2013 SCHOOL OF MEDICINE AWARDS	FFY 2014 SCHOOL OF MEDICINE AWARDS	% CHANGE
1	1	UNIVERSITY OF CALIFORNIA SAN FRANCISCO	\$439.6	\$480.6	9.3%
2	2	JOHNS HOPKINS UNIVERSITY	\$404.9	\$423.7	4.6%
3	3	UNIVERSITY OF PENNSYLVANIA	\$379.4	\$410.2	8.1%
6	4	WASHINGTON UNIVERSITY	\$298.5	\$353.9	18.6%
4	5	STANFORD UNIVERSITY	\$314.8	\$349.0	10.9%
5	6	YALE UNIVERSITY	\$311.8	\$328.1	5.2%
7	7	UNIVERSITY OF PITTSBURGH	\$297.0	\$317.1	6.8%
8	8	UNIVERSITY OF WASHINGTON	\$293.2	\$302.0	3.0%
12	9	UNIVERSITY OF CALIFORNIA SAN DIEGO	\$278.7	\$295.4	6.0%
9	10	VANDERBILT UNIVERSITY	\$292.4	\$294.5	0.7%
10	11	DUKE UNIVERSITY	\$285.0	\$293.2	2.9%
11	12	UNIVERSITY OF MICHIGAN	\$284.4	\$282.3	-0.7%

Source – NIH Web Site

### NIH Rankings by Department

Driven by the Face Page Org.

- The NIH does not track Centers and Institutes – just departments.
- For the Face Page Org - Select the PI's Primary Faculty Appointment from the drop down list.
- This department will print on the SF424 Cover, Item 14, Department field.
- This field is for NIH rankings only.
- The selection will not affect the actual Owning Duke Org. The Owning Duke Org remains administratively and financially responsible for the project.

## NIH Rankings by Department

- When entering a record into SPS, the 'Face Page Org' may need to be modified.
- On the Main Notebook, Admin Tab, in the Face Page Org drop down box, please select the PI's primary faculty appointment.

The screenshot shows the 'Admin' tab in the NIH SPS system. The 'Face Page Org' dropdown menu is open, displaying three options: 'Medicine' (highlighted in yellow), 'Molecular Genetics & Microbiology', and 'Research Administration'. The 'Owning Duke Org' field is set to '6960105000 - Molecular Genetics and Microbiology'. The 'Project Period' is from 07/01/2016 to 06/30/2021 (60 months), and the 'Current Budget Period' is from 07/01/2016 to 06/30/2017 (12 months). At the bottom, there are links for 'Office of Research Administration' and 'Office of Research Support'.

## NIH Rankings by Department

- Scenario #1:** The owning org is DCRI, but the PI's primary faculty appointment is to Pediatrics.
- Next Steps:** Please select Pediatrics.
- 
- Scenario #2:** For proposals with a mentor and mentee (such as NIH F proposals) – The mentor's primary faculty appointment is to Cell Biology, but the mentee is in Biochemistry.
- Next Steps:** Please enter the mentor's primary faculty appointment – Cell Biology.

### **NIH Rankings by Department**

Scenario #3: The owning org is Orthopaedics, but the PI's primary faculty appointment is to the Pratt School of Engineering.

Next Steps: Please select School of Engineering.

Then, please forward the SPS number to [gcmil@mc.duke.edu](mailto:gcmil@mc.duke.edu).

The SOM Finance office will be contacted for additional review.

Scenario #4: The owning org is Psychiatry, but the PI's primary faculty appointment is to Medicine.

Next Steps: Please select Medicine.

### **NIH Rankings by Department**

Thank you.

# Closeout Project Update

October 29, 2015  
ORA Quarterly Meeting

Nate Martinez-Wayman, Moria Montalbano

RACI

## Agenda

### Reminders

- Late Final Peer Invoices
- Tuition Remission
- Payroll Access

### Updates

- Workflow Status Reports by Cost Object
- Programmatic Reporting

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## Late Final Peer Invoices

### Context and Risk

- Subrecipient invoices represent high dollar expenses, received in the last days of project management
- FDP template dictates a deadline for final invoice of 60 days following project end date
- Duke has historically accepted and paid late final subrecipient invoices on the assumption that funds were collectable after sponsor closeout deadlines – *no longer safe assumption*
- Risk for non-payment increases as Sponsor Due Date approaches

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## Late Final Peer Invoices

### New Procedures and Guidance (*effective Sept 2015*)

- Duke will attempt to process and collect for valid invoices, but payment of late invoices is at department discretion and risk
- New GAP 200.285 clarifies institutional responsibilities around approval and payments of late invoices

Late Subrecipient AP Check Request Quick Reference Guide is available at <https://finance.duke.edu/research/training/other.php?type=r&>

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## Late Final Peer Invoices

### Departmental Responsibility

- Departments responsible for determining whether or not to pay *late* subrecipient invoices
- Departments responsible for providing backstop funding for approved subrecipient payments if funds are uncollectable from the sponsor
- If a check request is rejected:
  - OSP will return the invoice to the subrecipient unpaid
  - Departments are responsible for communication and discussion with their subrecipient counterparts

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## Late Final Peer Invoices

### Grant Manager Responsibility

- GMs need to be aware of Key Indicators and Warning Message in eAP Check Requests (eCR)
  - *A bug has been identified with the warning message generating for non-subrecipient expenses. A fix is in process.*
- Work with your Business Manager to confirm your unit's business process for approval / rejection of *late* subrecipient invoices which could obligate departmental funds

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## Tuition Remission

Average Rate Basis Methodology (*effective Sept 2015*)

- Updated GAP 200.310, Compensation of Graduate Students on Sponsored Research Projects
- Tuition Remission posts during month-end close
- More information is available on the Grad School website detailing:
  - Updated Tuition Remission Policy
  - How to Use New Methodology in Proposals
  - How to Manage Tuition Remission Exceptions and Cost Sharing
  - Current/Projected Rates

More information on **Tuition Remission** is available on The Grad School website - <https://gradschool.duke.edu/financial-support/financial-policies-forms-and-resources>

## Payroll Access

New GAPs and technology to support and provide access to information

- GAP 200.171, Cross Organizational Unit Payroll Management on Sponsored Projects
- GAP 200.172, Payroll Access for Effort Management on Sponsored Projects
- Tools and Reports Available via Grants Management Tab in Duke@Work
- Resources include Quick Reference Guide, Video via LMS and Step by Step Guides via GM Tab

**Payroll Access Quick Reference Guide** is available at <https://finance.duke.edu/research/training/other.php?type=r&>

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## Payroll Access

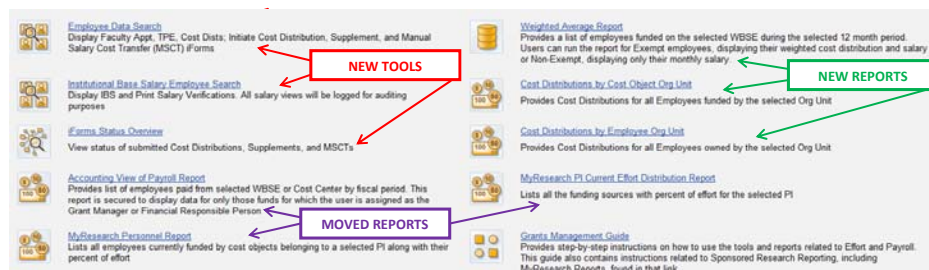
### Key Improvements

- Direct access to information needed for effective and efficient effort management
- Reports to provide information that used to be harder to compile
- Audit reports to ensure confidentiality and appropriate use of information
- iForms enhancements that minimize the need to re-open closed codes

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## Payroll Access Tools and Reports

Available via Duke@Work > GM Tab > Effort and Payroll Tools and Reports



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## Weighted Average Report

New Report Available via Duke@Work > GM Tab > Effort and Payroll Tools and Reports

- Provides the monthly salary and % effort over 12 months for a WBSE
  - Can be run for any 12 months, not limited to fiscal year
- Can be used to assist in the preparation of progress reports and confirm effort distributions by cost object easily

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## Weighted Average Report

Keep in Mind

- Exempt/Non-Exempt is a selection criteria; therefore, data for each does not display at the same time
- If Supplemental payroll is included, it will be transparent in the report
- While you can run this report for any WBSE, data will only display if you are GM1 or GM2
- Salary information is confidential!

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## Workflow Status Reports by Cost Object

Anticipated rollout end of *Oct 2015*

- Two Versions Will Be Available–
  - iForms
    - GM Tab – Effort and Payroll Tools/Report
    - iForms – Reporting
  - Non-payroll transactions
    - GM Tab – Sponsored Research Reporting
    - Finance Tab – Financial Reports

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## Workflow Status Reports by Cost Object

Enter Cost Object and Press Go

Workflow Status by Cost Object

Enter or Paste Cost Objects:

Go

Show History

Cost Object Workflow Status Report

Cost Object	ID	Type	Org	BFR/Cost Center	Created by	Created	Received	Days	Status	Level
3836689	0010-0100307387-	JV	50000850	6860201525	DML38	03/18/2015	03/18/2015	209	READY	JVD_MEDENCRO
3836689	0010-0100309731-	JV	50000850	6860201525	DML38	03/19/2015	03/19/2015	208	STARTED	JVD_MEDENCRO
3836689	0010-0100309733-	JV	50000850	6860201525	DML38	03/19/2015	03/19/2015	208	READY	JVD_MEDENCRO
3836689	0010-0100312069-	JV	50000801	6860203010	JACO0063	03/20/2015	03/20/2015	207	READY	JVD_PSYCH
3836689	1100329209	Travel	50000850	6860201525	SATTE014	02/13/2015	03/13/2015	214	READY	Processor

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## Workflow Status Reports by Cost Object

### Keep in Mind

- Can be used to track the status of transactions in workflow for a specific cost object
- Particularly important in planning for closeout
- Report displays critical details including how long item has been in workflow and current approver, along with email link to that person

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## Workflow Status Reports by Cost Object

### Keep in Mind

- Reports include transactions initiated as of 10/14/15 AND items that have moved in workflow as of 10/14/15
- This report is updated on a thirty minute cycle and should not be used to manage deadlines, such as those associated with corporate payroll deadlines or month-end closing process.

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## Workflow Status Reports by Cost Object

### What's in Workflow?

iForms Transactions	Non-Payroll Transactions
Duke Faculty Hiring, Promotion, and Tenure system ( <b>dFac</b> )	Accounts Payable Check Requests ( <b>APCR</b> )
HR/ Payroll related forms ( <b>iForms</b> )	Accounts Receivable ( <b>AR</b> )
	Online Expense Reports (denoted as <b>TRAVEL</b> and includes all online travel, out-of-pocket, and corporate card non-travel reports)
	Electronic Research Administration ( <b>ERA</b> ) – includes CAS/Rebudgets
	Journal entries / vouchers ( <b>JVs</b> )
	Accounts Payable vendor invoices with problems ( <b>APInv</b> )
	Buy@Duke transactions ( <b>B@D</b> )

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## Programmatic Reporting

### Uniform Guidance Reporting Requirements

- Uniform Guidance (§200.343 Closeout)
- “(a) The non-Federal entity **must submit, no later than 90 calendar days after the end date of the period of performance, all financial, performance, and other reports** as required... The Federal awarding agency or passthrough entity **may approve extensions** when requested by the non-Federal entity.”

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## Programmatic Reporting

### Changes with Sponsor Enforcement

- Agencies treating programmatic reports with equal weight as financial reports
- Implications for late/missing submissions impacting the entire institution, not only the PI with delinquent reports
- Agencies have greater visibility on late reports through new technology

**Pending Legislation with *Senate Committee on Homeland Security and Governmental Affairs* & *House Committee on Oversight and Government Reform***  
**Directs federal agencies to prepare reports on their efforts to close out financial accounts for expired federal grants and report directly to Congress**

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## Automated Notifications from NIH

From: [news@fda.hhs.gov](mailto:news@fda.hhs.gov) [mailto:news@fda.hhs.gov]  
 Sent: Sunday, June 28, 2015 12:07 AM  
 To: [contracts@nih.gov](mailto:contracts@nih.gov); [speng@nih.gov](mailto:speng@nih.gov)  
 Cc: [dip@nih.gov](mailto:dip@nih.gov); [notifications@nih.gov](mailto:notifications@nih.gov)  
 Subject: Federal Non-compliance, Closeout of Grant 2R5

**Sent on Day 120**

Dear Signing Official:

The above referenced grant ended on 02/28/2015, as reflected in the terms and conditions attached to the final Notice of Grant Award. NIH grant Closeout policy requires the submission of three final reports no later than 120 calendar days after termination of the grant. As stated in the NIH Grants Policy Statement, "Failure to submit timely and accurate closeout documents may affect future funding to the organization." NIH may apply enforcement actions to institutions that fail to correct recurring reporting problems." The following report(s), identified below, is now overdue or the report(s) submitted was unacceptable:

Final Progress Report (FPR) - Overdue  
 Final Invention Statement (FIS 569) - The Final Invention Statement form is located at <http://grants.nih.gov/grants/forms.htm>

We are concerned that your institution has been unable to comply with the terms and conditions of the award.

As previously noted, failure to submit timely and accurate closeout documents may affect future funding to the organization. Additionally, without DUKE UNIVERSITY's cooperation in submitting acceptable final reports, NIH may take unilateral action to close the grant and/or additional actions, including, but are not limited to, corrective actions, withholding of further awards, suspension or termination of active awards, or removal of streamlined noncompeting application procedures (SNAP) or automatic carry over authority on active awards.

Again, you are reminded that the immediate submission of these reports is imperative.

Please contact me if you have questions.

Sincerely,

- "Failure to submit timely and accurate closeout documents may affect future funding to the organization"
- "unilateral action to close the grant"
- "corrective actions, withholding of further awards, suspension or termination of active awards, removal of streamlined noncompeting application procedures or automatic carry over authority"

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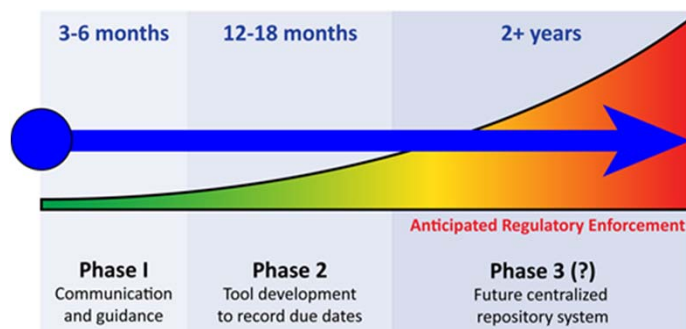
## Current State and Risks

Minimal central controls; reliant on PIs to manage independent of administrative oversight

Current state	Potential risk
No centralized tracking of programmatic report due dates. Inconsistent level of support from GM to PI with award terms and reporting requirements.	GMs can't help manage faculty submissions. Institution's response largely reactionary to sponsor's direct requests when reports are late. Risks cessation of funding (for PI and beyond...).
No repository requirements or consistency from unit to unit.	Audit risk. Potential inability to collect a report when faculty and fellows leave/retire.
Patent reports rely on verification with a restricted view database (iEdison).	Bottlenecks can occur, delaying submission. Opaque process makes ensuring accuracy more difficult.
Confirmation of subrecipient performance is often informal, through jointly written papers or conference calls.	Language in UG requires process/documentation for acceptance of programmatic reports from subs. Interpretation by agencies of new requirement is still unknown.
Duke's A-133 audit does not currently include programmatic reporting, but several of our peers' do.	Potential audit findings.

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## Recommendations – A Phased Approach



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## Programmatic Reporting

### Phase I: Raising Awareness (Fall 2015)

- Changes to Faculty Handbook clarify PI Responsibilities
- Additional guidance for GMs and Departmental Leadership on Responsibilities and Best Practices
  - Communications to be sent to Faculty, Business Managers, GMs and ORA/ORS/OSP detailing Roles & Responsibilities and Best Practices
- Next update of PI Attestation and Closeout Tasklist will include statements on programmatic reports

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## Programmatic Reporting

### Departmental Responsibilities

- Work with Pre-award offices to collect any delinquent programmatic reports requested from sponsors in a timely manner.
  - If you receive a notification of a delinquent report, let Business Manager and ORA/ORS know immediately as there is institutional risk that needs to be assessed.
- Work with School/Mgmt Center on any cases that are not quickly resolved.

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## Programmatic Reporting

### Departmental Responsibilities

- Facilitate submission of programmatic reports to OSP when required as part of financial reporting.
- Best Practices:
  - Confirm resolution of delinquent reporting requests with the Pre-award offices
  - Develop a methodology for tracking report submissions and monitor late submissions
  - Maintain copies or verification of report submissions
  - Develop an exit process for PIs leaving Duke that addresses programmatic reports

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## Programmatic Reporting

### Grant Manager Responsibilities

- Understand programmatic reporting deadlines and requirements in order to assist PI with timely submission
- Escalate knowledge of any delinquent report submissions to departmental leadership
- Best Practices:
  - Review award notices for programmatic reporting due dates
  - Notify PI prior to due dates and request confirmation of submission
  - When possible, confirm with sponsor that all programmatic reports have been submitted at closeout

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## Reminders

- Communications will go out to Faculty, Business Managers, Grant Managers and Central Offices this Fall
  - Details Policy, Responsibilities and Best Practices
- Need to be aware of Programmatic Reporting deadlines
- Critical to communicate with Departmental Business Manager and Pre-award office if notified of delinquent programmatic report

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## Questions?

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## ORA News & Reminders



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## Future Quarterly Meetings

- ☐ New meeting timeframe 1:30pm-4:00pm
- ☐ Register in LMS at least 48 hours prior
- ☐ Print materials & bring to quarterly meeting
- ☐ Sign in at the beginning & wait for the code provided at the end of each quarterly meeting
- ☐ Respond to evaluation in LMS within 10 days

Email [Rachel.Monteverti@duke.edu](mailto:Rachel.Monteverti@duke.edu) if problems arise or if you have future meeting ideas

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## Verifying Subrecipient FCOI

### Two Options for Verifying Subrecipient FCOI at Time of Proposal

#### Option 1:

Send subrecipient the Proposal Subrecipient FCOI Certification Form for completion. Upload completed form into internal documents in SPS.

#### Option 2:

Subrecipient is registered at FDP Clearinghouse

[http://sites.nationalacademies.org/PGA/fdp/PGA\\_070596](http://sites.nationalacademies.org/PGA/fdp/PGA_070596)

- Include note in proposal memo that subrecipient has a PHS compliant conflict of interest policy per FDP clearinghouse website
- Do not send Proposal Subrecipient FCOI forms to subrecipient

Note: FCOI Award Forms will still be needed at time of award and annually thereafter.

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## Application Submission System & Interface for Submission Tracking (ASSIST)


Have you ever had to fill out the Adobe SF424 application? Great news!


- ASSIST an option for most grant submissions to NIH

Mechanism	NIH NOT	Date
SBR/STTR	NOT-OD-15-156	September 17, 2015
Ts/K12/Ds	NOT-OD-15-126	July 20, 2015
U01s	NOT-OD-15-099	May 1, 2015
R01	NOT-OD-15-098	April 30, 2015
R03/R21	NOT-OD-15-062	January 3, 2015

- If application package is not supported by Grants.Duke
  - Complete ASSIST application in eRA Commons instead of completing Adobe forms.
  - SPS entry is still required, but do not check the button for Grants.Duke (S2S)

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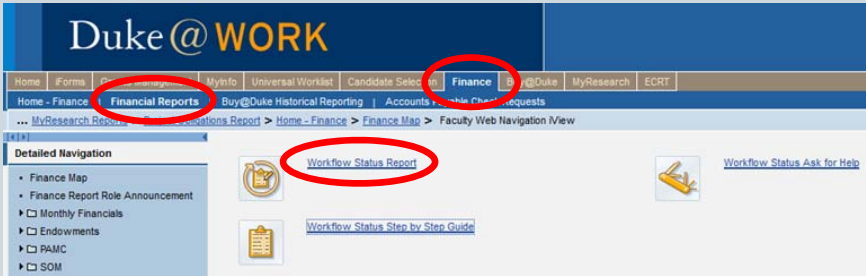
 Duke University School of Medicine	CAS in the Age of Uniform Guidance
Rebudgeting/CAS Form <u>NOT</u> Needed	Rebudgeting/CAS Form Needed
Expense budgeted and justified in competing and non-competing application (when budget is required)	Expenses initially not budgeted and justified: <ul style="list-style-type: none"> <li>• No budget submitted</li> <li>• Modular</li> <li>• Need for expense identified after award</li> </ul>
CAS line item can be less than SOM \$500 threshold	CAS line item must meet the SOM \$500 threshold
Considered approved by the sponsor	Prior approval from sponsor: <ul style="list-style-type: none"> <li>• Required for admin &amp; clerical salaries</li> <li>• Not required for non-salary CAS expenses</li> </ul>

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## Workflow Status Report for In-process Rebudgets

Have you ever wondered 'Where is my Rebudgeting/CAS Form?'

Duke@Work /Finance tab/ Financial Reports/Workflow Status Report

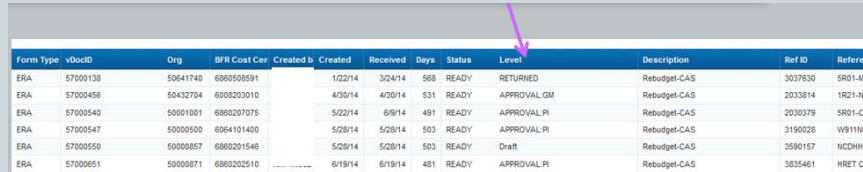


The screenshot shows the Duke@WORK interface. The top navigation bar includes links for Home, Forms, Financial Reports, MyInfo, Universal Worklist, Candidate Selection, Finance, MyDuke, MyResearch, and ECRT. The 'Financial Reports' link is circled in red. Below this, a breadcrumb trail shows: Home - Finance > Financial Reports > Buy@Duke Historical Reporting > Accounts > Workflow Status Report. The 'Workflow Status Report' link is also circled in red. On the left, a 'Detailed Navigation' sidebar lists: Finance Map, Finance Report Role Announcement, Monthly Financials, Endowments, PAMC, and SOM. In the main content area, there are icons for a calendar and a document, with links for 'Workflow Status Report' and 'Workflow Status Step by Step Guide'. A 'Workflow Status Ask for Help' link is also present.

## Workflow status report for in-process rebudgets

(cont'd)

- Run query and select ERA
- Only Rebudgeting/CAS Forms that are active in workflow for the selected BFR.



Form Type	vDocID	Org	BFR Cost Ctr	Created by	Created	Received	Days	Status	Level	Description	Ref ID	Referen
ERA	57000138	50641740	6060505891		1/23/14	3/24/14	568	READY	RETURNED	Rebudget-CAS	3037830	5R01-IH
ERA	57000456	50432704	6060203010		4/20/14	4/20/14	531	READY	APPROVAL GM	Rebudget-CAS	2033814	1R21-IH
ERA	57000540	50001001	6060207075		5/22/14	6/9/14	491	READY	APPROVAL PI	Rebudget-CAS	2030379	5R01-CA
ERA	57000547	50000500	6064101400		5/28/14	5/28/14	503	READY	APPROVAL PI	Rebudget-CAS	3190028	VB11NF
ERA	57000550	50000857	6060201546		5/28/14	5/28/14	503	READY	Draft	Rebudget-CAS	3590167	ICDHHS
ERA	57000851	50000871	6060202510		6/19/14	6/19/14	481	READY	APPROVAL PI	Rebudget-CAS	3835481	HRET CO

### Instructions:

<https://finance.duke.edu/resources/training/stepbystep/WorkflowStatusReport.pdf>

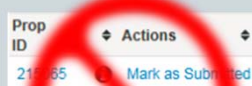
If your PI has problems opening or approving please sit with them before contacting ORA for assistance. PI Step by Step and Web Setting instructions found here: <https://finance.duke.edu/research/forms-resources/steps.php>

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## SPS Status change: Submit *Don't Touch This!*

- ORA's responsibility to monitor and change the status of SPS records
  - ORA changes the SPS record status to Submitted as part of our review and processing of the application
  - Department staff and/or PI's should not select the "Submit" or "Mark as Submitted" button in SPS to change the status of the application

### Department User View




SPS Inbox - Option to 'Mark as Submitted'



SPS Record – Option to 'Submit' record

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## SPS Status change: Submit

### *Don't Touch This!*

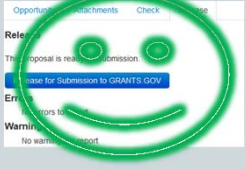
*(cont'd)*

**Principal Investigator User View:**

- Remind PI's of which systems are used for specific actions
  - PI's 'Release' application in Grants.Duke
  - Do not 'Submit' application in SPS-web
- Grants.Duke redirects PI to SPS-web to complete the Enrollment Table
- PI's may not realize they are in SPS-web and may see the Submit button, versus in Grants.Duke where they would see the Release button.




SPS Record – Option to 'Submit'



Grants.Duke – Option to 'Release for Submission'

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## Cost Sharing GAP 200.140

**Definition:**

Cost sharing or matching means the portion of a project costs not paid by Federal (Sponsor) funds.

- **Mandatory Committed Cost Sharing**
  - Sponsor requires specific cost sharing as part of the terms of the project
  - Must be included in application to be considered by the sponsor (e.g. sponsor requires 20% TC match)
- **Voluntary Uncommitted Cost Sharing**
  - Contributions above and beyond what was committed in the application to the sponsor
  - Specific commitments are not included in the application (e.g. overspending a project)


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➤ **Voluntary Committed Cost Sharing**

- Quantifiable financial commitments not required by the sponsor that are included in any part of the application
- Binding requirement if application is awarded
- Must be accounted for and reported as per Duke and Federal regulations
- Creates financial burden on departments/Duke and negatively impacts Federal F&A rate negotiations  
(e.g. PI committing effort with no salary)

- **Duke University and the Federal Government do not support voluntary committed cost-sharing unless required by the sponsor**
  - Not expected and is not to be used as a factor in the review of applications or proposals unless clearly specified in a notice of funding opportunity (UG 200.306)
- **Vague descriptions of commitments**
  - No specifics! (dollar amounts or specific effort)
  - NIH recommends “as needed”
- **Review Letter of Support, Statement of Work, Budget, Budget Justification, etc. that may include specific commitments**





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## COGR addressing concerns related to cost sharing and other topics

**COGR**  
an organization of research universities

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**COUNCIL ON GOVERNMENTAL RELATIONS**  
1200 New York Avenue, N.W., Suite 750, Washington, D.C. 20005  
(202) 289-6655 / (202) 289-6698 (FAX)

September 24, 2015

Ms. Karen Lee  
Branch Chief, Office of Federal Financial Management

Gilbert Tran  
Office of Federal Financial Management


White House Office of Management and Budget  
725 17<sup>th</sup> Street, NW  
Washington, D.C. 20503

Dear Mr. Tran and Ms. Lee,

Thank you for your ongoing commitment to addressing concerns from the research community regarding 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, hereinafter referred to as Uniform Guidance (UG). Per our phone call last week, we'd like to bring your attention a number of deviations in agency funding announcements and award notices under the UG. COGR has encouraged member institutions to address these issues independently with the agency, providing updates to COGR on resulting outcomes. However, the number of deviations that have occurred have prompted the need to collectively bring this to your attention. We ask that OMB revisit their own implementation of 2 CFR 200.107 and take a more active role in managing their responsibilities "to ensure effective and efficient implementation". We believe that the examples provided below clearly demonstrate a need for OMB to establish an ombudsman role to work with both recipients and Federal agencies to monitor and address these deviations from the UG and to maintain a systematic record of approved exceptions and the justification for those exceptions.

The following examples of exceptions have been reported by our members. We are not aware of any approval from OMB for any of these exceptions:

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## COGR addressing concerns related to cost sharing and other topics

(cont'd)

SUZANNE RIVERA  
Case Western Reserve University

PATRICK SCHLESINGER  
University of California, Berkeley

CATHY SNYDER  
Vanderbilt University

PAMELA WEBB  
University of Minnesota

DAVID WINWOOD  
Louisiana State University

KEVIN WOZNIAK  
Georgia Institute of Technology

ANTHONY DE CRAPPEO  
President

**§200.306 Cost sharing or matching**

*Agency for Healthcare Research and Quality (AHRQ)* - "This FOA does not require cost sharing. While there is no cost sharing requirement included in this FOA, AHRQ welcomes applicant institutions, including any collaborating institutions, to devote resources to this effort. An indication of institutional support from the applicant and its collaborators indicates a greater potential of success and sustainability of the project."  
<http://grants.nih.gov/grants/guide/rfa-files/RFA-HS-15-001.html#sthash.zcJA5n9m.dpuf>

*National Endowment for the Humanities* - "No cost sharing is required. NEH is, however, rarely able to support the full costs of projects approved for funding. If eligible expenses exceed the amount requested from NEH, an applicant may cover the difference and show this as cost sharing in the project's budget."  
<http://www.neh.gov/files/grants/humanities-public-square-june-24-2015.pdf> (pg. 5)

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## COGR addressing concerns related to cost sharing and other topics

(cont'd)

US Department of Education, International and Foreign Language Education Program Office, Group Projects Abroad (GPA) - "GPA does not require cost share from the host institution however, GPA funds cannot be used for pre- and post-departure related expenses, and therefore any cost associated with these activities that are paid by cost share should be included in the budget and budget narrative."

Nuclear Regulatory Commission - Announcement of Opportunity Number: NRC-HQ-84-15-FOA-0002, CFDA #: 77.008 - "Cost sharing is not required for applications requesting up to \$100,000.00 total costs (i.e. direct costs plus facilities and administrative costs) per year. However, institutions are encouraged to leverage NRC funding to enhance the educational benefits of the NRC grant. Applications demonstrating such leveraging to further the goals of this announcement will receive additional consideration in the peer review process. "

<http://www.grants.gov/web/grants/view-opportunity.html?oppld=275049>

Environmental Protection Agency- No matching funds are required under this competition. "Although cost-sharing/matching is not required as a condition of eligibility under this competition, under Section V of this announcement EPA will evaluate proposals based on a leveraging criterion. Leveraging is generally when an applicant proposes to provide its own additional funds/resources or those from third party sources to support or complement the project they are awarded under the competition which are above and beyond the EPA grant funds awarded. Any leveraged funds/resources, and their source, must be identified in the proposal (See Section IV of the announcement). Leveraged funds and resources may take various forms as noted below. Voluntary cost share is a form of leveraging. Voluntary cost sharing is when an applicant voluntarily proposes to legally commit to provide costs or contributions to support the project when a cost share is not required. Applicants who propose to use a voluntary cost share must include the costs or contributions for the voluntary cost share in the project budget on the SF-424."

[http://www2.epa.gov/sites/production/files/2015-03/documents/efc\\_grant\\_rfa.pdf](http://www2.epa.gov/sites/production/files/2015-03/documents/efc_grant_rfa.pdf) (pg. 8-9)

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(cont'd)

Department of Energy - "Cost sharing is not required. However, any planned cost sharing, such as partial institutional funding of tenure-track positions, should be indicated. Since one purpose of this program is to increase staffing levels in nuclear theory, joint funding and bridging positions are anticipated, and will be considered favorably in the proposal review process."

[http://science.energy.gov/-/media/grants/pdf/foas/2015/SC\\_FOA\\_0001269.pdf](http://science.energy.gov/-/media/grants/pdf/foas/2015/SC_FOA_0001269.pdf) (pg. 7)

Corporation for National and Community Service - The NOFA states "There is no cost share or matching requirement, but providing a match makes the application more competitive."

[http://www.nationalcervice.gov/sites/default/files/documents/2015%20National%20Service%20Research%20NOFA\\_Amended.pdf](http://www.nationalcervice.gov/sites/default/files/documents/2015%20National%20Service%20Research%20NOFA_Amended.pdf) (pg. 8)

National Institutes of Health - NIGMS - "This FOA does not require cost sharing as defined in the NIH Grants Policy Statement", "NIGMS encourages requests that reflect institutional commitment".

<http://www.grants.nih.gov/grants/guide/pa-files/PA-15-089.html>

USAID- "Cost-sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. There is no minimum or maximum amount of cost-sharing, but some amount is strongly encouraged, unless otherwise required by a Mission through an addendum or a request for application (RFA).

<http://www.grants.gov/search-grants.html?agencies%3DUSAID%7CAgency%20for%20International%20Development>

Department of State, Public Affairs Section - "This program requires cost-sharing or matching on the part of the grantee organization and/or any partner institution. No specific level of cost-sharing is required, but applicants should demonstrate commitment to a successful program."

USDA-NRCS Regional Conservation Partnership Program - "An eligible partner shall provide a significant portion of the overall costs of the scope of the project, which will be reflected in the partnership agreement. The overall cost includes all

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## **COGR addressing concerns related to cost sharing and other topics**

(cont'd)

*COGR: Agency Deviations in Funding Opportunities under the UG*

*September 24, 2015*

direct and indirect costs associated with implementation, from NRCS and partner(s). Partners may include funds they have received from other Federal sources as part of their contribution to the project, provided they submit a written commitment from the Federal agency confirming such funds can be used in conjunction with NRCS funds."  
<http://www.nacdnnet.org/policy/rcpp>

*National Historical Publications and Records Commission (NHPRC)* – "The total costs of a project are shared between the NHPRC and the applicant organization. The Commission ordinarily provides no more than 50 per cent of total project costs for Digital Dissemination of Archival Collections projects. NHPRC grant recipients are not permitted to use grant funds for indirect costs (as indicated in 2 CFR 2600.101). Cost sharing is required. The applicant's financial contribution may include both direct and indirect expenses, in-kind contributions, non-Federal third-party contributions, and any income earned directly by the project. Indirect costs must be listed under the applicant's cost sharing contribution." <http://www.archives.gov/nhprc/announcement/digital.html>

*National Aeronautics and Space Administration (NASA)* – "NASA strongly encourages, but does not require, that the submitting institution contribute to the cost of the proposed NIP project. Of special interest is cost sharing in which the employing institution would provide release time to enable the applicant to more fully concentrate on the activities related to the proposal. Institutional support of equipment purchase and co-funding of student and/or postdoctoral support would also be recognized as valuable cost sharing."  
<http://nspires.nasaprs.com/external/viewrepositorydocument/cmdocumentid=448066/solicitationId=%7BB8991E29-00AA-48D8-0380-FBE428CF2EAE%7D/viewSolicitationDocument=1/A.35%20NIP.pdf> (pg. A.35-3)

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## **Just-in-Time (JIT) Request**

### **Definition:**

NIH policy allows the submission of certain elements of a competing application to be deferred until later in the application process, after review when the application is under consideration for funding. Within the Status module of the eRA Commons, users will find a feature to submit Just-In-Time information when requested by the NIH. Through this module, institutions can electronically submit the information that is requested after the review, but before award.

### **Some Common JIT Elements:**

- Other Support
- Certification/Verification of IRB and IACUC Approval
- Human Subject Education Requirements

### **New JIT Element:**

- Genomic Data Sharing Institutional Certification

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**JIT Request Example** (excerpt):

## 1) Genomic Data Sharing Information.

- a) This application proposes to perform candidate gene variant genotyping and targeted metabolomics profiling on two HIV cohorts. To ensure that this project is compliant with the [NIH Genomic Data Sharing Policy](#) (see [NOT-OD-14-111](#) and [NOT-OD-14-124](#)), please provide a Genomic Data Sharing Plan (GDS).
- b) See this [link](#) for a guidance document for investigators regarding the consent expectations under the GDS Policy and examples for data sharing plans.
- c) Please note that the GDS Policy expects that large-scale genomic research data from NIH-supported studies involving human genomic data are to be registered in the [database of Genotypes and Phenotypes \(dbGAP\)](#) before being submitted to an appropriate NIH-designated repository.
  - i. Information on how to submit genomic data into dbGaP can be found at:  
[http://www.ncbi.nlm.nih.gov/projects/gap/cgi-bin/GetPdf.cgi?document\\_name=HowToSubmit.pdf](http://www.ncbi.nlm.nih.gov/projects/gap/cgi-bin/GetPdf.cgi?document_name=HowToSubmit.pdf)  
<https://www.youtube.com/watch?v=gljN0Er39us&feature=youtu.be>
- d) Provide GDS Extramural Certification.  
 See [https://gds.nih.gov/Institutional\\_Certifications.html](https://gds.nih.gov/Institutional_Certifications.html) for links to certification document required.

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**What Do I Need to do When a JIT Request Involves a Genomic Data Sharing Plan and Institutional Certification?**

- Share JIT request with the PI immediately
- In consultation with PI, understand if Genomic Data Sharing involves one site (i.e., Single Site) or multiple sites (Multicenter Site):
- Depending on the situation (i.e., Single vs. Multicenter Site), use the applicable Institutional Certification form (i.e., Single or Multicenter) and complete the form
  - Institutional Certification for Single Site Studies  
[https://gds.nih.gov/pdf/GDS\\_Single\\_Site\\_Extramural\\_Certification.pdf](https://gds.nih.gov/pdf/GDS_Single_Site_Extramural_Certification.pdf)
  - Institutional Certification for Multicenter Site Studies  
[https://gds.nih.gov/pdf/GDS\\_Multicenter\\_Extramural\\_Certification.pdf](https://gds.nih.gov/pdf/GDS_Multicenter_Extramural_Certification.pdf)


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- Utilizing the Administrative Action Request (AAR), select the “JIT” option and submit all applicable documentation to your assigned ORA RA
- ORA will review all documentation including the Institutional Certification form and verify the appropriateness of the information disclosed within the Institutional Certification form with the IRB
- Any issues/concerns on the part of ORA’s RA, the RA will communicate appropriately
- Assuming all documentation is appropriate, ORA will submit the JIT

- Recently revised
- Published on Financial Services website
- <https://finance.duke.edu/research/monitoring/farates.php>

Refer to the following for more information:

- [Current & Past Facilities and Administrative \(F&A/Indirect Cost\) Rates](#)
  - [School of Medicine's F&A Rate Waiver Guidelines \(pdf\)](#)
- [Current & Past Fringe Benefit Rates](#)

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**IRB/IACUC**

➤ When approved IRB/IACUC protocol is required

- JIT
- RPPR
- No Cost Extension - protocols should not expire before end date
- Supplement applications - verification required if using parent protocol
- Adding new personnel to a project
- Change in project SCOPE impacting human or animal subject use

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**IRB/IACUC**  
*(cont'd)*

Contact Information:  
Jody Power, Director  
Institutional Review Board  
<https://irb.duhs.duke.edu/>

Dr. Ron E. Banks, Director  
Office of Animal Welfare Assurance  
<http://vetmed.duhs.duke.edu>

➤ See ORA Website for Institutional Assurance and Certification Numbers

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**System Specific Reminders**

**Altum proposalCENTRAL**

- Organization/Institution: Duke University Medical Center
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## Miscellaneous News and/or Tidbits



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## Professional Development Opportunities

- **Duke Education & Training Opportunities can be found and registered at:**  
<http://finance.duke.edu/research/training/index.php>
- 2015 Symposium for Research Administrators at Durham Convention Center hosted by Duke RCC, November 10, 2015
- **Professional Organizations:**
  - SRA Southern Section – New York, NY; February 28, 2016
  - NCURA FRA & PRA - New Orleans, LA; March 6-11, 2016
  - NCURA Region III – Miramar, FL; April 29 – May 4, 2016
- **Next RA Meeting Dates**
  - January 21, 2016 - 1:30PM\*
  - April 21, 2016 - 1:30PM\*



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ORA Personnel Update

➤ Departures

**CAROLE TUCKER**



➤ On Leave

— Solita Denard

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## Questions?

Please state your name and department

