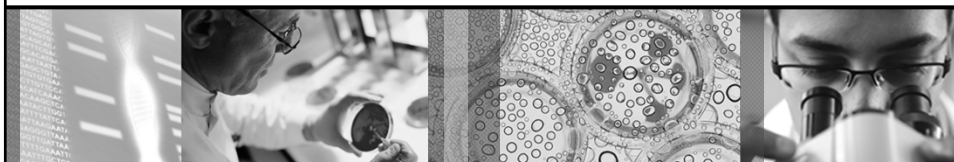


# Quarterly Research Administrators Meeting

Office of Research Administration

January 21, 2016



## Agenda



### **RACI Closeout & Implementation Teams**

- **Moria Montalbano, Zarrin Brooks, Klugh Jordan, Blake Perrault, Darrell Queen, and Paige Smith**
  - Team Updates
  - NCE Demonstration

### **Research Cost and Compliance (RCC)**

- **Julie Cole**
  - CAS Process Update

### **Office of Research Administration (ORA)**

- **Michael Dickman**
  - ORA News & Reminders
  - Sponsor Related News and/or Tidbits
  - Miscellaneous News and/or Tidbits

# Closeout Project Update

January 21, 2016  
ORA Quarterly Meeting

Moria Montalbano, SOM Implementation Team  
and Closeout Project Team

*RACI*

## Agenda

### Reminders

- Enhanced ZF114
- Extended Closeout Docs Due Date for '120 Day Projects'

### Updates

- Closeout Tasklist/PI Attestation v4 and Resources
- Final Subrecipient Invoice Process
- NCE Requests

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## Enhanced ZF114

How's it going?

- Good job moving toward Clean Close
  - Avg. 75-80% of submissions without anticipated activity
  - Next Step: improving on-time submissions
- Common questions
  - Why is there not a breakdown of allowable/unallowable?
  - No PDF, no signatures, really?

**ZF114 Transactions After End Date Quick Reference Guide** is available at <https://finance.duke.edu/research/training/other.php?type=r&>

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## Extended Closeout Docs Due Date for '120 Day Projects'

Verify the departmental due date – you may have more time...

- Closeout Docs Due Date can be found in:
  - ZF600: Sponsored Research Closeouts
  - Projects Approaching End Date
  - Project Obligation
- To date, field has been updated for projects ending through Sept 2016

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## Closeout Tasklist/PI Attestation v4

### What's new or notable?

- **WBSE Backstop Code**
  - If you need to update, change it in Master Data, not on tasklist; tasklist field no longer editable
- **Project Balance**
  - Required on PI Attestation for Parent WBSE only and includes all subcodes
  - WBSE Balance is on the tasklist
  - Project Balance Calculator and Quick Reference Guide

**Project Balance Calculator and Quick Reference Guide** are available at <https://finance.duke.edu/research/training/other.php>

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## And now, a preview...

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## Closeout Tasklist/PI Attestation v4

### What's new or notable?

- Programmatic Reporting
  - Be aware of sponsor deadlines and notify PI of final programmatic requirements
  - For NIH projects, Quick Reference Guides available that cover the eRA Commons process of submitting **and** verifying the final progress report and final invention statement

**Programmatic Reporting (NIH only) Quick Reference Guides** are available at <https://finance.duke.edu/research/training/other.php>

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## Additional Resources

- Closeout Tasklist Step by Step Guide
  - Companion document that details the context and goal of each tasklist section and action item with links to related resources
  - Will be available online at the end of January 2016
- Pre-Submission Emails from Implementation Team
  - Alert GM1 of action items (payroll, POs, workflow items)
  - Copy cross departmental individual responsible for payroll action
  - Let us know if you are experiencing issues in advance of the due date. Maybe we can help....

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## Final Subrecipient Invoice Process

Modified Process (*effective Jan 20, 2016* )

- eAP Check Request (eCR) routed to business units regardless of PI Attestation completion
- eCR comments indicate if invoice is FINAL or LATE FINAL
- Follow local business process regarding PI approval of payment
  - *Process may vary for ON-TIME vs. LATE final sub invoices*
- PI Attestation still required by Closeout Docs Due Date, along with Tasklist and ZF114 / Obligations Worksheet (*if applicable*)

AP Check Request Approval for Subrecipient Final Invoices Quick Reference Guide is available at <https://finance.duke.edu/research/training/other.php>

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## NCE Requests

NCE Request Form in SPS Web (*anticipated Feb 2016*)

- Consistent, simplified and transparent process linked to SPS Award information
- Eliminates need to submit NCE requests via Admin Action
- Functionality includes email notifications, status tracking and supporting doc attachments
- Differentiates between Duke-approved and Sponsor-approved requests
- Supports consecutive NCEs per project and limits to one pending request

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## NCE Requests

### NCE Checklist and Procedures

- Summarizes items to be reviewed/confirmed when requesting a NCE
- SPS Request Form requires affirmation but checklist not required by ORA (follow local business process)
- Details timeline expectations for all offices
  - NCE requests due to ORA/DOCR 15 business days prior to Sponsor due date or project end date, whichever is earlier
  - REMINDER: NIH accepts NCE Requests as early as 90 days prior to end date
- Additional resources: Video and Quick Reference Guide
  - Links will be available when tool goes live in February

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**And now, a preview...**

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# Questions?

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## Sponsor Related News and/or Tidbits



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**NIH GPS Sec 8.1.1.3**

- **May extend a grant if:**
  - Additional funds are not required by NIH
  - No change in project's originally approved scope
- **Extension warranted if:**
  - Additional time required to complete original aims
  - Competing continuation application under review
  - Orderly phase-out a project that is ending
  - NOTE: 'The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds.'

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- **Extending an award in eRA Commons**
  - Allowed for first-time extension
  - Link is accessible 90 days before project end date and is removed at midnight of project end date
  - Required for first time NCE requests
  - Extensions can be requested in 1 month increments up to 12 months
  - Required to update human subjects and animal welfare, if applicable
  - Additional extensions require prior sponsor approval

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### Effort Reduction in NIH NCE

- **Prior sponsor approval is no longer required**
  - Unless effort requirement exists
  - Specific terms and conditions may prohibit
- **Does that mean sponsor key effort can be reduced to '0'?**
  - NIH requires that active awards have 'measurable effort'
- **Effort reduction form is required to reflect effort changes in SES**

(<http://research.som.duke.edu/research-administration/grant-administration/forms>)

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### NIH Executive Level II (NOT-OD-16-045)

- **Effective January 10<sup>th</sup>, 2016**
- **Annual Rate of \$185,100**
  - Increased from \$183,300
- **Provides maximum salary cap rate that can be awarded and charged to NIH grants and contracts**
- **For the purposes of the salary limitation**
  - "direct salary," "salary," and "institutional base salary" have the same meaning
  - exclusive of fringe benefits and facilities and administrative (F&A) expenses.



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## NIH Salary Cap

Q: Will grantees be permitted to submit revised categorical budgets reflecting higher base salaries?

A: Not as a general rule. NIH policy for categorical budgets states that grantees **should always reflect actual base salaries in the requested budgets or provide an explanation indicating that actual institutional base salary exceeds the current salary limitation.** As a general rule, NIH will use the information available in the existing application and make adjustments for the salary cap based on information available at the time of award.

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## NIH Salary Cap

Q: Can I rebudget grant funds or charge contracts issued in prior years (see Salary Cap Summary, FY 1990 – FY 2016) funds to allow for the 2016 salary cap increase?

A: Yes, provided funds are available and the increase is warranted. Prorated figures should be used for the applicable months, i.e., the \$185,100 level is effective beginning January 10, 2016.

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## NIH Salary Cap

### Calculating salary using the NIH Salary Cap Rate

- **Max NIH Salary Cap Rate \$185,100**
- **NIH Salary Cap Rate is pro-rated for individuals with less than a full time appointment**
- **Salary paid to an individual that exceeds the NIH salary cap rate must be covered by other non-federal unrestricted codes on all NIH sponsored grants.**

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## NIH Salary Cap

### Example 1

Individual with Full-Time Appointment (based on grant award/contract issued on or after January 10, 2016 with salary limitation of \$185,100)

Individual's institutional base salary for a FULL-TIME calendar year appointment - <b>1.0FTE (12 Months)</b>	\$200,000
Research effort requested in application/proposal	6 months (50%)
Direct Salary requested	\$100,000
If a grant/contract is to be funded, the amount included for the above individual will be calculated as follows:	
Direct salary - restricted to a RATE of	\$185,100
Divided by 12 months multiplied by 6 months (50%)	\$92,550
Amount of reduction due to salary limitation and to be covered by unrestricted funds	\$7,450

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## NIH Salary Cap

### Example 2

Individual with **Half-Time** Appointment (based on a grant award/contract issued on or after January 10, 2016 with salary limitation of \$185,100)

Individual's institutional base salary for a HALF-TIME calendar year appointment - <b>0.5FTE (6 Months)</b>	\$100,000
Research effort requested in application/proposal	1.8 Months (30%)
Direct Salary requested	\$30,000
If a grant/contract is to be funded, the amount included in the award for the above individual will be calculated as follows:	
Direct salary - restricted to a RATE of	\$92,550
Divided by 6 months multiplied by 1.8 months (30%)	\$27,765
Amount of reduction due to salary limitation and to be covered by unrestricted funds	\$2,235

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## K Award Salary and Research Costs

- **K08 and K23 Career Development Awards (NOT-OD-16-032)**
  - Effective for New (Type 1) applications due Feb 12, 2016
  - Institutes and Centers (IC) will contribute up to 100K
  - IC discretion to annually increase salary and research cost contributions
  - K08: [http://grants.nih.gov/grants/guide/contacts/parent\\_K08.html](http://grants.nih.gov/grants/guide/contacts/parent_K08.html)
  - K23: [http://grants.nih.gov/grants/guide/contacts/parent\\_K23.html](http://grants.nih.gov/grants/guide/contacts/parent_K23.html)

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## 2016 NIH Application Changes

### NIH & AHRQ Announce Upcoming Changes to Policies, Instructions and Forms for 2016 Grant Applications (NOT-OD-16-004)

- **Phase 1: Implements a subset of the policy changes using existing (FORMS-C) forms and updated instructions and will impact due dates on or after January 25, 2016.**
  - Definition of a child
  - Additional rigor and transparency considerations in review process
- **Phase 2: Completes the implementation with the introduction of new (FORMS-D) forms and instructions and will impact due dates on or after May 25, 2016.**
  - Biosketch Clarifications
  - Application Assignment Request Form
  - Changes to Training Grant Tables




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## Miscellaneous News and/or Tidbits




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## State of Emergency

- The National Weather Service issued a Winter Storm Warning for the area from 6 p.m. Friday, Jan. 22, through 6 p.m. Saturday, Jan. 23.
- Gov. Pat McCrory declared a state of emergency for the state because of the winter storm.
- Duke officials are monitoring the weather forecasts and are preparing for a possible power outage and freezing temperatures on Saturday morning through Sunday.



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## Email Correspondence

**ORA requests email correspondence sent to ORA personnel and to ORA's generic email addresses include a subject line containing the following information, at a minimum:**

- Applicable SPS Number
- PI Name
- WBSE (if applicable/available)
- Purpose

**Example:**

SPS 012345 / Jones, Tom / 301-1234 / Carryover Request

**Note: Suggest disclosing your expectations in body of email (i.e., what you want and when you want it).**

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## Timely Submission of iForms

- **iForms submitted more than 180 days after end of relevant pay period are untimely**
  - The effort should always be reported in the code(s) to which it belongs; however,
  - The federal government will not reimburse Duke for untimely costs
    - These costs must be borne by the department
    - Very few exceptions
- **Do not wait until the cutoff date to submit untimely iForms and expect them immediately to be processed**
  - Notify ORA's GMT if you expect to submit a large number of iForms in a short period

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## Overdraft Process Changes

### Changes to Metric Process:

- **Unacceptable Institutional Risk (UIR)**
  - Overdrafts of \$20k+ for more than 3 months
  - Reviewed as of December 31<sup>st</sup> and June 30<sup>th</sup>
- **Departments will have until the end of the next fiscal quarter to obtain central administration approval of the expected UIR**
  - Requests for approval are to be sent to the GMT for initial review
  - Untimely requests will count against the department in the metrics report.

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## Overdraft Process Changes

- **See SOM Finance and Resource Planning intranet for Guidelines**
  - <https://intranet.medschool.duke.edu/depts/admin/finance/Tools/Overdraft>
- **The monthly review of all overdrafts >\$100k (OSS Report) will continue as before**

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## RAD Updates

### SPS Web – What's New?

- **PDF Attachment for Non-competing Renewals**
- **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)**

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 <b>Duke University</b> School of Medicine	<h2>RAD Updates</h2>
<h3>SPS Web – Coming Soon!</h3>	
<ul style="list-style-type: none"> <li>• <b>Support for No-Cost Extension Requests (Feb 2016)</b></li> <li>• <b>Use of Prime Sponsor to drive business rules in the budget (e.g., fringe rates)</b></li> </ul>	
<h3>Grants. Duke – What’s New?</h3>	
<ul style="list-style-type: none"> <li>• <b>Support for DoD Project Abstract template</b></li> <li>• <b>Support for NIH OT1 Pre-applications</b></li> </ul>	

 <b>Duke University</b> School of Medicine	<b>Federal Contracting</b> <b>Small Business Subcontracting Plan</b> <b>(SBSP) Performance: Post-Award</b>
<ul style="list-style-type: none"> <li>• <b>Procurement develops the SBSP with input from PI and Department</b></li> <li>• <b>The award recipients (PI and Department) are ultimately responsible for compliance and performance under the Plan.</b> <ul style="list-style-type: none"> <li>– Each April &amp; October, Duke submits to the awarding agency a performance review with respect to small business participation and compliance with the SBSP. This review permanently impacts the ultimate performance of the contract and Duke’s award reliability rating.</li> <li>– The awarding agency can request a small business performance report at any time during the contract.</li> <li>– Maximum practicable opportunities to small businesses must be proven with demonstrated outreach and communication.</li> </ul> </li> <li>• <b>It is expected, and imperative, that contract spending be monitored <i>monthly</i> by Grant Managers to ensure that the vendors identified in the SBSP are utilized as indicated in the plan!</b></li> <li>• <b>Questions? Contact Mary Crawford, Procurement</b>  <a href="mailto:mary.b.crawford@duke.edu">mary.b.crawford@duke.edu</a> </li> </ul>	
<p><i>“When a contractor fails to make a good faith effort to comply with a subcontracting plan, these objectives are not achieved, and 15 U.S.C. 637(d) (4) (F) directs that liquidated damages shall be paid by the contractor.” – HHS SBSP Verbiage</i></p>	



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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>
- **Professional Conferences:**
  - 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
  - NIH Regional – Baltimore, MD; May 11-13, 2016
- **Next RA Quarterly Meeting Dates**
  - April 21, 2016 – 1:30p



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**ORA Personnel Update**

- **Arrivals**
  - Broderick Grady, Assoc. Dir. International
  - Solita Denard
  - Katherine Scott (RAM)
  - TBN (Research Administrator/Contracts)
  - TBN (Research Administrator/Contracts)
  - TBD (Staff Specialist)
- **Departures**
  - Brittany Painter
  - Jim Lux
  - Seattle Seahawks
  - Arizona Cardinals
  - TBD



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## LMS Registration & Credit



### Patience with the Process, Please

- If you are not on the roster &/or signed up less than 2 business days prior to our meeting, give us 2 business days to add you to the system (remember to sign in legibly & with Net ID)
- Those who did not sign in will be listed as 'no shows' in LMS within 3 business days (\$100 fee N/A)
- Note: The credit should be listed in LMS within 14 days after survey is completed

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## Questions?

Please state your name and department

