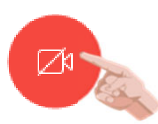
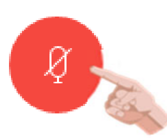
ORA Bi-Monthly Town Hall

Office of Research Administration
August 27th, 2020

Welcome, Thanks for Joining!

To ensure the quality of this session for all participants, please ensure the following:

- Your Video is off 
- Your Computer Audio is muted 
- If calling in, your phone audio is muted **Press Mute, *6 or *86**

Who’s Got Questions?

- Questions will be addressed at the end of each topic
- Questions can be answered using the Q&A Panel
  - Click on the Q&A icon on the in the Panel Controls.
- Questions may be answered in session, but in some cases may require follow up at a later point in time.

ORA Re-Org

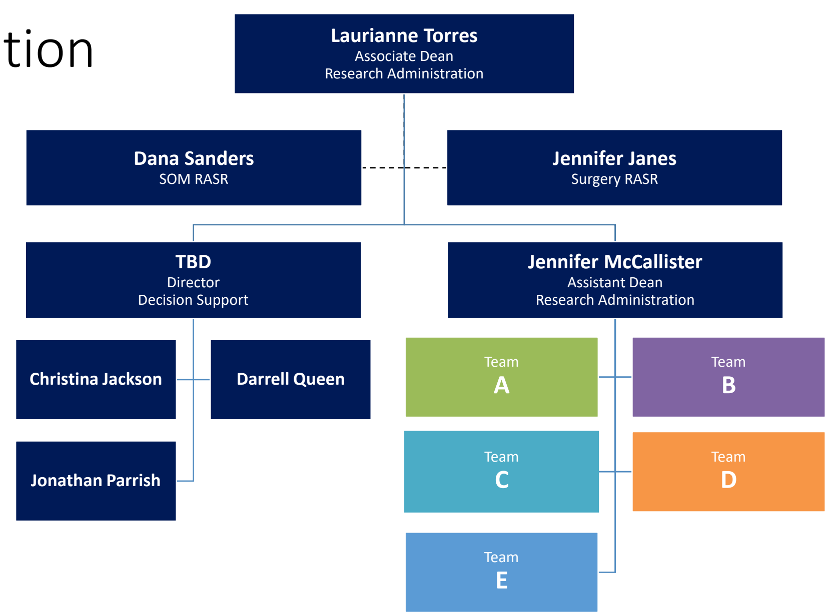
Laurianne Torres
Jennifer McCallister
ORA

Under Pressure!

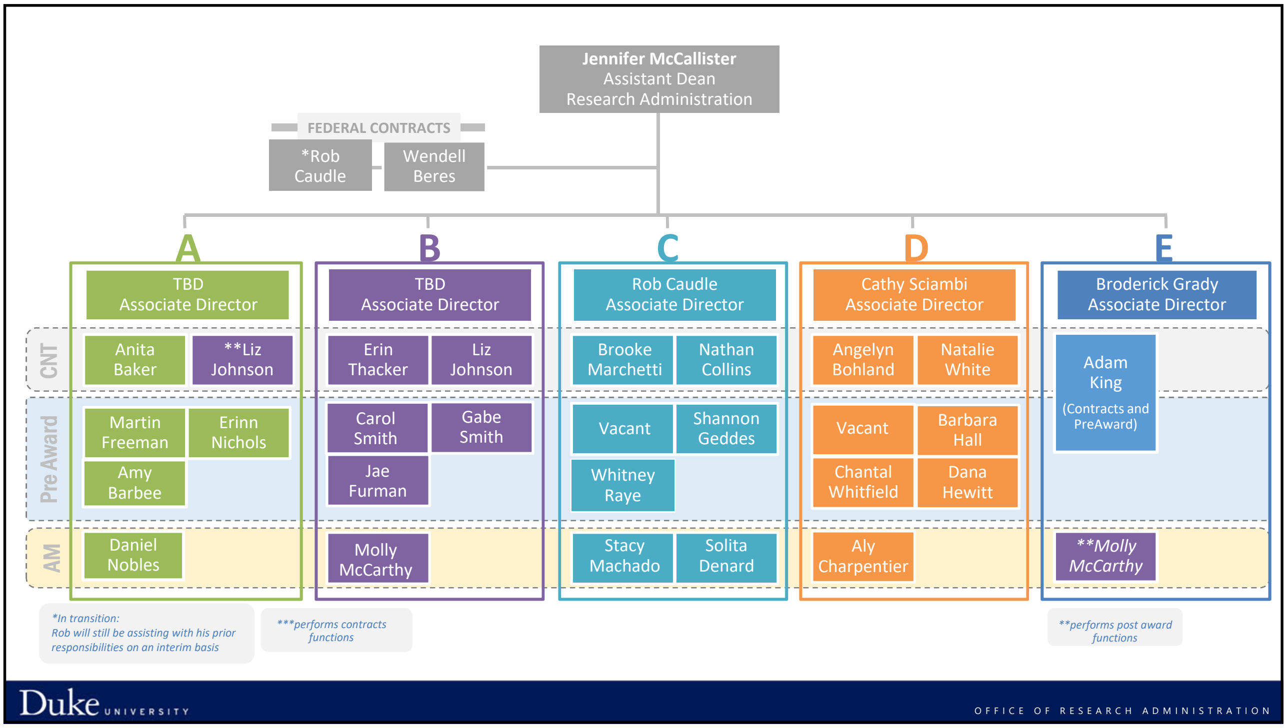
- Pandemic
- Kids Back to School, Many Virtually
- Federal Fiscal Year End
- Increase in Proposals Submitted and Awards Received
- Short Staffed
- ORA Re-org and Cross Training

It's important that we practice mutual patience during this hectic and stressful time!

ORA Organization



Open Positions:
- Director, Decision Support
- Research Administrator



International Research Support Team (IRST)

Broderick Grady, J.D.
IRST

Duke UNIVERSITY

OFFICE OF RESEARCH ADMINISTRATION

International Research Support Team (IRST)

- Overview of the Team
- Team Objectives
- How you can help IRST
- How IRST can help you

IRST - Overview

Given the scope of research activities taking place outside the USA, Duke recognized that it needed to build infrastructure internally that could better support complex international activities

✓Treasury
✓University Counsel
✓Research Administration

International Team:

- Broderick Grady – Associate Director
- Adam King – Assistant Director

IRST – Team Objectives

1. Provide advice/guidance to Duke faculty, staff AS EARLY AS POSSIBLE
2. Ensure all parties are aware of potential issues and address/minimize risks
3. Work with other Duke offices to address administrative, contractual, payment issues related to international work/sponsors

Especially for non-typical sponsors like USAID, DFID, WHO, World Bank

How can you help IRST?

- Let us know when you hear about upcoming or ongoing international work
  - Issue spotting: Pre-award, RPPRs/Progress Reports, invoicing, etc.
  - The earlier, the better
- Raise issues through your normal ORA contact or directly to us

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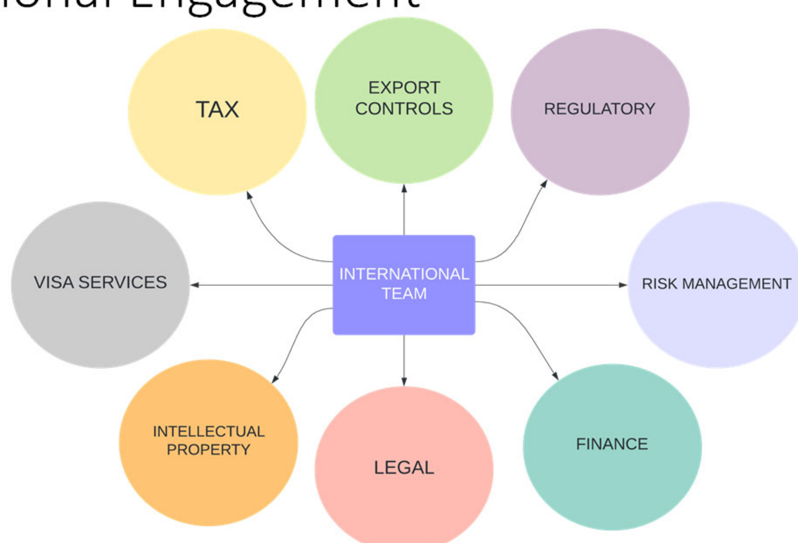
How can IRST help you?

- Providing expert help on complex international proposals/issues
- Pulling in expertise from around Duke:
  - Export Controls
  - Visa Services
  - Treasury
  - Payroll
  - Legal
- Helping to ensure proposal budgets reflect the realities of international work
  - Leads to less issues at award and during the life of the project

International Engagement

IRST will serve as "Gatekeepers"
Where additional guidance/resources are needed, Team will engage other International Resources around duke (Tax, Finance, Legal, Export Controls, etc.)



Key Takeaways

- ✓Raise awareness and encourage involvement of IRST whenever international work is contemplated
  - ❖At proposal phase but even earlier (hiring/onboarding of faculty)
- ✓Ensure that IRST is notified when complex international proposals are in process
  - ❖Revision of Intent to Submit process and inclusion of international questions
- ✓Serve as “Gatekeepers” for international activity, University-wide
  - ❖Bring in other Duke expertise as needed

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Who To Contact

Easiest way: IRST@duke.edu

• Broderick Grady, Associate Director
919.668.1777
broderick.grady@duke.edu

• Adam King, Assistant Director
919.681.5589
adam.j.king@duke.edu

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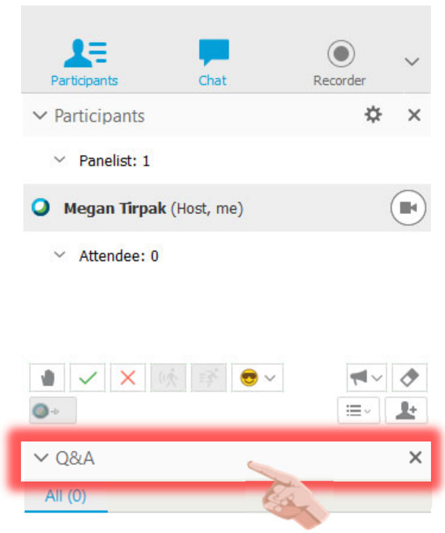
Q&A

- If you have any questions, click on the Q&A on the Panel Controls
- Please be patient as the questions are moderated and the appropriate respondent is selected.
- Don’t forget to enter your NetID for LMS credit open exiting the session!!!



NIH Disclosure Requirement

Lindsey Spangler, J.D.
Research Facilitation

NIH Disclosure Requirements

- New disclosure requirements posted on NIH site, ***Protecting U.S. Biomedical Intellectual Innovation***: https://grants.nih.gov/policy/protecting-innovation.htm
- Provides helpful table of what, when, and where to disclose Senior/Key personnel activities
- Table is subject to change based on feedback NIH is receiving
- Through COGR, Duke submitted questions regarding the requirements as there are areas that need clarification

NIH Disclosure Requirements

	Type of Activity	Report in Biosketch / Application	Report as Foreign Component in Application	Obtain Prior Approval and Report as Foreign Component in RPPR	Report as Other Support (JIT)	Report as Other Support (RPPR)	Review for potential FCOI
NEW (volunteer positions)	All positions and affiliations, including volunteer positions, relevant to the application	✓					✓ If personal payments to the individual
	Relevant appointments at foreign institutions – even if labeled as "guest," "adjunct," "honorary," with or without salary support	✓					✓ If personal payments to the individual
	The number of person-months devoted to projects, even if there is no salary support or direct personal payments to the scientist				✓	✓ If new	
	Income, salary, consulting fees, and honoraria in support of an individual's research endeavors				✓	✓ If new	✓
NEW	Participation in a foreign talent or similar-type programs				✓	✓ If new	✓

NIH Disclosure Requirements

	Type of Activity	Report in Biosketch / Application	Report as Foreign Component in Application	Obtain Prior Approval and Report as Foreign Component in RPPR	Report as Other Support (JIT)	Report as Other Support (RPPR)	Review for potential FCOI
	Ongoing and completed research projects from the past three years that the applicant wishes to highlight	✓					
	All resources and other support, both domestic and foreign, for ongoing research projects, including those conducted at a different institution				✓	✓ If new	✓
NEW	In-kind contributions from domestic and foreign institutions or governments that support research activities				✓	✓ If new	✓
	Performance of any significant part of an NIH project outside of the US, whether or not funds are expended		✓	✓ If new			
NEW	Post-doc, student, or visiting scholar supported by a foreign government or institution				✓	✓ If new	
	Travel paid by a foreign institution or government over $5,000 per year						✓
	Financial interests received from a foreign Institution of higher education or a foreign government						✓

NIH Disclosure Requirements

- Disclose Senior/Key Personnel significant financial interests in accordance with regulation and institutional policy
- Ensure that all applications, reports, and communications submitted to NIH are complete and accurate
- Immediately notify NIH of developments that have a significant impact on NIH-supported activities
- Disclose information throughout the grant process, from updating a principal investigator's biosketch and other support, submitting an application, progress report, final report, or anytime there is a significant change that impacts the NIH award

Key Takeaways

- **Please remember**
  - Ask Senior/Key Personnel for this information—do not guess
  - Request new versions of the biosketch for each application—do not assume everything is the same
  - Request/create new versions of Other Support for each application and ensure Senior/Key Personnel have reviewed and added activities not captured in a Duke system
  - Request that Senior/Key Personnel “sign off” on the biosketch and Other Support

- **There can be very serious consequences if activities are not disclosed, including removal from ALL NIH funding**

Who To Contact

Please contact the following individuals for questions regarding:

- Conflict of Interest:
  - Angie Solomon DOSICOI@duke.edu
- Biosketch/Other Support:
  - Cathy Sciambi - catherine.sciambi@duke.edu
- Visiting Scholars:
  - Pearce Jackson - pearce.jackson@duke.edu

Q&A

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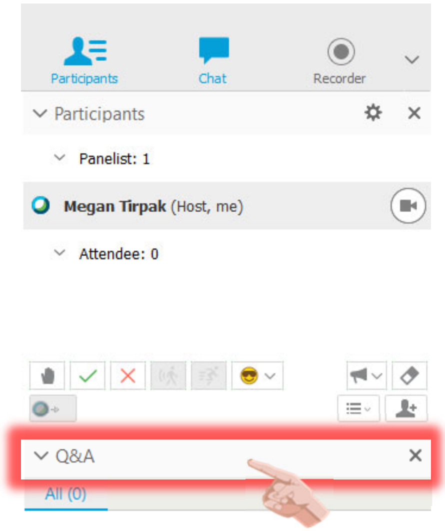

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NOSI Reminder

Jennifer McCallister
ORA

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Notices of Special Interest

- ORA is seeing an increase in NIH's use of the Notice of Special Interest (NOSI) in place of program announcements
- The NOSI number has to be in the Agency Routing Identifier field (4b) on the SF424
- SPS now has a NOSI checkbox to indicate the application is in response to NOSI
- NOSI instructions have to be followed very closely
- For further information on NOSIs, please see:

https://grants.nih.gov/faqs#/search/506/nosi and https://grants.nih.gov/podcasts/All_About_Grants/episodes/Transcript-NOSIs-Final.htm

Key Takeaways

- Please identify in SPS whether the application is in response to a NOSI
- NIH **will reject applications** that do not have NOSI identifiers (it has happened at Duke)
- Read the NOSI requirements very carefully!
- Agency Routing Identifier (4b) can be entered in SPS in the Agency Routing # field just under the Agency Due Date on the Sponsor tab.

Who To Contact

- Contact you pre-award ORA rep if you have any questions about NOSI requirements

https://medschool.duke.edu/sites/medschool.duke.edu/files/field/attachments/ora_assignments_8-1-20_revised.pdf

Q&A

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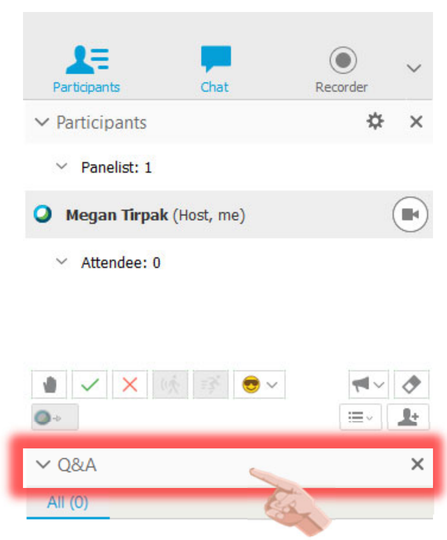

AAR
(Administrative Action Requests)

Jennifer McCallister
ORA

Admin Action Requests

- ORA uses the Admin Action (and other request forms in MRH) to track activity in ORA, manage work volume, and provide reporting to leadership
- Types of activity that should come through Admin Action are prior approval requests, JIT requests, effort change requests, PI status requests, etc. These requests should not be emailed to ORA.
- Agreements/foundation awards can still be routed to contracts.management@mc.duke.edu
- Please route these requests with sufficient time for ORA review and do not put a date in the past as the “Needs by” date

Key Takeaways

- Don't submit documents for action via email
- Only one request per submission
- Provide plenty of time for ORA review prior to any deadline
- Provide explicit instructions in the submission on what the document is, what action we should take, etc.

"Near Final" Science

Jennifer McCallister, J.D.
ORA

Why Do We Need "Near Final" Science?

Near final science requirements

- Last year, ORA instituted a requirement that "near-final" science must be provided at time of review of the SPS record
- ORA is providing institutional clearance on the whole application, not just the business sections
- This can be included as attachments in Grants.duke or attachments in SPS

Near final science requirements

- ORA reviews the science documents to ensure compliance with institutional policies and try to identify any issues that may prevent us from administering an award
- The “near-final science” must be for the application that is being submitted and must be attached when the record routes to PCA. If all of the documents aren’t included, it will be RFC’d.
- We have many examples of what reviewing “near-final science” might have prevented

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Key Takeaways

- Include all “near-final science” docs when routed to PCA
- Provide documents for the application being reviewed
- We may make requests for changes based on issues we find in the science documents
- We will do RFC if the documents aren’t there

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Who To Contact

- Contact you pre-award ORA rep if you have any questions about near-final science documents.

https://medschool.duke.edu/sites/medschool.duke.edu/files/field/attachments/ora_assignments_8-1-20_revised.pdf

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Q&A

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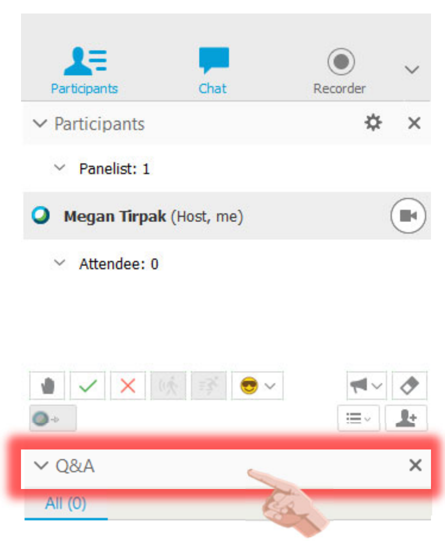

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Researcher Compliance Visibility MRH

Blake Perrault
OASIS

my **RESEARCH** *home*

Researcher Compliance Visibility

Goal

To raise awareness of and provide transparency into compliance requirements and information for the research community.

Plan

Consolidate compliance data from multiple sources into a user-friendly interface for researchers and administrators.

For Research Admins - my Researchers Widget

For Researchers - my Portfolio Widget (Projects tab) my RESEARCH home

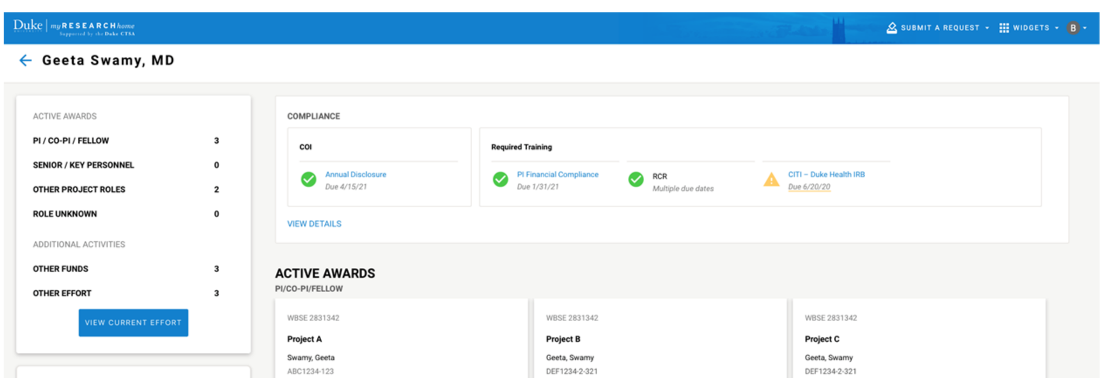
Researcher Compliance Visibility

Information/Requirement	How a researcher finds it without MRH (if not relying 100% on email)	Steps
COI Annual Disclosure Status, Companies, Active Management Plans	Login to COI Form app, click to view past form, click to view management plans.	3
PI Financial Compliance Training (RCC)	Login to LMS, go to Completed Learning, enter date parameters (4 clicks), scroll to find past course and view details, locate expiration date.	8
RCR Training	Login to RCR Training Tracker app, click on MyTranscript.	2
CITI Training (Duke Health IRB)	Login to CITI website via institution (2 clicks), scroll to locate and choose 1 of 3 possible Duke affiliations, view records and scroll to find expiration date.	6
OESO Safety Training	Login to OESO training system, click Required Training.	2

my RESEARCH home

Researcher Compliance Visibility

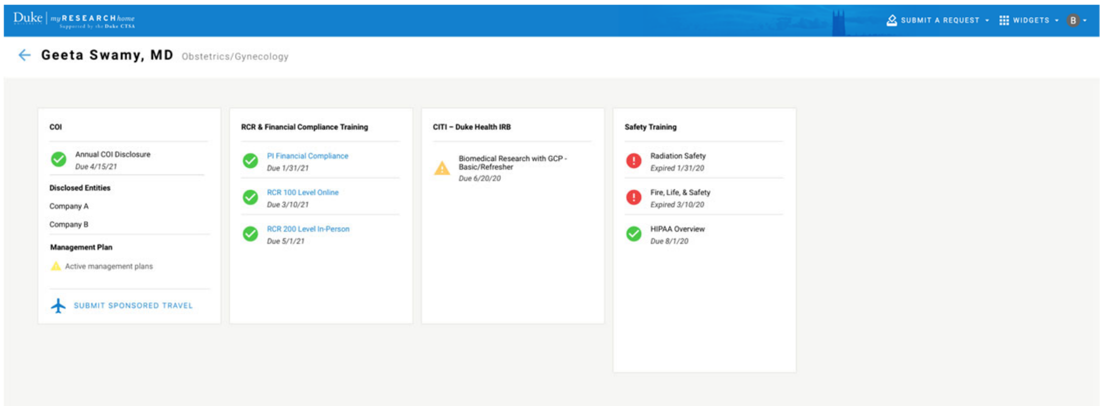
Overview



my **RESEARCH** *home*

Researcher Compliance Visibility

Details



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Key Takeaways

- The goal is to raise awareness of and provide transparency into compliance requirements and information for the research community.
- Consolidated compliance data from multiple sources is now available in MRH.
- Researchers can view this info by going to the my Portfolio widget and viewing the Projects tab.
- Research Administrators can view this info using the my Researchers widget.

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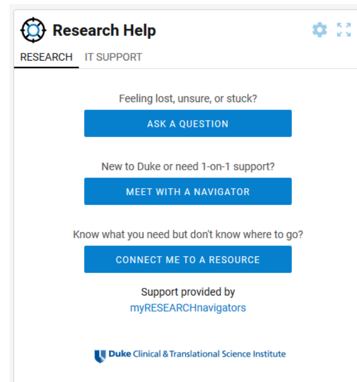
Who To Contact

For Assistance with Researcher Compliance Visibility:

- Select the desired option from the **Research Help** widget



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Q&A

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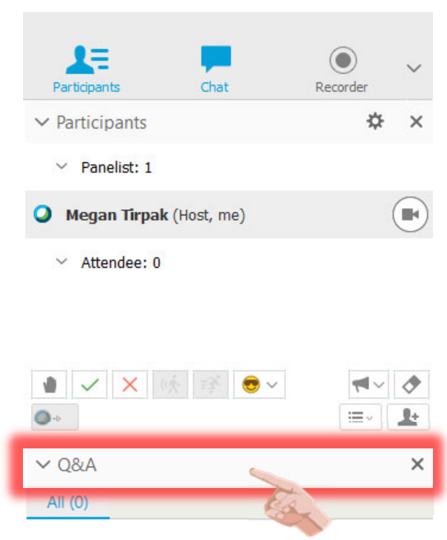

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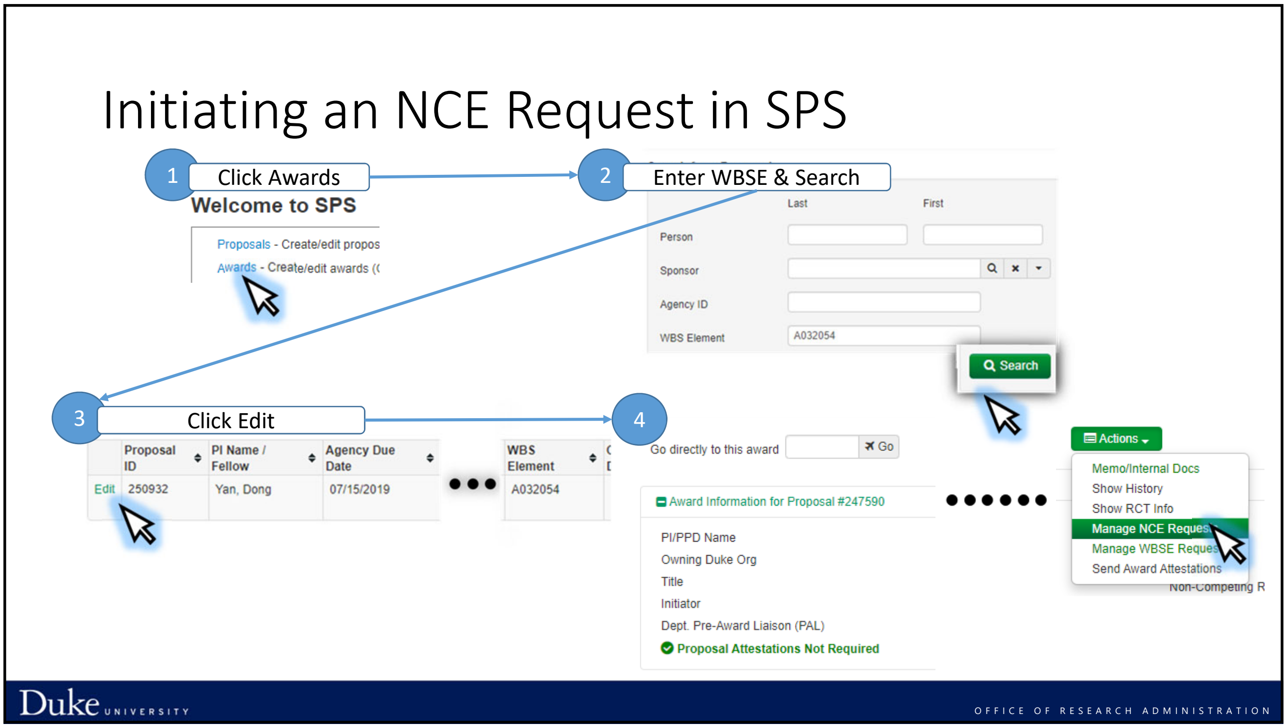
SPS NCE Module

Darrell Queen
ORA – Decision Support

NCE Request

- For requesting No Cost Extension on Sponsored Projects
- Accessed via SPS Award
- Form captures all required information for review by
  - Central Offices (Duke)
  - Sponsor (if not a first time NCE)


Initiating an NCE Request in SPS
1 Click Awards
Welcome to SPS
Proposals - Create/edit propos
Awards - Create/edit awards (
2 Enter WBSE & Search
Last
First
Person
Sponsor
Agency ID
WBS Element
A032054
Search
3 Click Edit
Proposal ID
PI Name / Fellow
Agency Due Date
Edit
250932
Yan, Dong
07/15/2019
WBS Element
A032054
4
Go directly to this award
Go
Award Information for Proposal #247590
PI/PPD Name
Owning Duke Org
Title
Initiator
Dept. Pre-Award Liaison (PAL)
Proposal Attestations Not Required
Actions
Memo/Internal Docs
Show History
Show RCT Info
Manage NCE Request
Manage WBSE Request
Send Award Attestations
Non-Competing R
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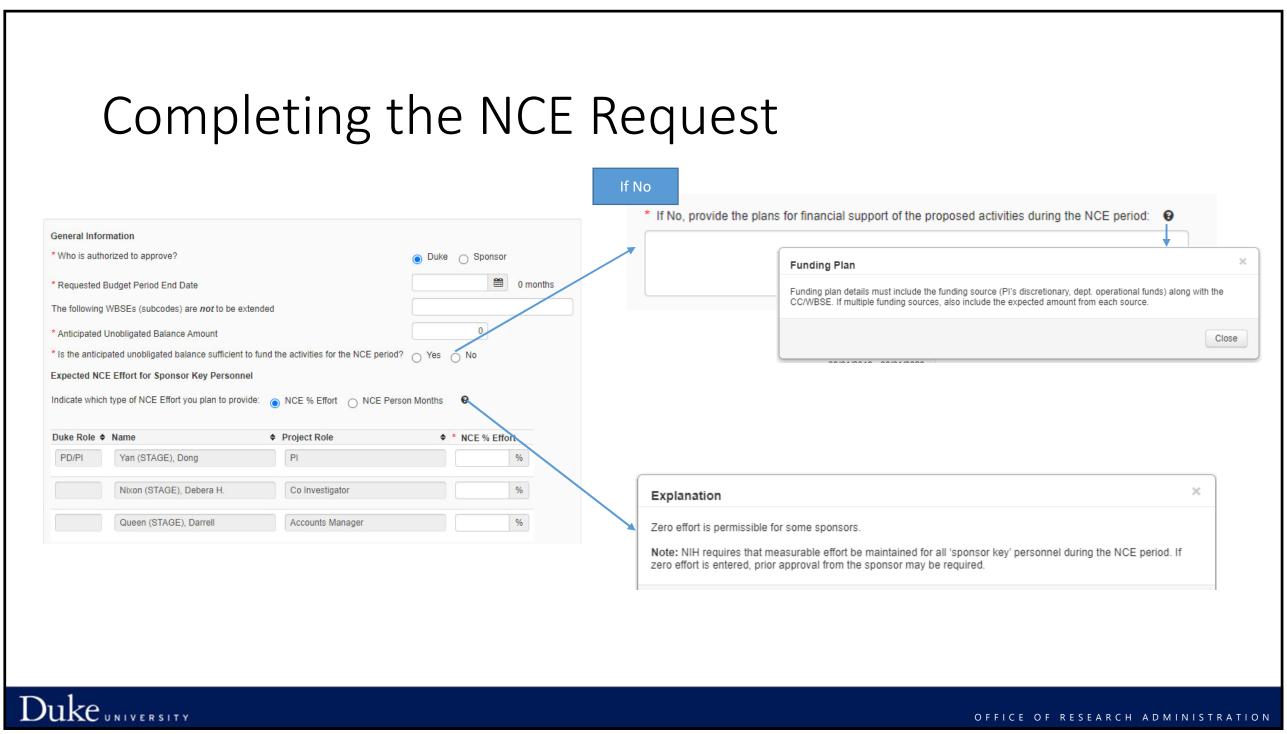
Completing the NCE Request
If No
General Information
* Who is authorized to approve?
Duke
Sponsor
* Requested Budget Period End Date
0 months
The following WBSEs (subcodes) are not to be extended
* Anticipated Unobligated Balance Amount
* Is the anticipated unobligated balance sufficient to fund the activities for the NCE period?
Yes
No
Expected NCE Effort for Sponsor Key Personnel
Indicate which type of NCE Effort you plan to provide:
NCE % Effort
NCE Person Months
Duke Role
Name
Project Role
* NCE % Effort
PD/PI
Yan (STAGE), Dong
PI
Nixon (STAGE), Debera H.
Co Investigator
Queen (STAGE), Darrell
Accounts Manager
* If No, provide the plans for financial support of the proposed activities during the NCE period:
Funding Plan
Funding plan details must include the funding source (PI's discretionary, dept. operational funds) along with the CC/WBSE. If multiple funding sources, also include the expected amount from each source.
Close
Explanation
Zero effort is permissible for some sponsors.
Note: NIH requires that measurable effort be maintained for all 'sponsor key' personnel during the NCE period. If zero effort is entered, prior approval from the sponsor may be required.
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Completing the NCE Request – Required Docs

Nixon (STAGE), Debera H. | Co Investigator | %

Queen (STAGE), Darrell | Accounts Manager | %

* Progress Report
Budget Document
* Justification Document

Sponsor	Progress Report	Budget Document	Justification Document
NIH (Duke Approved)	REQ'D		REQ'D * **justification can be incorporated into progress report*
NIH (Prior Approval)	REQ'D	REQ'D	REQ'D

Completing the NCE Request

Compliance
IRB Approval Date
IACUC Approval Date

Ensure you have the most recent approval dates as they cannot be more than a year old for NIH submissions

Supporting Documentation
Attach supporting documentation, if needed, such as authorization letter from sponsor, etc.
No files currently attached

Central Office Admin Contact | Show All

Business Unit has taken appropriate actions as defined by the NCE Checklist.

Create

NIH

Show All

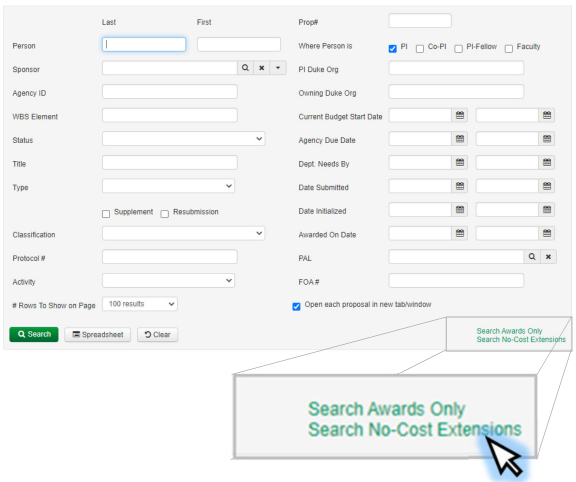
SoM/SoN AMT
Denard (STAGE), Solita A. (SoM/SoN)
Jensen (STAGE), Laura K. (SoM/SoN)
McCarthy (STAGE), Moira C. (SoM/SoN)
Nobles (STAGE), Daniel M. (SoM/SoN)

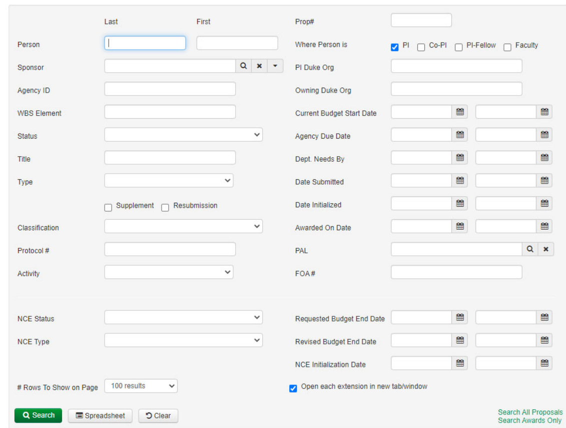
Non - NIH

Show All

ORA
Barbee (STAGE), Amy C.
Chicarelli (STAGE), Teresa R.
Codoley (STAGE), Mariah D.
Davis (STAGE), Patricia S.
Dickman (STAGE), Michael

Managing/Searching for NCE Requests in SPS





Key Takeaways

- Begin conversation with PI 4-6 months ahead of End Date
- Only request when there is a **Scientific Need**
- Only request for the amount of time actually needed
- GM should review all documentation prior to submission
- Pay special attention to:
  - Effort for Key Personnel (copies from SPS Award Module)
  - Funding (Award vs Internal) for planned activity under NCE
- Go Live - September
- QRG will be available at launch

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Who To Contact

For additional assistance in accessing and/or submitting the NCE request through SPS, please contact your ORA – Award Management representative, or send an email to your ORA rep:

https://medschool.duke.edu/sites/medschool.duke.edu/files/field/attachments/ora_assignments_8-1-20_revised.pdf

For NIH: Post Award Rep

For Non-NIH: Pre Award Rep

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Q&A

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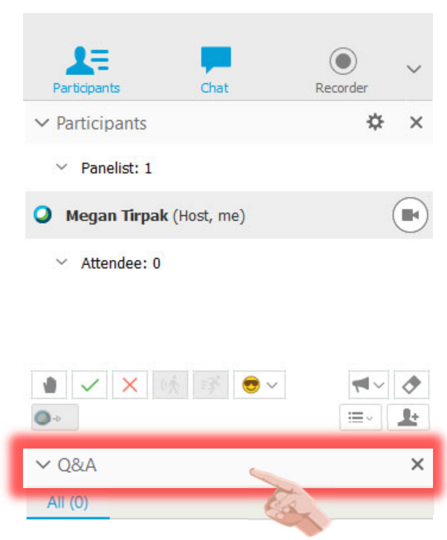

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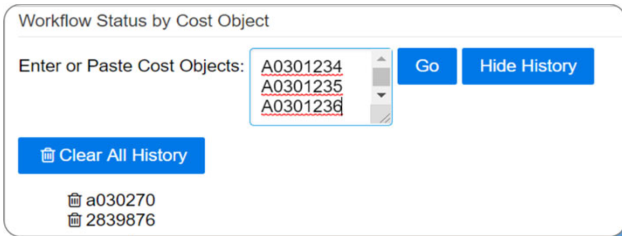
AMTools – Workflow Status Reports

Darrell Queen
ORA – Decision Support

Workflow Status Reports via Grants Management Tab

- View items in workflow that are assigned to a cost object that are pending approval
- **Workflow Status Report by Cost Object** on **Sponsor Research Reporting tab**
  - Covers pending JVs, AP Check Requests, Buy@Duke Carts, and Travel Reimbursements
- **Grant Manager iForms Workflow Status Report By Cost Object** under **Effort and Payroll Tools and Reports tab**
  - Covers pending iForms

Workflow Status Reports: Search Criteria



Search Criteria – Enter single WBSE, or multiple WBSE, pressing enter on your keyboard after each entry. You can recall or hide history of recently searched WBSE using the **Show/Hide History** Icon. Once WBSE are entered, click **Go**

The search screen for the Workflow Status by Cost Object and Grant Manager iForm Workflow Status Report look and operate the same.

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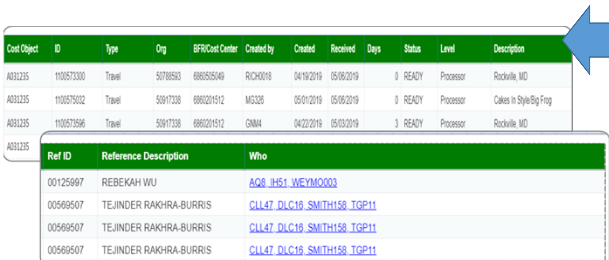
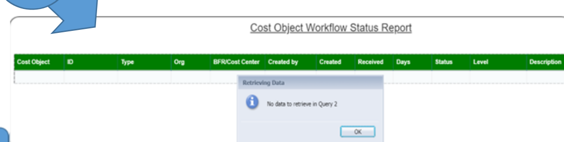
Workflow Status Reports: Results Screen



or



Results – Results include the Type of documents (Travel, AP Check Request, etc..), the Duke Unique ID of the individual who submitted the item, the description of the item, and who the current approving agents are.

Results ; No Date to Retrieve in Query – if the results return with a pop up box stating No Data to retrieve in Query2, this means the searched WBSE(s) do not have any items in workflow pending approval. Note that this is also the error message that will be returned if the WBSE(s) entered do not exist. Always verify that you have the corrected input WBSE before proceeding.

The results screen for the Workflow Status by Cost Object and Grant Manager iForm Workflow Status Report look and operate the same.

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Key Takeaways

- Workflow Status reports are an essential part of the central closeout review process, make it an essential part of yours
- Ensure that all items in workflow are clear at closeout to avoid returns, or delays in sponsor invoicing/reporting deadlines
- Check the report early and often, no results today doesn't mean no results tomorrow when you are ready to submit your tasklist

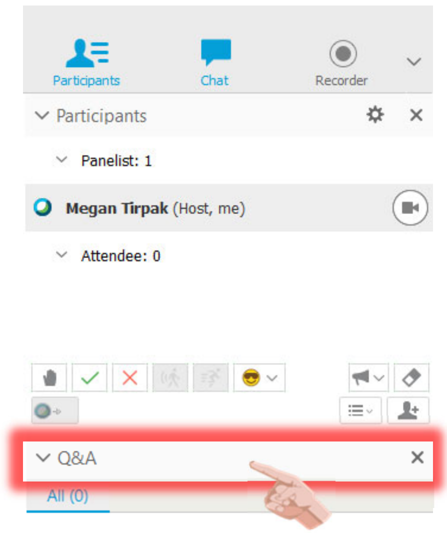
Who To Contact

For additional assistance in running these reports, or in understanding and analyzing their results, please contact your ORA – Award Management representative, or send an email to:

SOM-RA.AMT@dm.duke.edu

Q&A

- If you have any questions, click on the Q&A on the Panel Controls
- Please be patient as the questions are moderated and the appropriate respondent is selected.
- Don't forget to enter your NetID for LMS credit open exiting the session!!!



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LMS Credits

Be sure to enter your NETID when prompted at exit

(e.g. queendj, *NOT* 125987)

- If you have not met your credit requirements for FY20 these credits will count towards FY20
- If you have fulfilled your credit requirements for FY20 these credits will count towards FY21

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