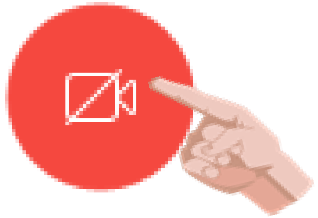
ORA Bimonthly Town Hall

Office of Research Administration
December 17th, 2020

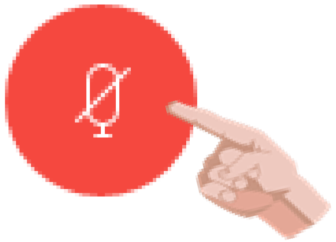
Welcome, Thanks for Joining!

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**

Please Hold Your Questions until the End

- 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.

Agenda

- Intent to Submit – Rebecca Brouwer
- Best Practices for BioSketch & Other Support – Cathy Sciambi
- Disclosing TPE – Laurianne Torres
- SPS FCOI Investigator Warning Changes – Jennifer McCallister
- SPS Proposal Go/No-Go list – Jennifer McCallister
- Untimely iForm Approvals & Justification Framework – Darrell Queen
- In Other News– Darrell Queen
    - F&A Waiver Requests
    - NIH Seminar Availability Online
    - NIH BioSketch & Other Support – Special Session

Intent to Submit

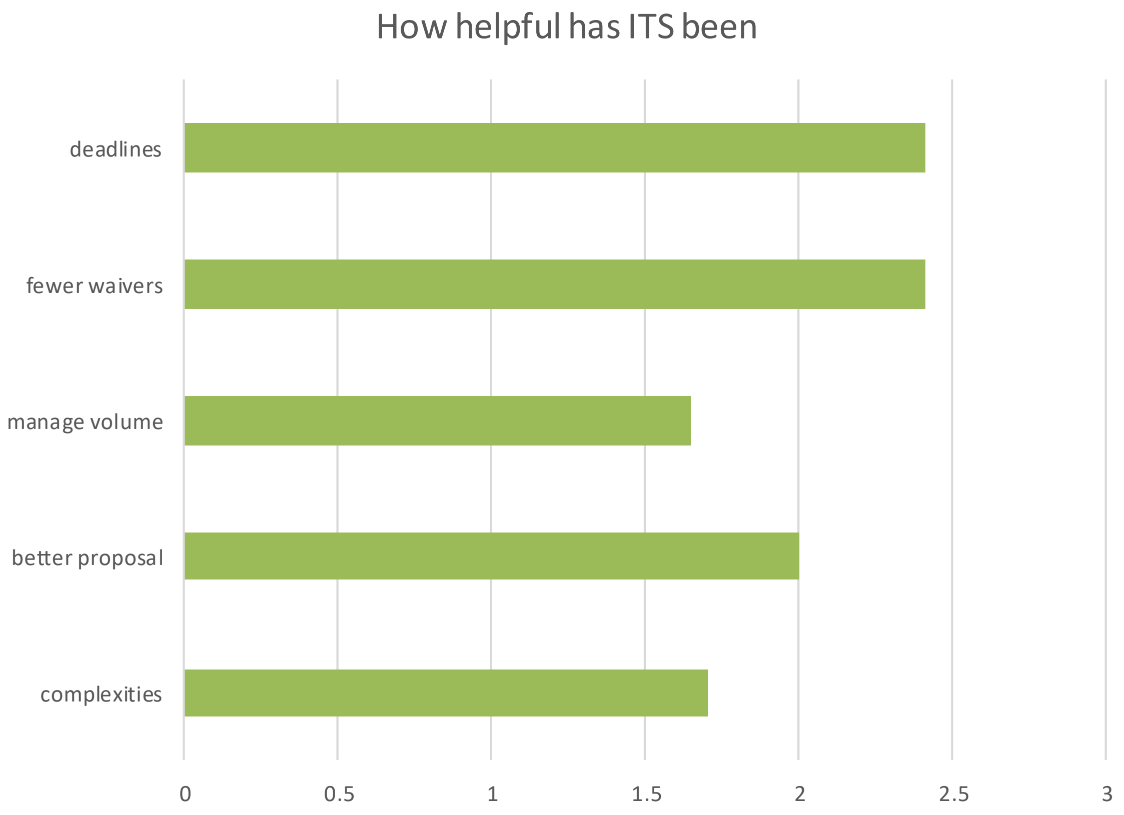
Rebecca Brouwer & Laurianne Torres
Duke Office of Research Initiatives
Office of Research Administration

Overview

- ITS has been “live” for about 16 months
- Requested feedback from SOM departments and Campus Grants Management Team
- Aim is to encourage greater adoption among the research community and introduce a new "project planning" service offered by myRESEARCHnavigators

A look back on the past year

- 77% of reporting departments have fully implemented
  - Of those, 83% state it is a mandatory process
- Moving the needle in some areas
  - Deadlines
  - Fewer waivers



Comments

- Align order 100% with SPS <u>and</u> share data with SPS
- Add a brief summary of study
- Move where PI uploads forms to end to avoid missing info
- Link ITS and data from SPS re: waivers & RFCs to see how/if the tool is helping?
- Would be helpful to share with other departments
- Want a dashboard to visualize all steps
- Still some processes that cannot be fixed by form

Proposed changes

- Align content with SPS & update position of some items
- Update information collected about international proposals
- Gather project info to determine scientific feasibility
  - Some automatic notifications triggered (IRST, ORAQ)
  - Reviewed by research navigators to connect to helpful resources
- Offer 10-15 min. project planning meeting
  - Conducted by research navigator
  - All departments will receive summary of project planning session

Key Takeaways

- Changes coming that should help both research administrators and the research teams
- Launch later this month
- Have ideas or feedback? Coordinate feedback with your unit's Research Admin Leader and send to Rebecca Brouwer (rebecca.brouwer@duke.edu)

Who To Contact

Rebecca Brouwer

Rebecca.Brouwer@duke.edu

Best Practice – Biosketch and Other Support

Cathy Sciambi
Office of Research Administration

Best Practice - Biosketches

- Read and follow the sponsor instructions
- Disclose all positions and appointments (paid or unpaid)
- Biosketches need to be customized for each application, in particular the Personal Statement, and the contributions to science
- For NIH – 5 contributions to science, with up to 4 publications per contribution are allowed
- For NIH – hyperlinks must show the full URL text, not hidden behind a word or phrase, and must only be to a government website
- Recommend to start using SciENcv

Best Practice – Other Support

- Read and follow the sponsor instructions
- Disclose all positions and appointments (paid or unpaid), with a TPE statement as necessary
- Include a VA 8th's statement when there is a VA appointment
- Do not include departmental start-up funds
- Do not include section headers when they are not relevant (for example: if there is no VA appointment, do not include a VA Active and VA Pending section)
- Provide detailed overlap statements when effort adjustments are needed (include specific grant(s) and effort adjustments to be made)

Key Takeaways

- Biosketches and Other Support need to follow the sponsor instructions – read them!
- Biosketches need to be customized for each application
- Other Support needs to be accurate, transparent and compliant

Who To Contact

- Your pre-award representative
- https://grants.nih.gov/grants/forms/biosketch.htm
- Grantsupport.duke.edu

Process for Disclosing TPE for Clinical Faculty

Laurianne Torres
Office of Research Administration

Key Points

- What is TPE?
- How do I know if someone has TPE?
- When and How do I disclose TPE for Clinical Faculty?

What is TPE?

- TPE = Total Professional Effort
- Total Professional Effort is the sum of all activities that Duke faculty engage in from 3 sources*
  1. University (Duke)
  2. Private Diagnostic Clinic (PDC)
  3. Veteran's Affairs (VA)
- Today, the sum of all activities = 100%
  - % (Duke, PDC, VA) varies by each faculty's assignment
  - Duke will move to a % University Appt (FTE) in 2021 – ***more to come on this***
- A 50% (or greater) University assignment is considered full-time at Duke
- When Duke faculty have **70% or less** of their effort assigned to the University, we must describe their TPE to the sponsor to ensure that Duke discloses appropriately:
  - available person months
  - % university effort being committed to project
  - institutional base salary

*Faculty could have other outside activities/commitments not captured in TPE. Check with the faculty member directly to understand all commitments the faculty have.

How do I know if someone has TPE?

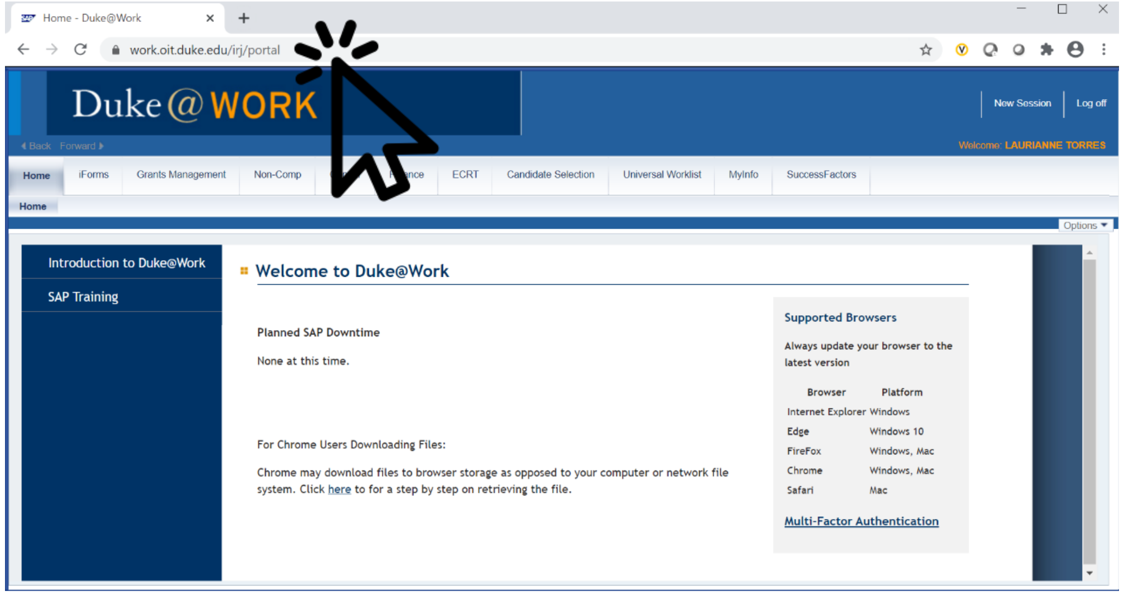
- Run the Employee Data Search report located on the Grants Management tab in Duke@Work
    1. Log in to **Duke@Work**
    2. Navigate to the **Grants Management tab**
    3. Click on **Effort and Payroll Tools and Reports**
    4. Choose **Employee Data Search** and enter the faculty's first/last name and/or Duke Unique ID (DUID) and click **Go** to search
    5. The search result will include a section for **Total Professional Effort**

This check was previously performed using a static list provided quarterly by RCC

How do I know if someone has TPE?

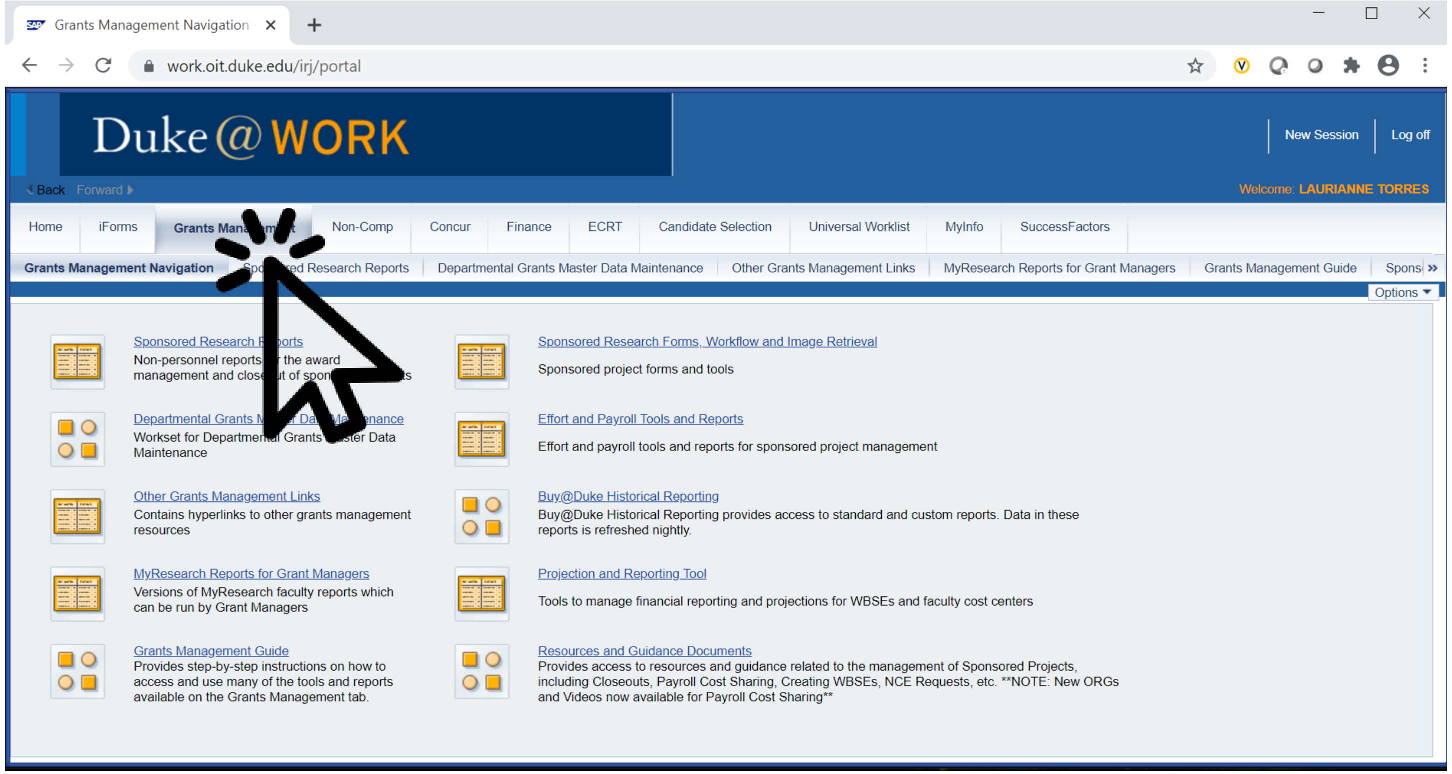
- Log in to Duke@Work

Go to work.duke.edu and sign in to Duke@Work using NetId credentials



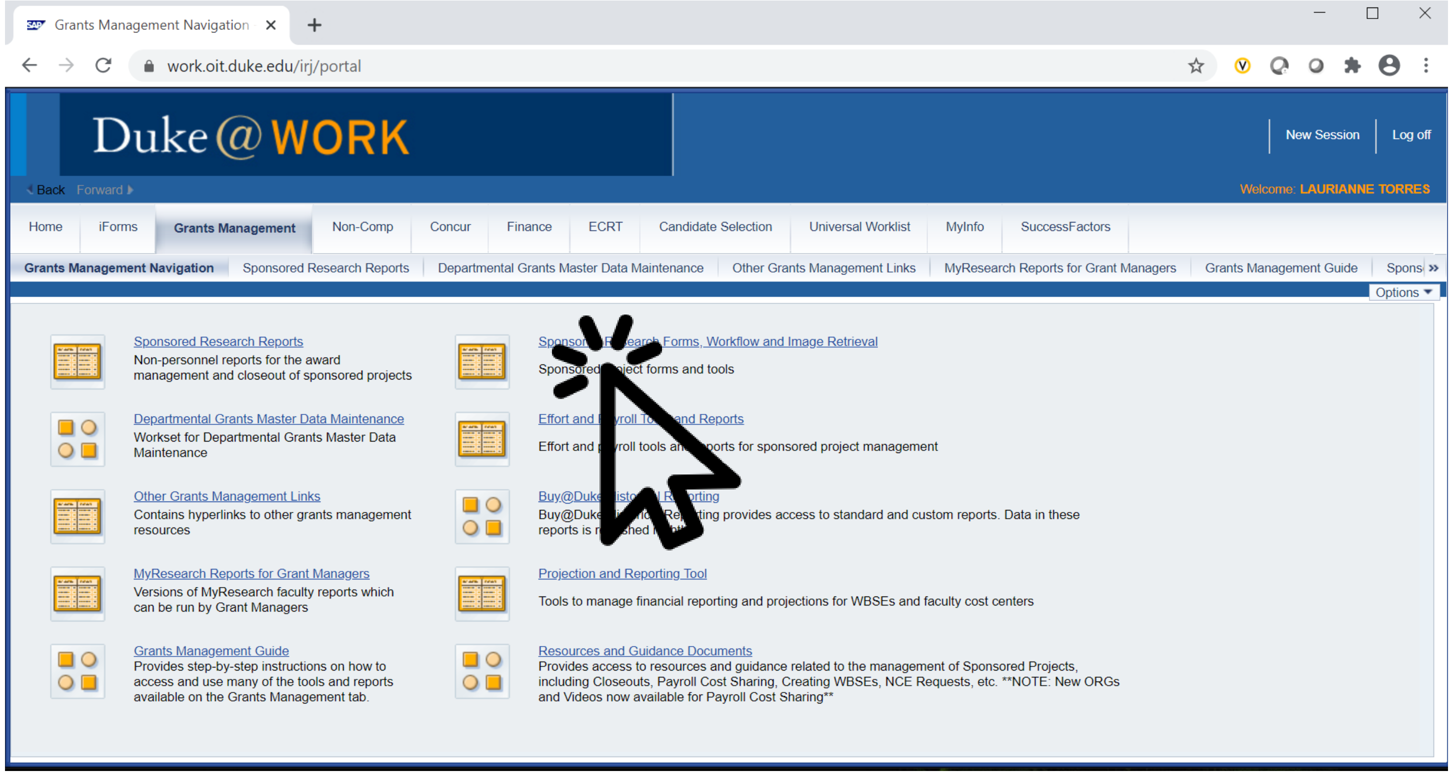
How do I know if someone has TPE?

- Click on Grants Management Tab



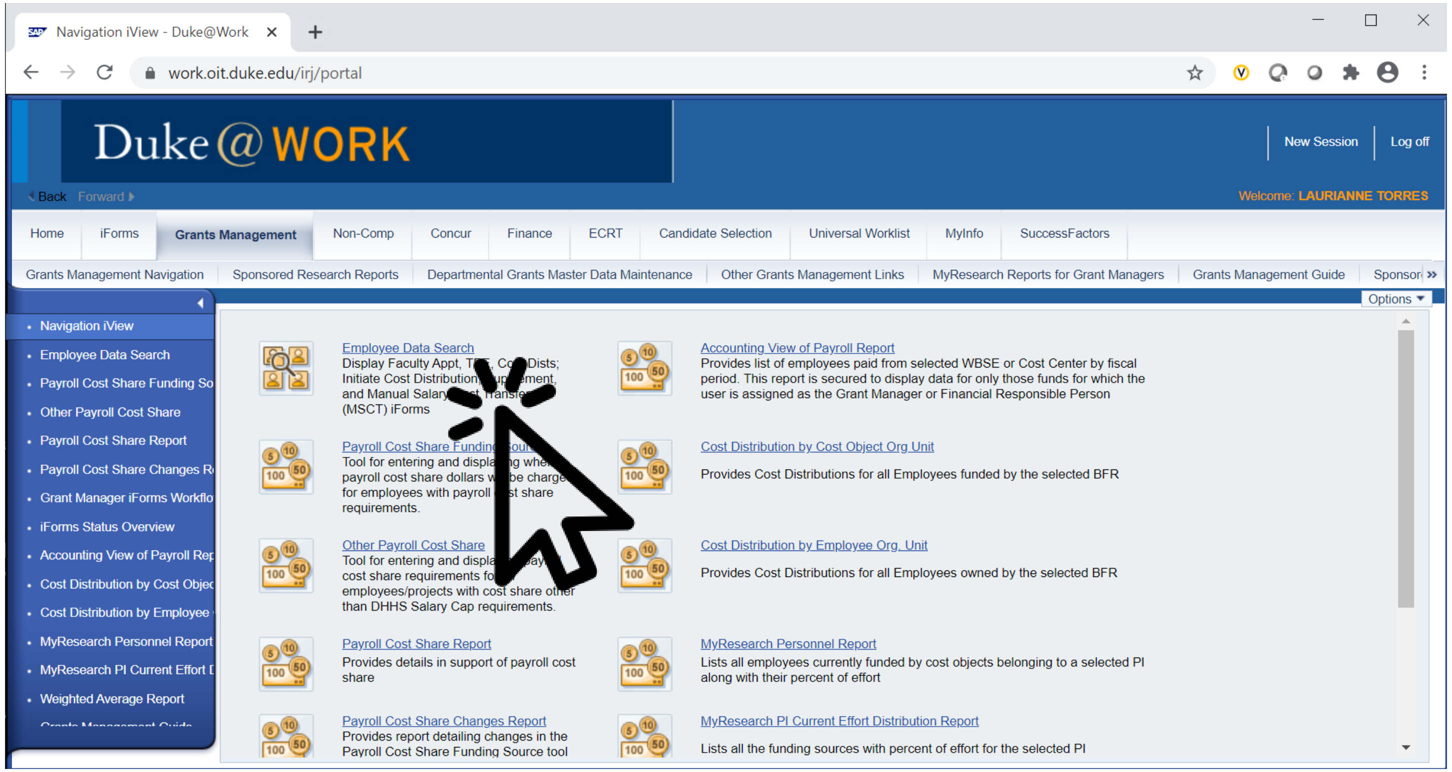
How do I know if someone has TPE?

- Click on Effort & Payroll Tools and Reports



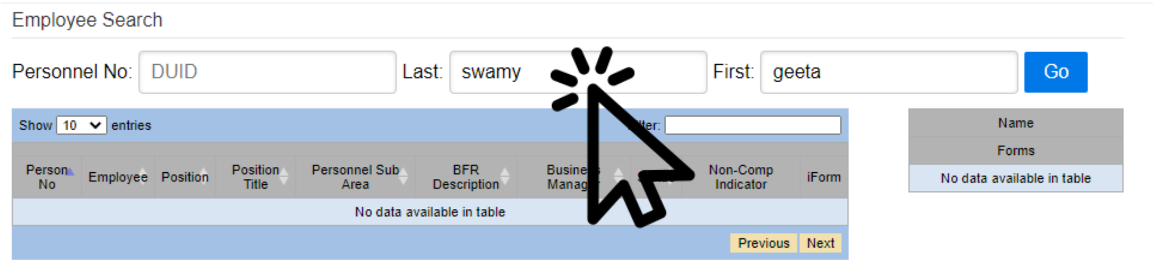
How do I know if someone has TPE?

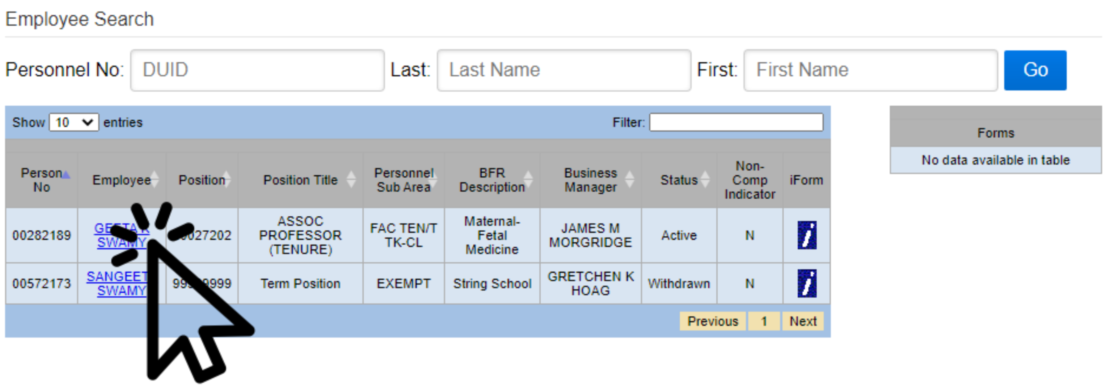
- Choose Employee Data Search



How do I know if someone has TPE?

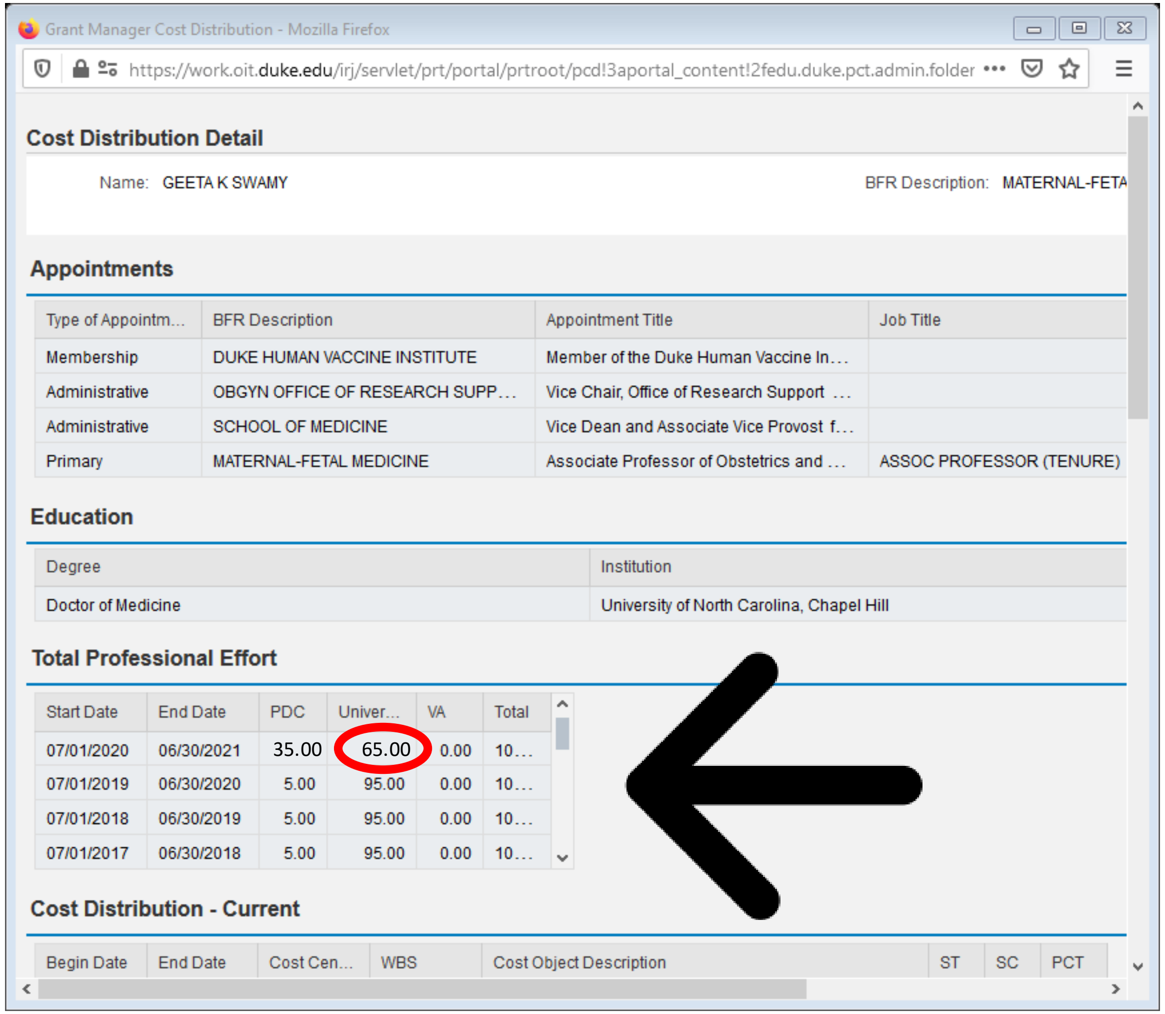
- Enter Search Criteria





How do I know if someone has TPE?

- View Total Professional Effort



When and How Do I Disclose TPE to Sponsor?

- If the University column in the Total Professional Effort section is **<u>70% or less</u>**, it is necessary to include the **TPE statement** in disclosures to the sponsor via:
    1. **<u>BUDGET JUSTIFICATION</u>** at Pre-Award
    2. **<u>OTHER SUPPORT</u>** at Just-in-Time (JIT)

- Only include the TPE statement for 70% TPE (University) or less

- **DO NOT include the TPE statement if greater than 70% TPE (University)**

When and How Do I Disclose TPE to Sponsor?

- Unit grant managers use the TPE Calculator to convert Duke % to TPE %
  - The TPE calculator provides the TPE statement to be included

- It is the Unit's responsibility to:
  1. Look up faculty on the project to determine if any have TPE (using the Employee Data Search report in Duke@Work)
  2. Include the TPE statement in the budget justification (at Pre-Award) and Other Support (at JIT) – ONLY if the faculty has TPE and it is 70% or less University

TPE Calculator

ORA TPE CALCULATOR

FACULTY: Geeta Swamy

TPE:	DUKE	PDC	VA	(3 sources combined must total 100%)
	65%	35%	0%	

% OF DUKE EFFORT ON PROJECT (enter from SPS salary worksheet)

20%

% OF TPE ON PROJECT

13%

This calculator is to be used for all Duke faculty that have reported a total professional effort (TPE) distribution of a less than 50% commitment to Duke University. It is critical that we clarify these situations in external proposals, to provide sponsors with a more complete perspective on our faculty members' commitment to the project than would be clear from the Duke effort percent alone.

Please complete the highlighted fields above, using the faculty member's last name; current TPE distribution between Duke, the PDC and the VA; and the % of their Duke effort committed to the project. The resulting statement listed below should be included in the budget justification for each faculty member with <50% TPE at Duke.

Dr. Geeta Swamy holds both university and non-university appointments. The commitment of 2.4 calendar months of university appointment to this project represents 13%, or 1.56 calendar months of total professional effort.

- Include this statement in:
  - BUDGET JUSTIFICATION at Pre-Award
  - OTHER SUPPORT at JIT

Key Takeaways

- Effective immediately, include the TPE statement in all applications for faculty with **70% Duke TPE or less**
  - This replaces the 50% or less Duke TPE requirement
- ORA is checking for the TPE statement and will return for the TPE statement if missing for someone
- If you do not have the necessary access in SAP (Duke@Work) to check TPE, work with the business manager in your unit to address your system access needs

Who To Contact

- Contact your ORA rep if you have any questions or concerns

SPS FCOI Investigator Warning Change

Jennifer McCallister
Office of Research Administration

FCOI Refresher

- A recent review of SPS data revealed a group of individuals who were marked as “key” but not identified as an “FCOI Investigator” in SPS
- In Jan. 2013, we rolled out the “FCOI Investigator” flag in SPS
- Addition of flag was in response to change in the PHS FCOI policy (effective August 24, 2012), so DOSI knows who to review and report to the sponsor
- The FCOI policy for NIH can be found at the following website http://grants.nih.gov/grants/policy/coi/
- The definition of FCOI Investigator is more broad than the definition of a Key Person

FCOI Refresher

- **FCOI Definition of Investigator:**

  “An "investigator" is someone:

  - defined as the PD/PI and any other person, regardless of title or position
  - who is responsible for the design, conduct, or reporting of research funded by PHS, or proposed for such funding
  - which may include, for example, collaborators or consultants.”

- **NIH definition of Senior/Key Personnel:**

The PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. Senior/key personnel must devote measurable effort to the project whether or not salaries or compensation are requested. "Zero percent" effort or "as needed" are not acceptable levels of involvement for those designated as Senior/Key Personnel.

FCOI Refresher

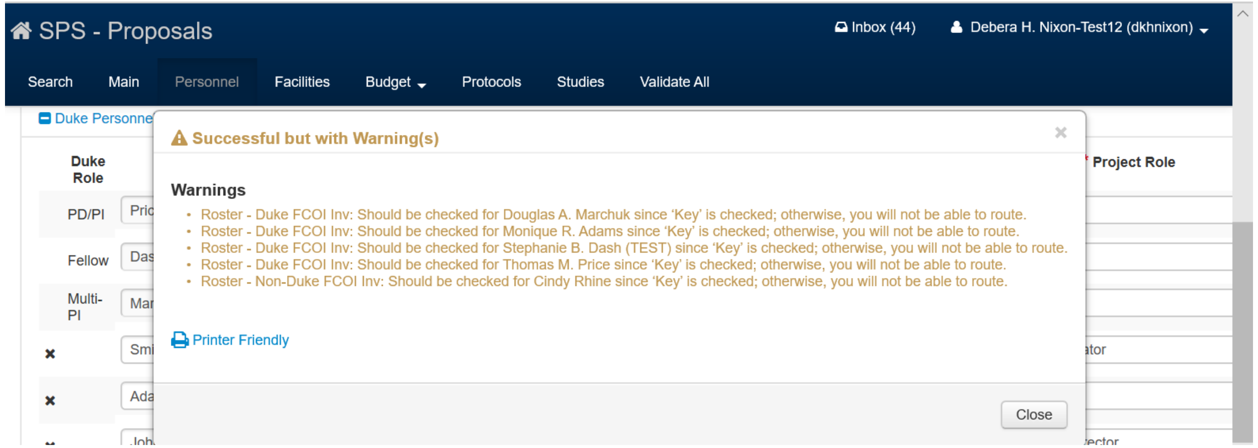
- Since the definition of FCOI Investigator is more broad than the definition of Senior/Key Personnel, anyone who is marked “key” should also be marked as “FCOI Investigator”
- A person can be marked FCOI Investigator if they are not considered key since the definition of FCOI investigator is so broad.

Addition of an FCOI Investigator validation

- Since the definition of FCOI Investigator is more broad than the definition of Senior/Key Personnel, anyone who is marked "key" should also be marked as "FCOI Investigator"
- SPS will now generate a ***warning*** upon Save if 'Key' is checked, but 'FCOI Inv' is unchecked. Warning will say:

  "Roster - {Duke/Non-Duke} FCOI Inv: Should be checked for {First Name Last Name} since 'Key' is checked."

- These validations apply to both the Duke and Non-Duke Roster.
- **Note:** Someone can be an 'FCOI Inv' without being 'Key'.

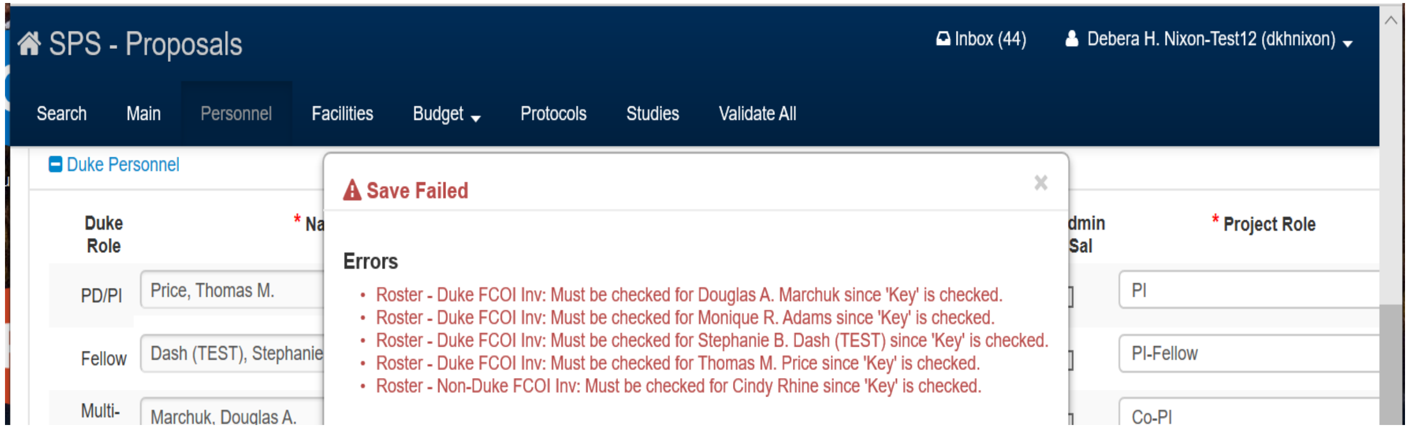


Addition of an FCOI Investigator validation

- SPS will now generate an ***error*** upon Validate if someone is marked as 'Key', but not as 'FCOI key'. Error will say:

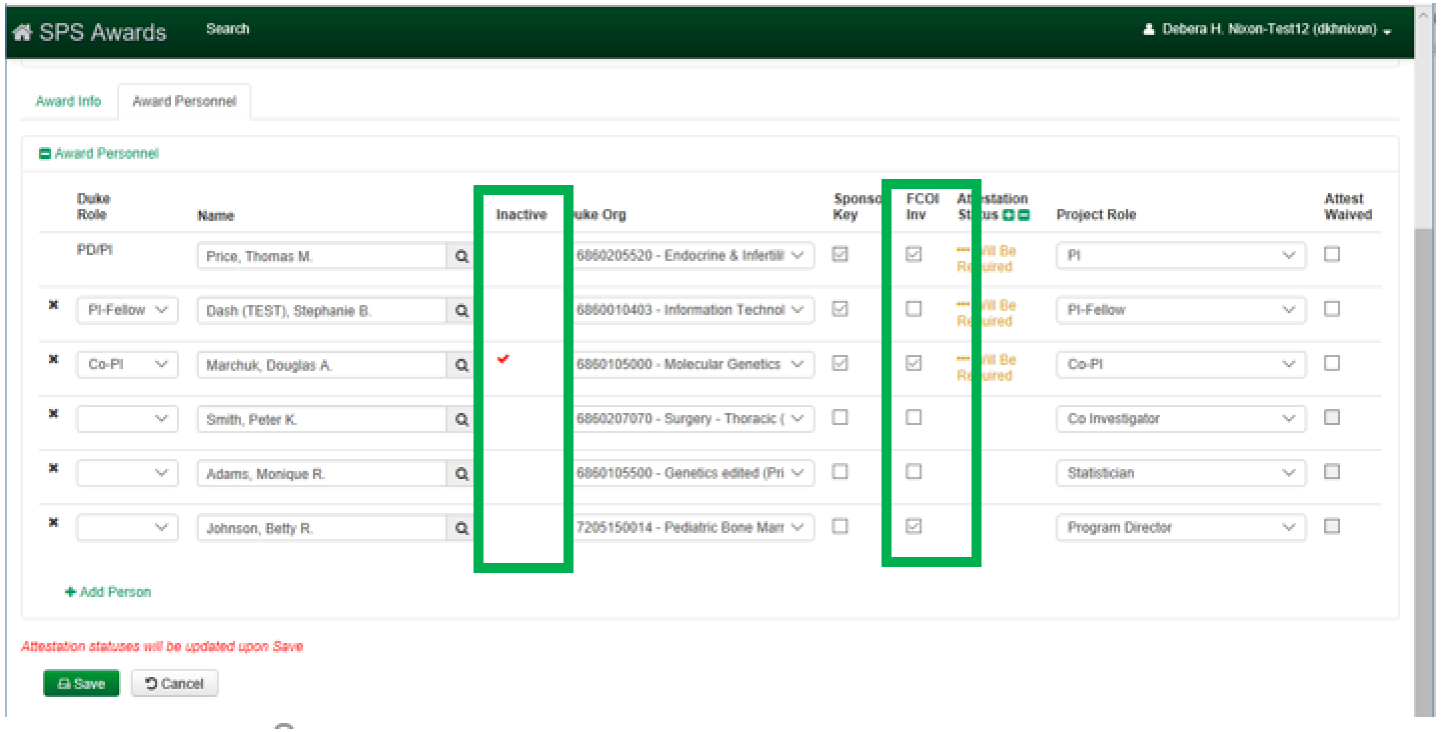
  "Roster - {Duke/Non-Duke} FCOI Inv: Must be checked for {First Name Last Name} since 'Key' is checked."

- These validations apply to both the Duke and Non-Duke Roster.



Additional fields on the Award Personnel tab

- FCOI check box column
- Inactive column displayed if at least one Award person is Inactive



People who are required to complete an annual COI form

- PI (for regular proposals) and PPD (for composites)
- Mini PI (for Minis)
- PI-Fellow (for regular proposals)
- Co-PI/Multiple PIs (for regular proposals, Composites and Minis)
- {***New***} - Any ***Award*** person marked as 'Sponsor key' (for regular proposals, Composites and Minis)
- Any ***Award*** person marked as 'Duke key' (for regular proposals, Composites and Minis)
- Any ***Award*** person marked as 'FCOI Investigator' (for regular proposals, Composites and Minis).

Key Takeaways

- SPS will now generate a ***warning*** upon Save and an ***error*** upon Validate if ‘Key’ is checked, but ‘FCOI Inv’ is unchecked.
- The COI Compliance check will be run against ***Award*** personnel, rather than proposal personnel. Central office will modify Award personnel if needed.
    - On the Award Personnel page, two new columns have been added:
        - Inactive check box (show red check mark for any person who is Inactive)
        - FCOI Investigator column.

Who To Contact

- Contact your ORA pre-award rep if you have any questions.

SPS No-Go List

Jennifer McCallister
Office of Research Administration

NO-GO LIST

FOA instructions or Duke/Sponsor policy not met

Issues with the Budget or Budget Justification

Irreconcilable conflicts of interest or commitment

Work that cannot be carried out by Duke

Issues of scientific overlap

Framework for Untimely iForms Approvals

Darrell Queen
ORA Decision Support

Untimely iForms

- Transfer of effort 180 days or greater in the past
  - GAP 200.150 Cost Transfers On Federally Sponsored Projects
- Except for extenuating circumstances, are unallowable
  - If the effort is appropriate to be allocated, the payroll expenses will need to be cost shared prior to approval of the iForm
  - If the effort is not appropriate to be allocated, the iForm will be returned.
- Requires a justification statement and additional institutional review

Untimely iForms

BEST PRACTICE:

AVOID UNTIMELINESS TO THE EXTENT THAT YOU CAN CONTROL!

Disallowed Untimely Cost Transfers - Returned

- Expense that do not meet the requirements of allowability, allocability and reasonableness (A/A/R)
  - Effort must be allocated to an alternative funding source
  - If you anticipate that this may be the case, confirm before submitting an iForm.

Disallowed Untimely Cost Transfers – Requiring Cost Share

Are A/A/R compliant, but untimely due to the following reasons:

- Staff Shortage
- Lack of Experience/Training
- PI or GM Absence
- Late Issuance of Award
- Communication Issues
- Default Cost Center Substitution, where the effort has not previously been charged or reported to the Sponsor

Allowed with Management Center Approval

- Transfer between Parent and Child code within concurrent budget periods
- Corrections that impact the GL, but not the effort % allocated to the Project
- Correction required due to a recently processed iForm
  - For example, if an iform was done last month that incorrectly impacts effort that is now greater than 180 days.
  - The correction must be processed 90 days from the incorrect transfer
- Other extenuating circumstances will be reviewed on a case by case basis
  - Note that interruptions based on the work from home order are not considered an acceptable extenuating circumstance

Justification Statement

- The justification statement must be included regardless of whether the expense must be cost shared or not
- Should include the following:
  - Why was the expense originally charged to the initial account?
  - Why should this charge be transferred to the proposed federal account?
  - Why is the cost transfer >180 days?
  - What will be done to prevent future occurrences?

Management Center Review

- Must demonstrate that the business unit had **no prior knowledge or opportunity** to correct in a timely manner
- Must demonstrate that it was **not within the unit's control** to avoid untimeliness

How To Avoid Untimeliness

- Communicate regularly with your PIs regarding effort
- Perform routine effort analysis
  - Quarterly ECRT Analysis
  - Project Obligations Report
- Assign and train backups to individuals performing effort analysis
- Establish and allocate effort to Pre Award codes
  - Avoid allocating effort to institutional funds while awaiting award
- Reach out to central offices early regarding concerns or clarification regarding effort allocation and review

Key Takeaways

- Focus on avoiding untimeliness through planning and communication
- Make sure justification statements are concise but cover the appropriate items
- Allowability is based on 3 main components and granted only in exceptional circumstance
  - Opportunity
  - Prior Knowledge
  - Institutional Control

Who To Contact

- For iForms assistance
  - Use the Get Help feature on the iForm
- For questions regarding allowability
  - darrell.queen@duke.edu
- For effort certification
  - ECRT-support@duke.edu

In Other News

Darrell Queen
ORA Decision Support

F&A Waiver Request

- This January, the F&A waiver request process will be moving from email to a request form available in myRESEARCHhome via the Submit a Request feature
- New process will ensure consistency and standardization
- More details to come in January, prior to Go Live

NIH Seminars

Did you miss out on attending the 2020 Virtual NIH seminars?

Good news! The recorded versions of the presentation are still available at the following URL:

https://grants.nih.gov/virtual-seminar-2020/presentations.html

NIH Other Support and BioSketch Changes

- NIH Released preliminary information during seminar in October and we are awaiting additional guidance (tentative January release from NIH)
- ORA will call a special session with additional guidance when NIH releases more information

Mark Your Calendars

The next ORA BiMonthly TownHall is scheduled for

February

25

2:30 – 4:00 PM

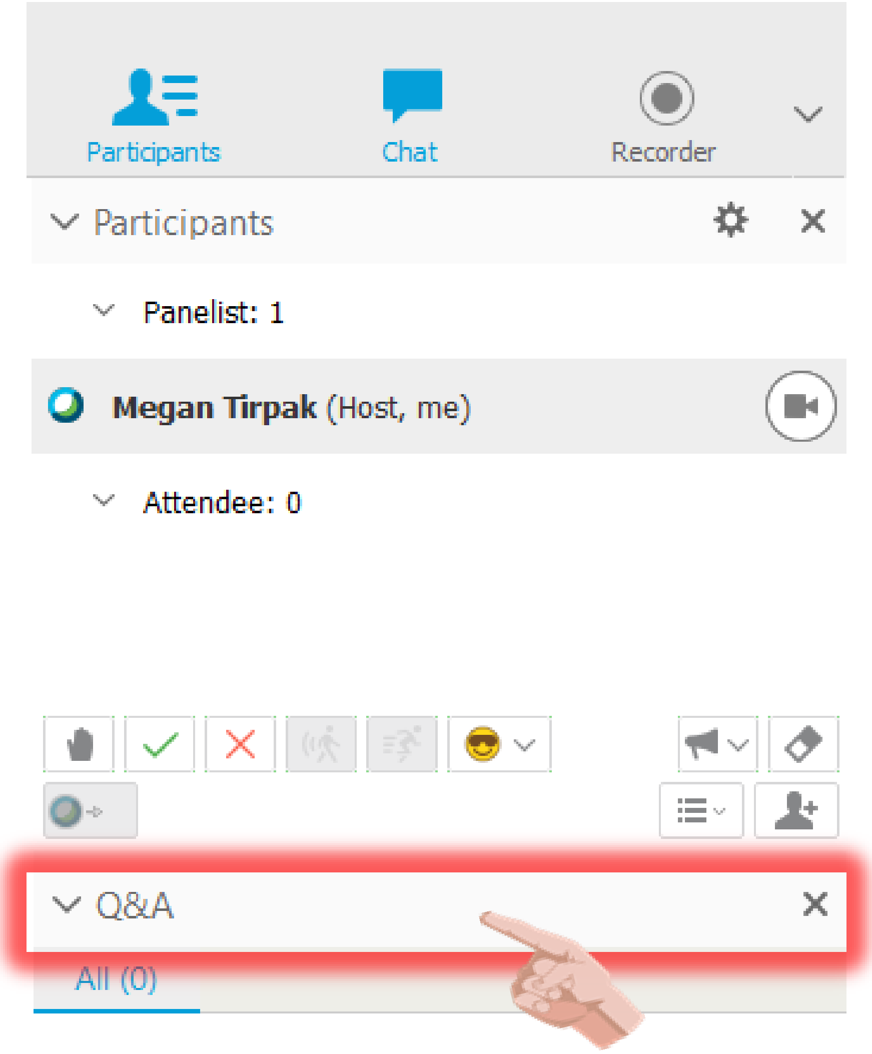
More details will be provided via the ListServ closer to the actual date

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!!!



LMS Credits

Be sure to enter you NETID when prompted at exit

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