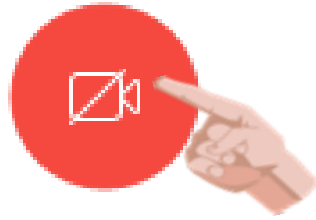# ORA Bimonthly Town Hall

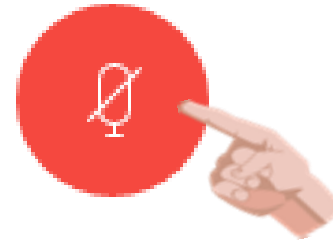Office of Research Administration
October 22nd, 2020

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

- MyResearchPath - Jamie Wylie
- SBIR/STTR Applications - Jennifer McCallister
- Questionable GL Accounts – Molly McCarthy
- Changes to Continuing Ed /Training Re-Design – Gwen Hall-DiFabio

Background of myRESEARCHpath

Problem facing the research community:

Research policy and process, along with support services and resources, exist across 40+ different offices and thus 40+ different websites.

Background of myRESEARCHpath

Solution via an interactive research road map:

Provide the research community (faculty, research staff, grant administrators) a place to find information organized by the research process, as opposed to organizational unit.

Integration with myRESEARCHhome

- Research personnel will be able to access myRESEARCHpath through myRESEARCHhome

- Can click directly to a stage of the project lifecycle

- Can search and will be presented with the search results in myRESEARCHpath
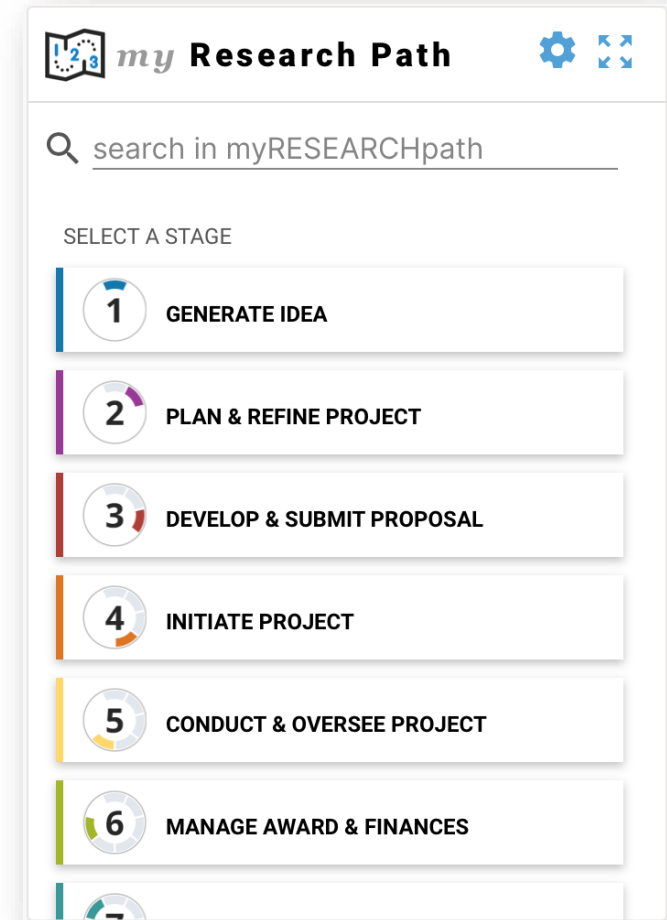
Key Takeaways

- myRESEARCHpath will be available to the research community in **early 2021**

- It will provide a centralized place to navigate policy, process, and resources across a project lifecycle

- Some current websites are reducing content from their site, so it may be a bit of a transition for research personnel to re-learn where to find information
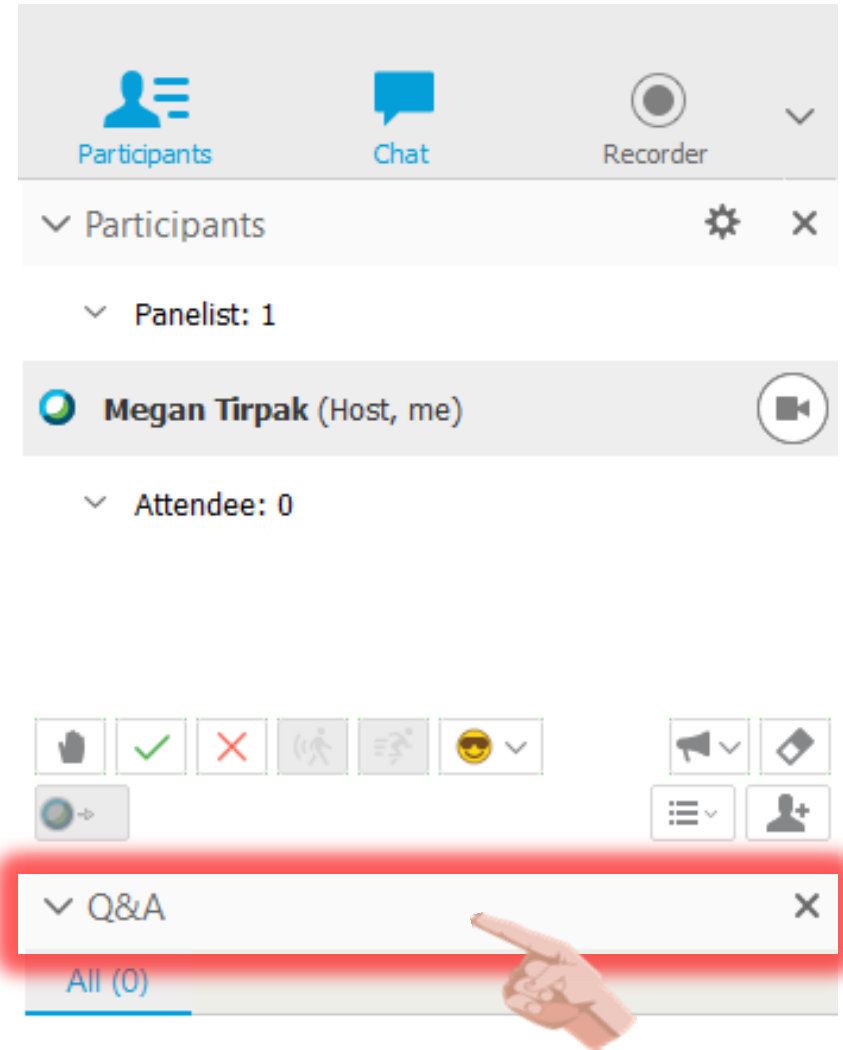
Who To Contact

- Jamie Wylie (jamie.wylie@duke.edu)
- myRESEARCHpath@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!!!

SBIR/STTR applications

Jennifer McCallister
ORA

Lessons learned from the Sept. SBIR/STTR cycle

- See Oct. 2019 ORA meeting slides for a primer on SBIR/STTR applications

- We had multiple applications for this cycle that had significant issues and most were under waiver

- Some issues took days to resolve

- The procedures put in place in 2019 can be found at https://medschool.duke.edu/research/research-support-offices/office-research-administration/government-and-foundation-contracts/incoming-agreements/sbirsttr-implementation-procedure-policy-and-cover-letter

Common SBIR/STTR application issues

- A faculty member cannot perform on both sides of the application (even if salary isn't paid on both sides). They have to choose one side or another.
- If the faculty member has equity in the company, they can talk to DOSI-COI prior to writing the application. They may not be able to serve as the PI depending on the conflict.
- Duke resources should all be included in the Duke budget and should only be used for Duke's portion of the work.
- The company has to be actively engaged in the research, not just in administering the award.
- The due date in SPS should not be the NIH due date. The company needs time to include the Duke sub documents in their application

Pre-award review of SBIR/STTR applications

- ORA is looking closely at these applications prior to submission, they should be submitted early in case any issues come up

- ORA is asking for a copy of the full application either prior to submission, or immediately after submission. The department should communicate this to the sponsor and send the application to ORA immediately after submission for review.

- If ORA finds issues in the full application, ORA reserves the right to either withdraw the application or not accept a subaward.

- The ORA-provided cover letter must go to the PTE with the application materials

Key Takeaways

- ORA is looking at these applications closely
- There are issues that can hold applications up, ask questions if you have concerns
- Submit early!
- Applications must meet the Duke SBIR/STTR procedures located on the ORA website
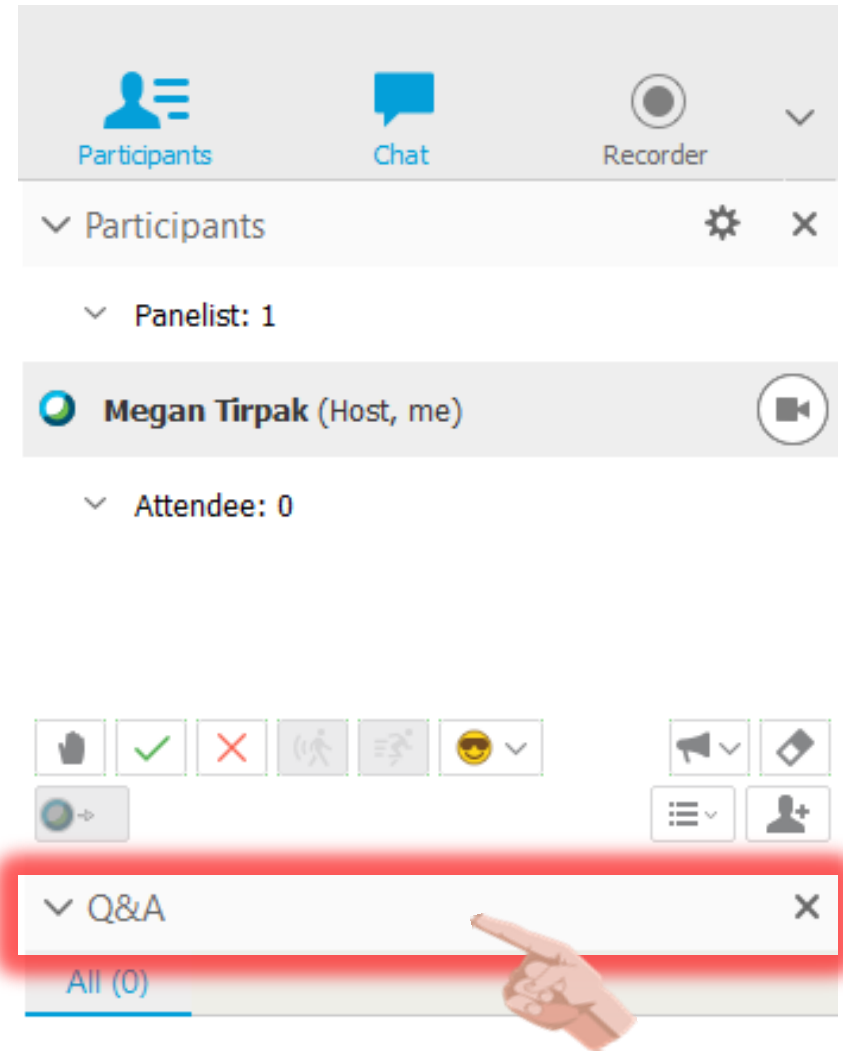
Who To Contact

- Please contact your ORA pre-award contact if you have any questions during the submission process.

Q&A

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Questionable GLs

Molly McCarthy
Office of Research Administration – Award Management

What Makes a GL Account Questionable?

- Questionable GLs can cause perfectly allowable expenses to be written off or cause audit problems

- General Ledger (GL) Accounts are the Duke system of categorizing financial activity

- Questionable GL account means the GL in question has a high likelihood of being unallowable or inappropriate

How does a questionable GL differ from a questionable expense?

- The actual expense and GL account are two separate things

- They are often related and should be consistent

- E.g. Non itemized receipt is categorized under 693200 BY ET&R but itemized meal receipt, purchased during allowable travel for a federally sponsored project, showing no alcohol is later obtained.

Because the expense is never moved to the appropriate travel GL and remains on 693200 until closeout team identifies it at closeout, it will be written off to a non-sponsored funding source

How do I know if a GL is questionable?

- List below is NOT EXHAUSTIVE
  - 600000 – Admin Effort (this is a CAS GL)
  - 648000 - Uniforms
  - 693200 – Public Relations
  - 696000 – Business Meetings
  - 695200 – Laundry
  - 695600 – Losses and Damages
  - 696200 – Miscellaneous
  - 800100- 807700 – Intrafund Transfer (any transfer GLs are generally not good)
  - 99650 – Unalloacated Subaward Plan
- The list is longer for federally sponsored projects

How do I know if a GL is questionable?

- All reportable, sponsored projects have restrictions on what GLs can be used

- Start with the GL definition itself
  - Pay attention to the specific GL and its details

- Next refer to your sponsor's policies and your specific agreement
  - The financial activity itself **must be** allowable by the sponsor
  - Not all sponsors or awards allow for all categories to be used
  - E.g. 693200 is not allowable on federally sponsored projects because alcohol and public relations charges are not allowed by the federal government

Where can I go to get more information on questionable GLs?

- Use the ZFR1E to identify all GLs being used on your code/project
- All GL accounts can be found here: https://finance.duke.edu/accounting/glaccts
- GL definitions should be referred to anytime you are not 100% confident about what GL is being used and why
- Talk to your colleagues and departmental leadership

What are the consequences of using questionable GLs?

- If unallowable GLs are used, or expenses are classified under incorrect GLs, Duke is at financial and compliance risk

- NSF audit outlined instances of unallowable expenses and incorrectly classified expenses

- Appropriately address the GL assignment prior to closeout submission, expenses on certain GLs found at closeout are required to be removed and written off
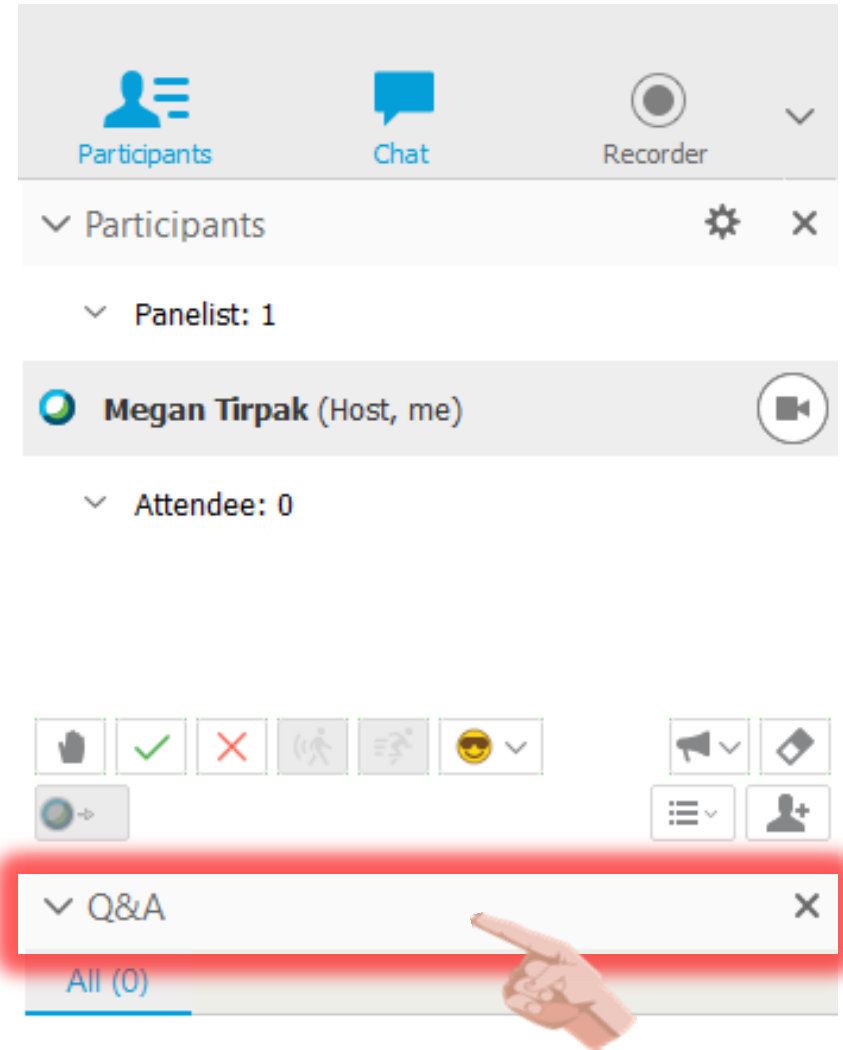
Key Takeaways

- GL is not the same thing as expense
- Ensure that the most appropriate and accurate GL is assigned for your expense, based on the activity
  - NOT what is most convenient
  - NOT what will get you through closeout
- Refer to the GL definition website for more information about your GL accounts and which one to use
- You are responsible for the GLs used on your projects

Q&A

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Changes to Training Strategy

- Sought input in early 2020 – survey, Training Redesign Group, TAG
  - New categories for CE and limitations on types of CE
  - Increased granularity in certification tracks
  - On-boarding training – first 90 days
  - Individual accountability and increased leadership communication
- COVID-19 – significant impacts on training strategy
  - FY20 – extend certification year
  - FY21 and beyond – greater focus on virtual training
    - Synchronous and Asynchronous learning

Continuing Education Requirements

- Annual CE requirements – 12 CE hours per year (pro-rated to 10 CE for FY21 certification)
- MSPAI required but will be tracked as event attendance vs. hours of continuing education
- Categories for CE including allowing interpersonal/professional skills training and presentations at research administration professional conferences and meetings
- CE categories with minimum and maximum CE hours
- CE tracking form to assist research administrators and supervisors in proactively managing and planning CE throughout the year
- Certification audit will be introduced in FY22
- Quarterly communication to managers and management centers high-lighting those "behind" in CE

Certifications

- RAA
  - New enrollment process – Form available in coming months in myRESEARCHhome
  - Enrollment will be rolling vs. cohort based
  - Primary focus will be RACI classified positions
    - Secondary – GM1s and other identified in partnership with management centers
  - Communication with additional details sent to initial group
  - "Tracks" will be offered to better differentiate research administrators' roles and responsibilities

Certifications – continued

- AGM
  - No significant changes for FY21
  - Target – January – June 2021
  - Cohort based
- FCC
  - Will be transitioned to model that leverages asynchronous learning
  - Target to launch first quarter of CY21
- RAI
  - Targeted audience – RACI positions and those identified by management center
  - Transitioning from day-long event to monthly, one-hour session

Upcoming Opportunities

- NIH and NSF sessions – *CE Category – Professional Conferences/Workshops*
  - Will count toward CE from an outside organization
  - Working through details of documentation of attendance
- New CAS class – *CE Category – Duke Specific Compliance, Systems, Business Process Training*
  - Target for launch – November
- New Model for SAP Reporting Class – *CE Category – Duke Specific Compliance, Systems, Business Process Training*
  - Report specific classes
- Research Symposium – November 10 – *CE Category – Duke Sponsored Professional Conference*
  - *"Grow Through What You Go Through"*

Key Takeaways

- As we transition, we want your feedback
- Keep your eyes open for communication
  - Targeted to specific audiences
  - General communication to the list serve
- Proactively manage your certification

Who To Contact

- Detailed information is available on our website
  - https://finance.duke.edu/research/training
- Email – rcc-cert@duke.edu

Q&A

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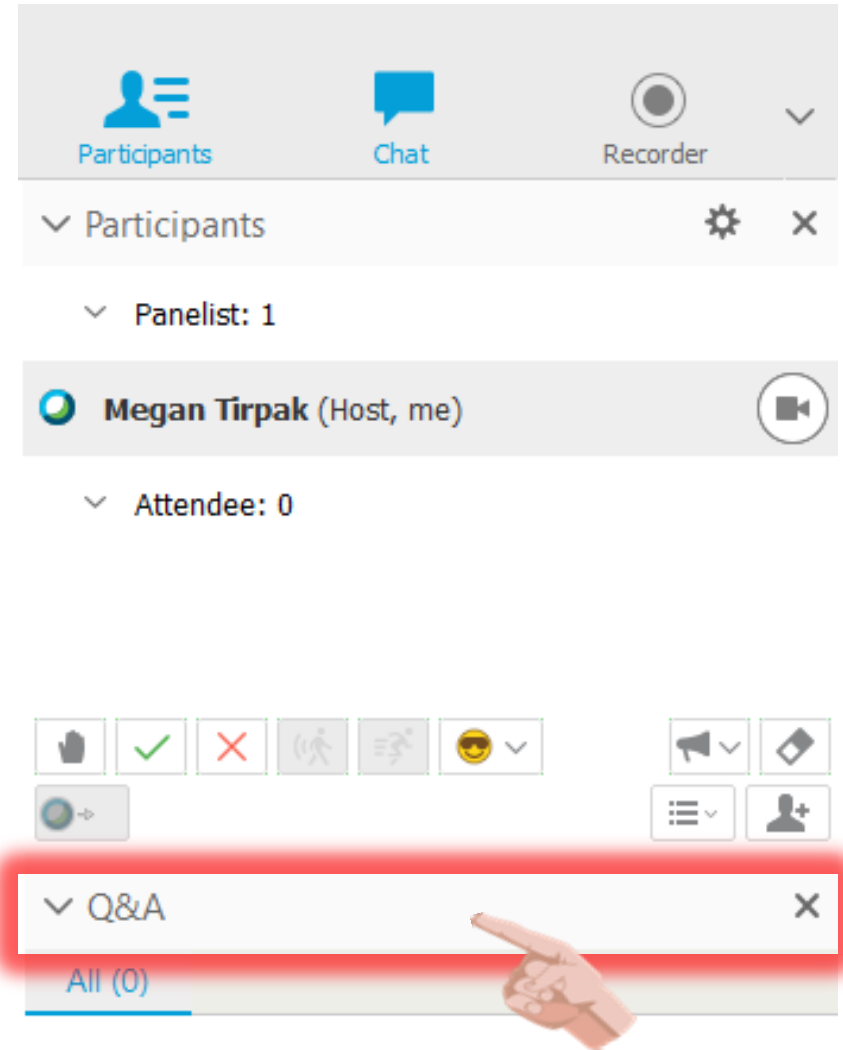
LMS Credits

Be sure to enter your NETID when prompted at exit

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