Quarterly Research Administrators Meeting

Office of Research Administration

7/14/2016

Agenda

RACI Closeout & Implementation Teams
Team Updates

Office of Research Administration (ORA)
Michael Dickman

Closeout Project Update

July 14, 2016

ORA Quarterly Meeting

Moria Montalbano and SOM Implementation Team

Agenda

- Introduction of new Team member
- Clean Close Transition
  - Early Questions and Lessons
  - Late Activity and Transfer Off Reporting
  - Key Points to Remember
- Using WBSE Master Data
- Backlog
- Resources

Introductions

Welcome!

- Deborah Watts, School of Medicine Implementation Team

Clean Close Transition

Transition Milestones

- Last (old process) Submission: Surgery
- First Clean Close Submission: DCRI

Clean Close Transition

Early Questions and Lessons

- Payroll and Payroll Related Entries
- F&A (Indirects)

Clean Close Transition

Late Activity and Transfer Off Reporting

- ## Late Activity Report
  - Grants Management>Sponsored Research Reporting> Late Activity Report
  - In order to identify true late activity, filter the "Tasklist Submission Date" to 07/1/16 or later.
- ## Transfer Off Reporting
  - Line Item Reporting (CJI3, KSB1)
  - Variant "Transfer Off"

Key Points

Clean Close

- Preparation
- Communication

Using WBSE Master Data

Backstop Code in SAP master data

- Verifying Backstop Codes prior to submission
- OSP will use code in SAP as the current backstop
- Departments can't use the write off GL, so re-allocation of the write off will have to be done on an 8xx transfer GL

Backlog

Backlog vs Current Activity

- Continue efforts on clearing out backlogged closeouts
- Clearing the backlog allows more resources to be allocated to working on current activity
- Reach out to the Implementation Team for assistance where needed

Resources

Implementation Team Outreach

- Late Activity Guidance document
- Achieving Clean Close Workshops

Closeout Project Website: http://finance.duke.edu/raci/closeout/resources/index.php

Questions?

Sponsor Related News

Presidential Early Career Awards for Scientists and Engineers (PECASE)

- the highest honor given by the federal government to outstanding scientists and engineers in the early stages of their independent research careers

- NIH is proud to support 20 PECASE recipients this year

- Dr. Kafui Dzirasa, R01MH099192, 'Enabling Stress Resistance'

NIH FOA Explained

Funding Opportunity Announcement

- A sometimes underappreciated but critical element of the application process is the detail found in NIH funding opportunity announcements

- Understand the FOA

- http://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/find-and-understand-foas.htm

- http://grants.nih.gov/grants/Annotated_FOA.pdf

Follow the tips in the blue boxes below to help you understand the importance of key pieces of information in funding opportunity announcements (FOA).

Department of Health and Human Services
Part 1. Overview Information

Participating Organization(s)	National Institutes of Health (NIH)	Your research has to fit within the mission of one of these participating organizations for your application to be assigned for funding consideration.
Components of Participating Organizations	National Cancer Institute (NCI) National Eye Institute (NEI) National Heart, Lung, and Blood Institute (NHLBI) Nation1al Human Genome Research Institute (NHGRI) National Institute on Aging (NIA) National Institute on Alcohol Abuse and Alcoholism (NIAAA) National Institute of Allergy and Infectious Diseases (NIAID) National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) National Institute of Biomedical Imaging and Bioengineering (NIBIB) *Eunice Kennedy Shriver* National Institute of Child Health and Human Development (NICHD) National Institute on Deafness and Other Communication Disorders (NIDCD) National Institute of Dental and Craniofacial Research (NIDCR) National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK) National Institute on Drug Abuse (NIDA) National Institute of Environmental Health Sciences (NIEHS) National Institute of General Medical Sciences (NIGMS) National Institute of Mental Health (NIMH) National Institute on Minority Health and Health Disparities (NIMHD) National Institute of Neurological Disorders and Stroke (NINDS) National Institute of Nursing Research (NINR) National Library of Medicine (NLM) National Center for Complementary and Integrative Health (NCCIH formerly NCCAM) Division of Program Coordination, Planning and Strategic Initiatives, Office of Research Infrastructure Programs (ORIP)	
Funding Opportunity Title	**Research Project Grant (Parent R01)**	
Activity Code	R01 Research Project Grant	The activity code tells you the type of grant program that is being advertised. Talk to a scientific/program contact listed in section VII of the FOA to ensure that you apply to the right grant program for you and your science.

[Understanding Funding Opportunity Announcements: PA-13-302]   1

New NIH Portal on Human Subjects

- This site provides regulatory guidance and links to human subjects protection information, and contains a number of tools and guides to help investigators and institutions meet federal and HHS/NIH standards for human subjects research protections

- https://humansubjects.nih.gov/

Rigor and Reproducibility Changes, Visualized

- The information provided on this website is designed to assist the extramural community in addressing rigor and transparency in NIH grant applications and progress reports

- NOT-OD-16-011 - Implementing Rigor and Transparency in NIH & AHRQ Research Grant Applications

- NOT-OD-16-012 - Implementing Rigor and Transparency in NIH & AHRQ Career Development Award Applications

- NOT-OD-16-034 - Advanced Notice of Coming Requirements for Formal Instruction in Rigorous Experimental Design and Transparency to Enhance Reproducibility: NIH and AHRQ Institutional Training Grants, Institutional Career Development Awards, and Individual Fellowships

http://grants.nih.gov/reproducibility/index.htm
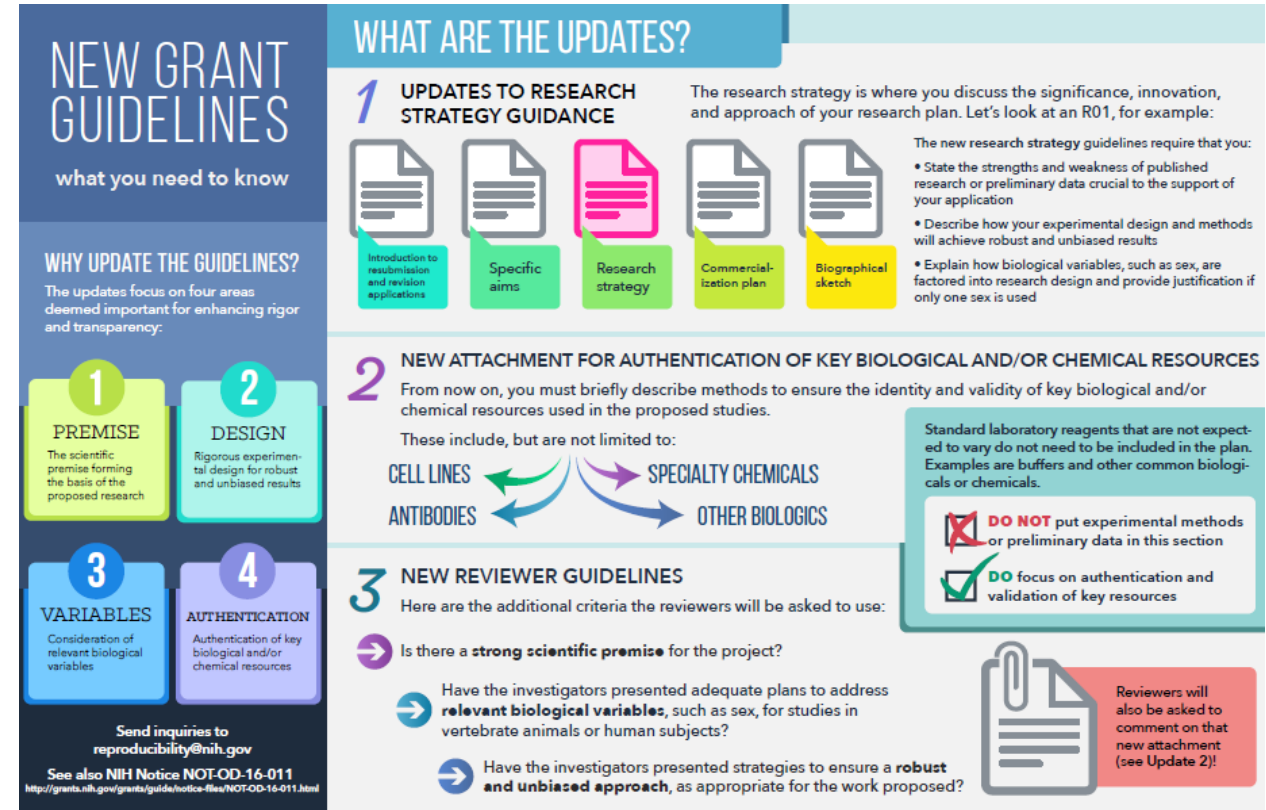
Updated PHS 398 Forms

- The current revision date on the PHS398 and PHS2590 forms is now 3/16
- SPS generates facsimile of outdated PHS forms
- "When will SPS Print the new forms?"
  - RAD is working on a solution
- "Do we have to use the new forms?"
  - Subaward situations – typically not enforced
  - Non-standard applications to NIH (supplement, transfer, etc.) – NIH enforcement of new form is inconsistent
  - Departments need to complete updated PHS forms if needed

Form Approved Through 10/31/2018

Department of Health and Human Services
Public Health Services

LEAVE
Type
Review
Counci

Grant Application

Do not exceed character length restrictions indicated.

1. TITLE OF PROJECT *(Do not exceed 81 characters, including spaces and punctuati*

E-Mail

14. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify
the statements herein are true, complete and accurate to the best of my knowledge
accept the obligation to comply with Public Health Services terms and conditions if
is awarded as a result of this application. I am aware that any false, fictitious, or fra
statements or claims may subject me to criminal, civil, or administrative penalties.

PHS 398 (Rev. 03/16)

NIH Cover Letters and PHS Assignment Request Form

- The Cover Letter should be used for any narrative information you want to relay to our receipt and referral staff, such as:
  - Reason for late application
  - Explanation of why a Subaward isn't active in all periods of the proposed project
  - Statements regarding agency approval documents (e.g., requests over $499,999)
  - Intent to submit a video as part of the application (NOT-OD-12-141)
  - Indication that the proposed study will generate large-scale human or non-human genomic data (NOT-OD-14-111 and NOT-OD-15-027)

- NIH receipt and referral staff are only looking for assignment requests in the PHS Assignment Request Form, so don't include them in the Cover Letter going forward
  - Requests made in the PHS Assignment Request Form may be used to expedite the processing and assignment of applications
  - NIH does not guarantee to honor requests, though they try to do so whenever possible

- The Cover Letter and PHS Assignment Request Form are visible to only a small number of NIH staff and are never seen by reviewers

- https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.600-phs-assignment-request-form.htm

PHS Assignment Requests (optional)

Awarding Component Assignment Requests (optional)

Assign to Awarding Component (in order of preference)

Do Not Assign to Awarding Component

Information about Awarding Components can be found at https://grants.nih.gov/grants/phs_assignment_information.htm#AwardingComponer

Study Section Assignment Requests (optional)

Assign to Study Section (in order of preference)

Do Not Assign to Study Section

Information about Study Sections can be found at https://grants.nih.gov/grants/phs_assignment_information.htm#StudySection

List Individuals who should not review your application and why (optional)

Scientific Areas of Expertise (optional)

Expertise (up to 5)

OMB Approval for SF424 R&R Forms Used Federal-wide Underway - Continue to Use Current Forms Until Further Notice [(NOT-OD-16-120)](NOT-OD-16-120)

- Federal-wide forms (typically labeled Research & Related or R&R) are on different clearance cycles and have recently expired or will expire soon

- Applicants and grantees should continue to use the application form packages (FORMS-D) posted with our funding opportunity announcements despite the expiration dates noted on each form.

- Grants.gov is working with the Office of Management and Budget (OMB) on the federal-wide form clearance and expects OMB approval for proposed form changes later this summer. Once approval is in place, we will provide information on data collection changes and implementation plans.

- We anticipate the proposed form updates to have minimal user impact for most NIH and AHRQ grant programs.

- Forms Expiring as of June 30, 2016 (OMB Clearance 4040-0001)
  - SF424 R&R
  - SF424 R&R Multi-project Cover
  - Research & Related Other Project Information
  - Research & Related Senior/Key Person Profile (Expanded)
  - Research & Related Budget
  - R&R Subaward Budget Attachment Form 5 YR 30 ATT
  - Research & Related Budget 10YR
  - R&R Subaward Budget Attachment 10 YR 30 ATT
  - R&R Multi-project 10 Year Budget
  - R&R Multi-Project Subaward Budget Attachment Form 10 YR 30 ATT
  - SBIR/STTR Information

- Forms Expiring as of September 30, 2016 (OMB Clearance 4040-0010)
  - Project/Performance Site Locations

Final NIH Policy on the Use of a Single Institutional Review Board for Multi-Site Research (NOT-OD-16-094)

- All sites participating in multi-site studies involving non-exempt human subjects research funded by the National Institutes of Health (NIH) will use a single Institutional Review Board (sIRB) to conduct the ethical review required by the Department of Health and Human Services regulations for the Protection of Human Subjects at 45 CFR Part 46.

- Applies to all competing grant applications (new, renewal, revision, or resubmission) with receipt dates on or after May 25, 2017

- Ongoing, non-competing awards will not be expected to comply with this policy until the grantee submits a competing renewal application

- For contracts, the policy applies to all solicitations issued on or after May 25, 2017.

- For the intramural program, the policy applies to intramural multi-site studies submitted for initial review after May 25, 2017.

IRB/IACUC Protocols on Awards Supported by DoD Require Additional DoD Review/Approval

- Applies to human/animal subject research that is funded by DoD component

- Duke IRB/IACUC must review and approval Duke protocol

- DoD must review Duke protocol and provide documentation of DoD approval

- No spending on human/animal subject until DoD approval is received

ORA News and Reminders

ORA Website!

- Check us out! https://medschool.duke.edu/research/research-support-offices/office-research-administration

- Recently transitioned not perfected!
  - Easier access to frequently visited tools
  - ORA Checklists

- Send suggestions to gcmail@mc.duke.edu be sure to include 'Website' in the subject line

Administrative Action Request

Subrecipient Initiation Request (SIR)

eRA @ Duke

Forms

Industry Moving to OCRC

- As of July 1st transitioning the signature process and all related administration for industry funded, non-Duke-as-a-site contracts from ORA to OCRC
  - Barbara C. Hall no longer ORA contact for industry agreements
  - OCRC Contacts
    - Cory Puryear (cory.puryear@duke.edu)
    - Faye Murrell (faye.murrell@duke.edu)
- Does not apply to federal flow through (SBIR/STTR, etc.)
- ORA still handles industry applications (when they are truly applications, i.e. conference, program, etc.)

Postdoc Salary Requirement for New Grant Proposals

- Changes in eligibility for overtime begins 12/1/16

- Minimum salary $47,476

- Impact on grants
  - Duke increase minimum salary for postdoc
  - All new proposals for grants and contracts should budget for a minimum salary of $47,476 for all postdoctoral research positions to ensure they are sufficiently funded as salaried positions
  - This includes postdoctoral associate, postdoctoral scholar, postdoctoral fellow, research associate, sr. research associate, research scientist, sr. research scientist, research scholar, sr. research scholar, and any other position serving in a postdoctoral research capacity

SOM Maximum Effort Policy Reminder

- While Sponsors accept up to 12.00 calendar months (100%) for overall active effort distribution, the [SOM maximum effort policy](#) indicates that no faculty member with PI status may be externally funded greater than 11.76 calendar months (98%) without written approval from the Vice Dean for Research

- This includes faculty on career development awards

Personal Services Agreement (PSA) Forms

- Splitting current PSA into two different forms
  - The Personal Services Agreement Institute for Medical Research (IMR) Sponsor Form
  - The Personal Services Agreement Duke Sponsor Form
- A training related to these PSAs, MOUs, and IPAs will be offered on September 21st from 9am-12pm

NCE Tool Updates – Status and Responsibility

- Submitted for Central Review – Department

- Approve for Sponsor Submission – ORA
  - ORA will review request before sending to sponsor
  - ORA approves and selects who will submit the request to the sponsor

- Submitted to Sponsor – ORA/Department
  - Person submitting request to sponsor is responsible for updating this status
    - If ORA submits it will update
    - If department submits it will update
  - This status update is required to move forward in the award process once approval comes in

- Sponsor Approved – ORA

NCE Tool Updates – Agreements

- NCE tool should only be used for formal requests to the sponsor for subaward/agreement

- No need to use NCE tool if amendment/modification already exists

- All agreements should be sent to contracts.management@mc.duke.edu or oracontracts@dm.duke.edu (they go to the same place)
    - Even for NCEs
    - Please let us know if the NCE tool was utilized

Contracts Updates

- ORA will complete – please send editable version
  - Subrecipient commitment forms
  - Attachment 3B
- Legal entity is Duke University
- Changes in terms typically require formal amendment
- ORA is legal authorized signature authority

RACI - Looking Back on FY16

- Sub-account Transition – transition completed with minimal impact on the SOM Units (i.e., Depts./Ctrs./Institutes)

- Post-Award Analytical Tools – a good start, but work continues into FY17

- Clean Close – established processes and tools provided, but work continues into FY17

- Backlog of Federally Sponsored Projects – codes identified, significant inroads, but work continues into FY17

- Post-Award Changes
  - Tuition Remission
  - Payroll Access
  - No Cost Extensions (NCEs)
  - Mgmt of Postings After-the-End Date
  - Internal Billing
  - Peer Invoicing
  - Revised FFRs
  - Programmatic Reporting

- Mobile Functionality for Faculty – ability to access financial data from their iPhones

RACI - Looking Ahead for FY17

- Transfer-off tool
- Clean-close automation tools
- Advance the Research Administrator Portal
- Commitment management
- Execute phase 1 of the programmatic reporting initiative
- Address the new FLSA requirements
- Complete the eCRT upgrade
- Address the challenges related to highly-complex or highly-demanding research administrator positions
- Evaluate HR and training issues related to less-than-80%-dedicated research administrators
- Continue to vet the Uniform Guidance and partner with Peers and seek COGR's support on various Issues
  - IBS, Subrecipient Monitoring, Effort Mgmt, etc.
- Develop international costing policies (VAT, exchange rates, Fly America, cash management and advances, etc.)
- Create a strategy to address needs related to the storage of research data from departing faculty

Top 10 Pitfalls of a Proposal

SOM RA Fellows

1. DUE DATES

- Agency Due Date in SPS must be due date listed in FOA
  - If a PI wants the proposal submitted earlier than the sponsor due date an internal memo should be made for ORA review
  - All proposals should be turned in within 7 business days of the day they want to receive the proposal back for submission
    - Not necessarily proposal due date
    - If not, a waiver must be turned in to the central office

WARNING: DUE DATES ARE CLOSER THAN THEY APPEAR

- For NIH, the budget type, modular vs traditional, depends on requested budget amount
  - Use traditional for budgets exceeding $250,000 per year
  - If the budget is modular, it should only include $25,000 budget intervals
  - FOA may mandate exceptions
- Exclude F&A exempt budget categories from MTDC base
- F&A should always default at federally negotiated rate
  - Consult SOM F&A waiver policy for exceptions

3. DISCREPANCIES IN THE BUDGET

- There should be no discrepancies between:
  - budget
  - budget justification
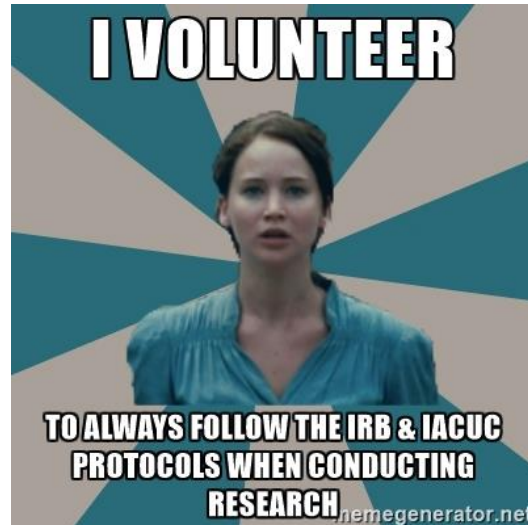
This includes effort commitments

4. ANIMAL/HUMAN SUBJECTS

- New submissions - IRB and IACUC status should be pending

- RPPRs - the status can be approved and approval number listed

- Competing renewals - the status should be pending

5. EFFORT

- Key personnel must have measurable effort on the project
  - Exception of Other Significant Contributors
- Personnel not in the budget should also not be included in the budget justification

6. eRA COMMONS ID

- eRA commons ID for the PI should be active and affiliated with Duke

User Name	User ID	Email Address	Account Status	Role	CS Eligibility Details	Address	Institution
Jacobs, Britney A	JACOBSB	jacobs@duke.edu	Active	PI	NO	Duke University Department of Medicine NC 27710	Duke University

7. DPAF

- FCOI needs to be checked off, signed, and dated
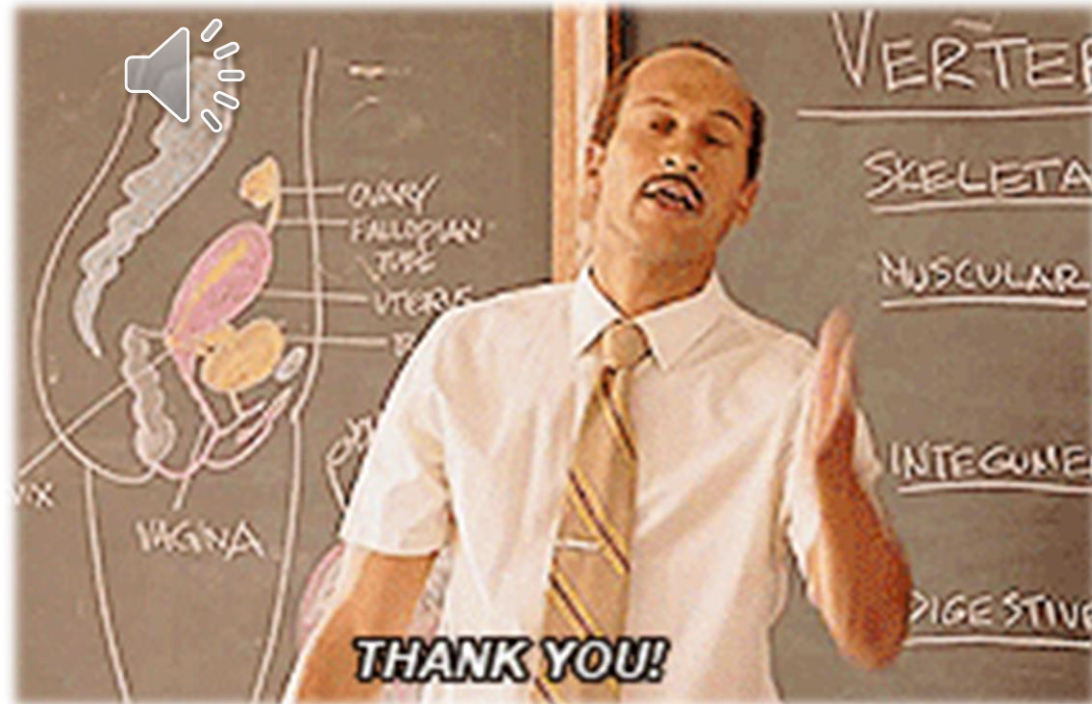 - If FCOI has been checked yes, ORA will notify RIO

8. SUB-CONTRACTS

- All subcontract information should be included in SPS and should be noted throughout the proposal (i.e. budget, budget justification, performance sites)
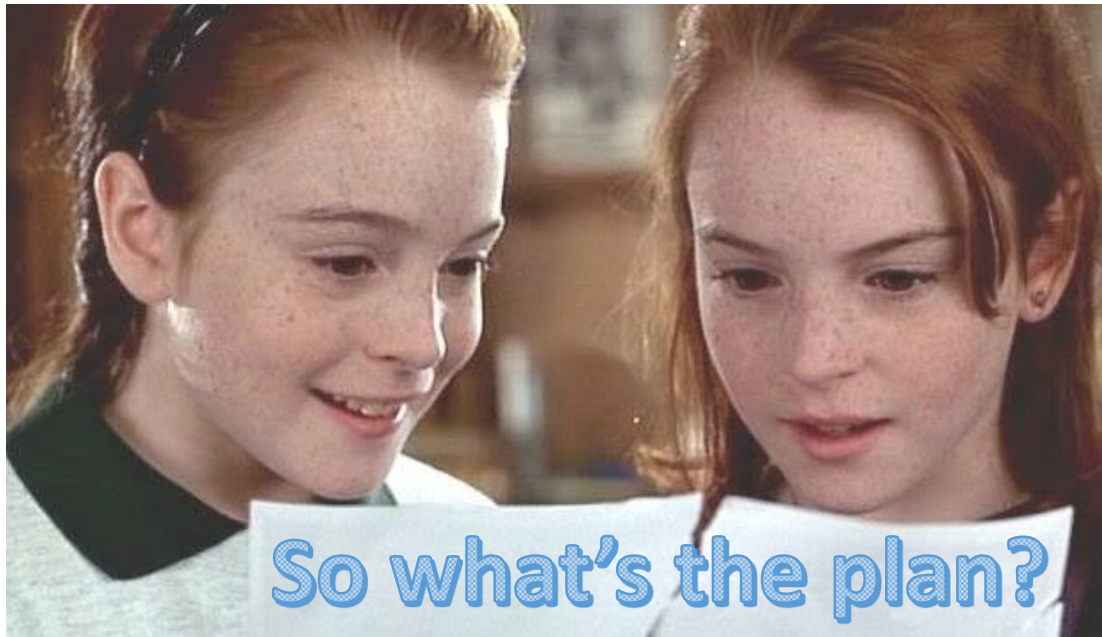
Must include a signature page, budget, budget justification and scope of work!
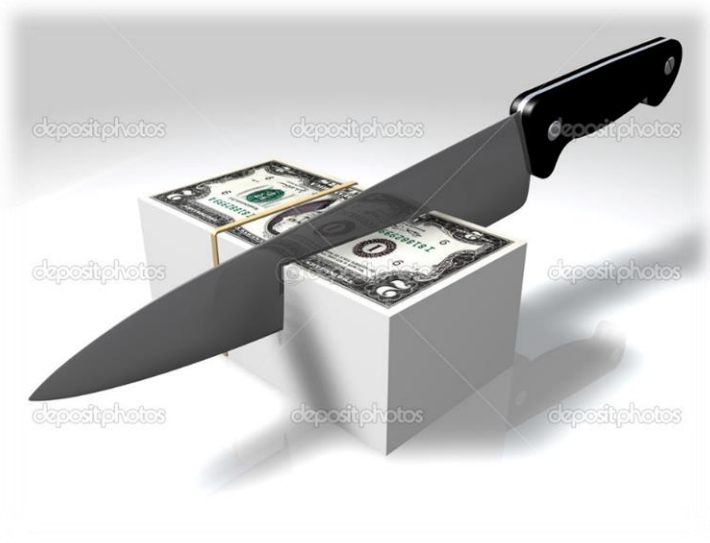
9. MULTI-PI/PD PLANS

- If there are multiple PI/PDs, NIH requires a multi-PI/PD plan which should be included in the application

10. COST SHARE

- Two types of allowable cost share
  - Required by the sponsor in the FOA
  - Salaries over the NIH cap ($185,100)
- Cost-share must be outlined in SPS

Miscellaneous News

Upcoming Training Opportunities - ORA

- NIH Application Development, Management & Resources (ADMR)- August 16, August 18 and August 23 from 8:30-12:30 (Plus group homework)
  - Our focus is to dive into the details of a Funding Opportunity Announcement, the SF424, budgets, resources, systems, Just in Time, and more. The goal is to have a better understanding the entire initial pre-award process through the receipt of the NIH Notice of Award.

- Sponsored Projects System Training (SPS Skills Training) – August 30th from 8:30-12:00
  - Designed for those with Research Administration responsibilities, our focus is to dive into the details of SPS in order to provide a better understanding of the application process at Duke University.

- Other Support (OS) – September 8th from 9:00-12:00
  - Join us for a discussion related to the importance of Other Support (the why), the definition and purposes of OS (the what), when OS is due, and the basics in personnel review and effort change (the how), and more.

- Research Performance Progress Reports (RPPR) – September 14th from 9:30-12:00
  - Let's work together to answer the basic RPPR questions: What are they? When are they needed? What should be included? Where do you find the systems necessary? Who can serve as resources, and more.

- IPA/MOU/PSA – September 21st from 9:00-12:00
  - This course will dive into the details of Intergovernmental Personnel Acts, Memorandums of Understanding, and Personal Service Agreements.

- eSubmissions – September 28th from 9:30-12:00
  - As it relates primarily to NIH: The purpose of this class is to increase knowledge of electronic submissions to encourage successful and practical application in the workplace.

Upcoming Training Opportunities - PIs

- **Write Winning Grant Proposals**

- ***Thursday, July 28, 2016, 8:30am-5:00pm***

- This widely acclaimed seminar comprehensively addresses both practical and conceptual aspects that are important to the proposal-writing process. The seminar is focused on NIH funding and emphasis is given to such things as idea development, identification of the most appropriate granting agency, how to write for reviewers, and tips and strategies that are of proven value in presenting an applicant's case to reviewers. Content addresses recent changes to how grant proposals are written and reviewed. Participants are taught to write with a linear progression of logic, which leads reviewers through their applications. It is stressed that applicants are writing for two different audiences – the assigned reviewers, who read the application in its entirety, and non-assigned reviewers, who may read little, or nothing, of the proposal before the meeting of the review panel. Strategies designed to merit a fundable priority score are provided.

- **Presented By:** John Robertson, PhD, of [Grant Writers' Seminars and Workshops LLC](#)

- **Location:** TBA

- **Who should attend:** This seminar targeted toward SoM faculty who are actively writing grants. Faculty will be given registration priority. Limited seats will also be available for staff and trainees involved in grant writing.

- **Questions?** Contact jessica.womack@duke.edu

- https://medschool.duke.edu/about-us/faculty-resources/faculty-development/upcoming-events

Upcoming Training Opportunities - Conferences

- NCURA Annual – Washington DC; August 7-10, 2016
- SRA Annual Meeting – San Antonio, TX; October 22-26, 2016
- NIH Seminar – Chicago, IL; October 26-28, 2016
- NCURA Region III – Savannah, GA; May 6-10, 2017
- SRA Southern/Midwest Section – Nashville, TN; May 7-10, 2017
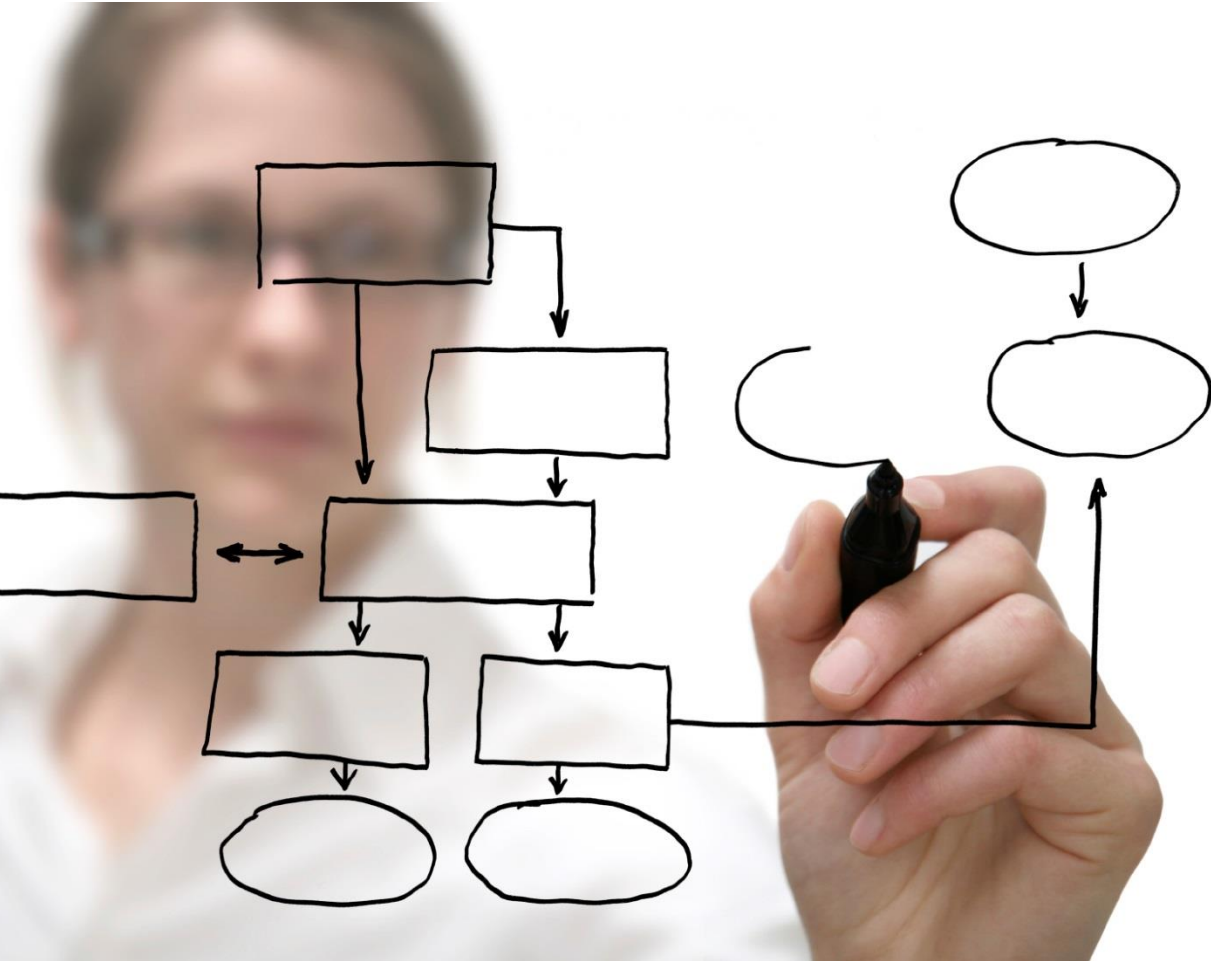
ORA Personnel Update

- Arrivals
  - n/a

- Departures
  - Juliette Lee 7/28/16

- Openings
  - Research Administrator – Grants
  - Research Administration Manager – Grants
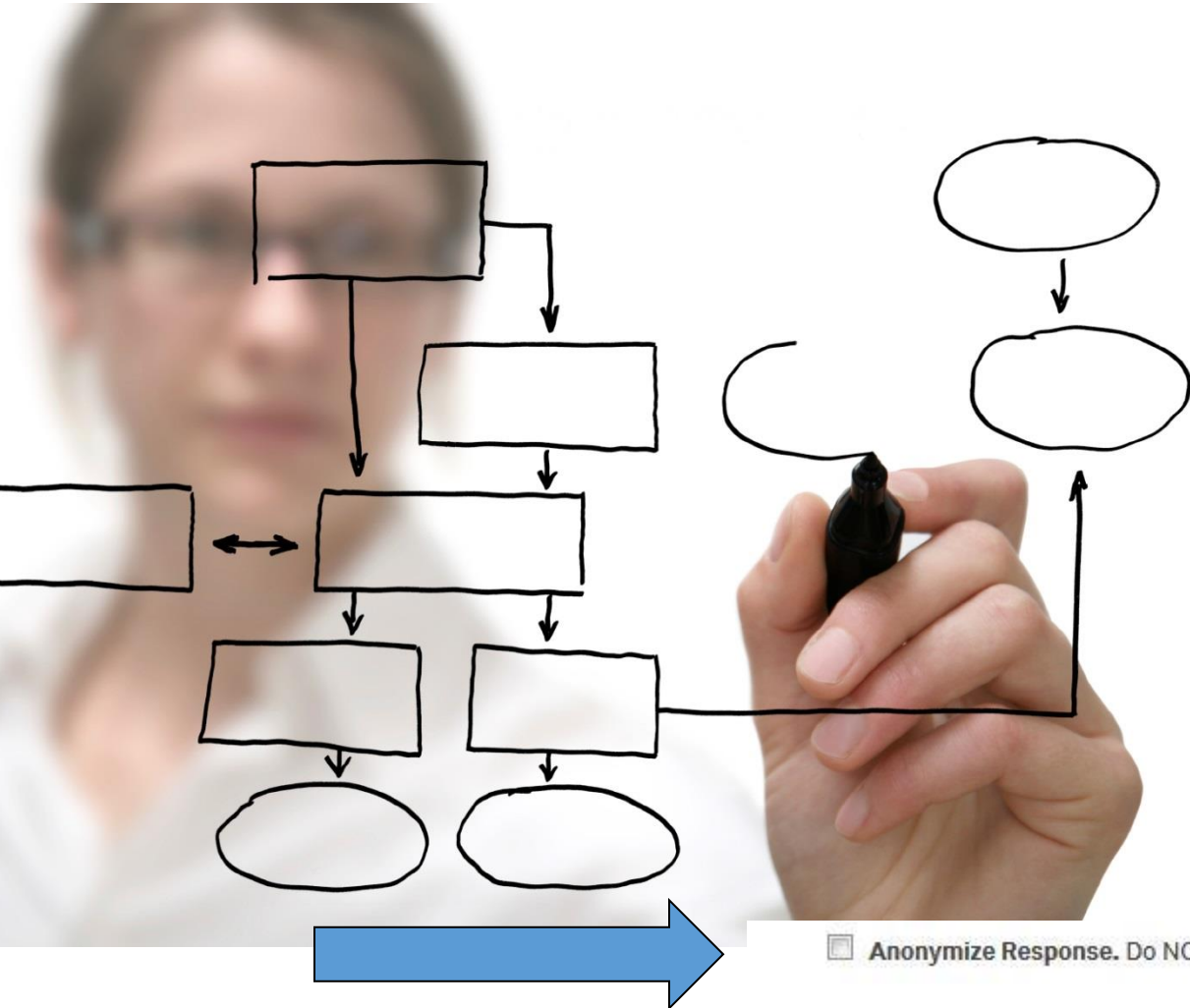 - Research Administrator – Contracts

LMS Registration & Credit

- 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)

LMS Credit Qtrly Mtg & Survey

- To receive credit, each person who signed in will be sent a Qualtrics "By Invitation Only" link

- This link can be only be used once per person (Qualtrics records your information)

- Please put some thought into your responses – we need your input

- Note: The credit should be listed in LMS within 14 days after survey is completed

Anonymize Response. Do NOT record any personal information and remove panel association (not recommended).