



Office of Research Administration

Quarterly Research Administrators Meeting

10/27/2016



Agenda

RCC Update - Julie Cole

HR Training Requirements - Betsy Hames

My Research Home - Rebecca Brouwer

Duke Apps - Beth Carter

OSP Update - Sharon Brooks

Closeout Update – Darrell Queen

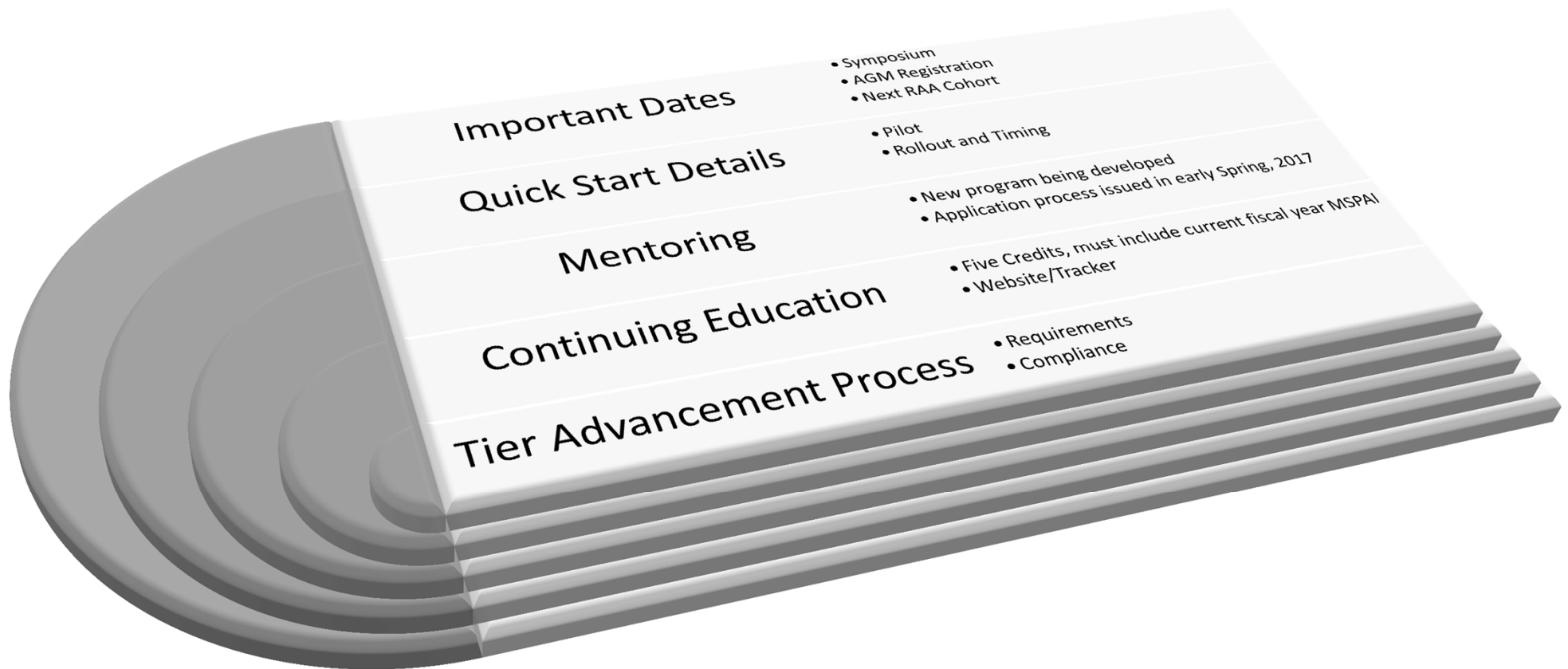
ORA Update - Michael Dickman



Research Costing Compliance/SOM Human Resources Update

ORA Quarterly Meeting
October 27, 2016

Agenda



IMPORTANT DATES

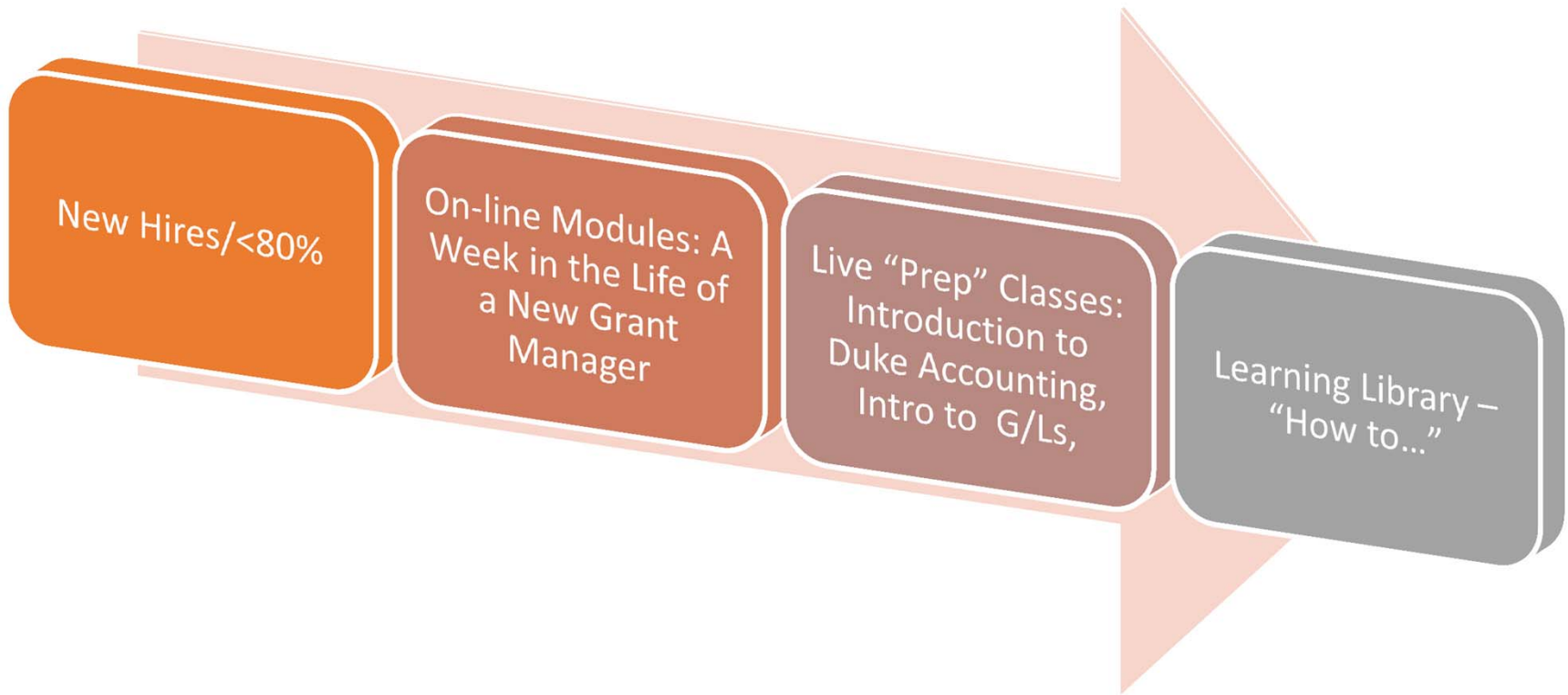
- SYMPOSIUM – NOVEMBER 15, 2016
- AGM APPLICATIONS – NOVEMBER 15; CLASSES BEGIN IN JANUARY, 2017
- RAA COHORT APPLICATIONS – DUE JANUARY 6, 2017
- CLASS CALENDAR FOR SPRING, 2017 POSTED BY DECEMBER 1 – APPLICATION DATES FOR CERTIFICATIONS POSTED THROUGH CALENDAR 2017



QUICK START

Onboarding support for new hires in research administration
Guidance and on-demand training opportunities to accelerate
baseline knowledge
Enables additional training opportunities for <80%
Prerequisite training for RAA Cohort





MENTORING

Planning underway to create a mentoring program relevant to:

New Hires – Quick Start

RAA Cohort

Community of Practitioners / Networking

Assist Departments with Onboarding

Features:

Senior level personnel

Dedicated case studies



CONTINUING EDUCATION

REMINDER:

Five Continuing Education credits required each Fiscal Year – must include MSPAI class (Jan., 2017 start)

Can be tracked through the LMS
and/or the Training Tracker

<https://radapps.duke.edu/rcc>

Website provides extensive details

<https://finance.duke.edu/research/training/ce/index.php>

NEW: Working to include/offer webinars and expanded classes



> Education & Training

- Symposium For Research Administrators
- Financial Services Training
- Duke LMS And RCC Training Tracker
- Current Training Opportunities
- Effort Reporting
- Introductory Classes
- Certificate Programs
- > Continuing Education
 - Continuing Professional Education (CPE) Credit
 - Instructor Biographies
 - PI Continuing Education
 - FasTrack Program
 - Other Training
 - Frequently Asked Questions

Policies & Procedures

Monitoring & Compliance

Effort Reporting & ECRT

Pre-Award Administration

Post-Award Administration

Forms & Resources

Roles & Responsibilities

News & Events

■ Continuing Education

Introduction

Duke University recognizes that learning is constant and as such endorses the concept of renewing both professional knowledge and skills through continuing education. The goal of the RCC continuing education requirement is to ensure that new processes, procedures, technologies, and skills are adopted by the grant management community.

In order for certified Duke employees to renew their certification(s), they are required to complete continuing education every fiscal year (July 1 - June 30). At the end of the fiscal year, RCC reviews each certified employee's training portfolio to ensure the continuing education requirements were met throughout the fiscal year. Completion of these requirements renews the certification for another fiscal year. However, failure to meet continuing education requirements invalidates all certifications.

Some positions at Duke require employees to maintain certification through continuing education. While certification requirements vary, all persons in the following job classifications are required to maintain certification in specific RCC programs (RAA, AGM, RAI): Grants and Contracts Administrator (2647); Grants and Contracts Manager (2648); Senior Grants and Contracts Manager (2649); Research Administrator (2627); Research Administration Manager (2628); Associate Director, Research Administration (2629).

Research Costing Compliance recommends that supervisors and grant managers work together to select continuing education opportunities that are relevant to the employee's job duties.

Continuing Education Requirements

The continuing education requirements to maintain RAA, AGM, RAI and FCC certifications are:

- Annual version of [Management of Selected Post Award Issues \(MSPAII\)](#) - 1 credit
- 4 other continuing education credits (See below for classes and other professional activities that count towards renewal)
- Any additional required FasTrack(s)

- [Introduction](#)
- [Continuing Education Requirements](#)
- [New Continuing Education Requirements for FY15](#)
- [Ways to Earn Continuing Education Credit](#)
- [Number of Credits Provided for Continuing Education Opportunities](#)
- [Continuing Education While Enrolled in a Certificate Program](#)
- [How to Request Continuing Education Credit for Other Training](#)
- [Petition to Waive Continuing Education Requirements](#)
- [Continuing Professional Education \(CPE\) Credits for External Certifications](#)

Reference Website for all Continuing Education requirements



CONTINUING EDUCATION

Continuing Education While Enrolled In A Certificate Program

Individuals enrolled in any RCC certificate program (RAA, AGM, RAI) or the RAA Test-Out are exempt from completing all five continuing education requirements during the fiscal years in which they are enrolled in the certificate program or test out, with the exception of Management of Selected Post Award Issues (MSPAI) and required FasTracks.

If I...	Required Continuing Education
Have a current certificate (RCC, RAA, AGM, RAI) and am not enrolled in a certificate program?	MSPAI, 4 other CE credits, required FasTracks, as applicable
Have a current certificate and currently enrolled in another certificate (RAA, AGM, RAI)?	MSPAI and FasTracks, as applicable. The 4 other CE requirements will be waived for the fiscal years in which an employee is enrolled in a certificate program

Remember, mandatory FasTrack requirements will impact meeting CE requirements

CONTINUING EDUCATION

How To Request Continuing Education Credit For Other Training

- To request continuing education credit for attendance to an external professional meeting, please complete and submit the [Request for RCC Certification Credit](#) form.
- Continuing education credit for other research administration training activities not already listed may be requested by completing and submitting the [RCC Application to Provide Continuing Education Credit](#) form.

Petition To Waive RCC Continuing Education Requirements

Supervisors of RCC, RAA, AGM and RAI certified employees may petition to have the annual continuing education requirements waived for a particular fiscal year(s) due to extenuating circumstances, such as extended periods of approved leave. Workload and staffing concerns are not reasons for which a waiver will be granted. The form is located on the [forms](#) section of the RCC website and should be completed by the supervisor and submitted to RCC at rcc-cert@duke.edu.

Continuing Professional Education (CPE) Credits For External Certifications

This is in process with Duke Human Resources L&OD



Credit & Certification Status

Last Name

First Name

Duke ID

Duke Org (BFR)

Only Include

☒ People with training

☒ Grant Manager Job Codes

Search

Spreadsheet

Name	Credits ⓘ		Certifications ⓘ				
	FY16	FY17	RCC	RAA	AGM	RAI	FCC
	7	1		✓	✓		



Fiscal Year 2017		
Course	Date	Credits
ORA Research Administrators Quarterly Meeting (FY2017)	07/14/16	1
Total Credits		1

TIER ADVANCEMENT PROCESS

- Important components of RACI initiative to provide training and career growth opportunities.
- Annual tier advancement for Grants and Contract Administrators
- Focus not only on training but competency. Manager recommendation.
- Any changes to tier and compensation are effective October 1.



TIER ADVANCEMENT PROCESS

- Employee must complete required training and manager determine readiness of employees to advance to the next tier.
- Training requirements must be completed by June 30th in order to be eligible for tier advancement.
- Employees have 12 months to complete their RAA. An additional six months for AGM.



TIER ADVANCEMENT PROCESS

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TIER ADVANCEMENT PROCESS

	Expected Function of the Tier	Years of Relevant Exp.	Training/ Certification Requirements	Performance Accelerator (no NI)	Recommendation for Professional Development	Typical Pay Increase*	Comments
Associate	Proficient as a grants and contracts administrator	0	RAA (within 12 months)		North Carolina Chapter of the Society of Research Administrators International (NCSRA), Symposium attendance		Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.
Required to Advance			Two additional RCC classes beyond the continuing education requirements				
Advanced	Experienced, highly capable, and requires minimal oversight of work	3 years	RAA required and AGM (AGM within 12 months – must enroll in AGM prior to taking AGM classes)	2 Exceeds evaluations reduces years of relevant experience to 2 year minimum. CRA certification can reduce years of experience to 2 years.	Certified Research Administrator (CRA) prep, NCSRA	5%	Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.
Senior	Subject matter expert; role model; may be responsible for mentoring and developing others	6 years	RAA and AGM required Expected to attend all the appropriate Internal updates	4 Exceeds evaluations reduces years of relevant experience to 5 year minimum. CRA certification can reduce years of experience to 5 years.	National or Regional NCURA, Society of Research Administrators International (SRA)	5%	Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.
Team Leader	Advanced tier competencies as well as responsibilities for mentoring and developing staff. Oversees work of others. May or may not carry same responsibilities as a	3 years	RAA and AGM Required Expected to attend all the appropriate Internal updates	2 Exceeds evaluations reduces years of relevant experience to 2 year minimum. CRA certification can reduce years of experience to 2 years.	National or Regional National Council of University Research Administrators (NCURA), SRA	5%	Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.

* An increase may be less than 5% due to internal equity. If an increase of greater than 5% is warranted due to equity and other factors, approval is required by the management center.

<https://finance.duke.edu/raci/compensation/tier.pdf>

RACI TRAINING COMPLIANCE

- Must complete or retain certifications
- Must complete annual CE requirements including MSPAI annual requirement by June 30th deadline
- Failure to complete required training may result in corrective action.
- Several resources available. RACI and RCC websites, job descriptions, RCC, HR, and manager.



Q & A



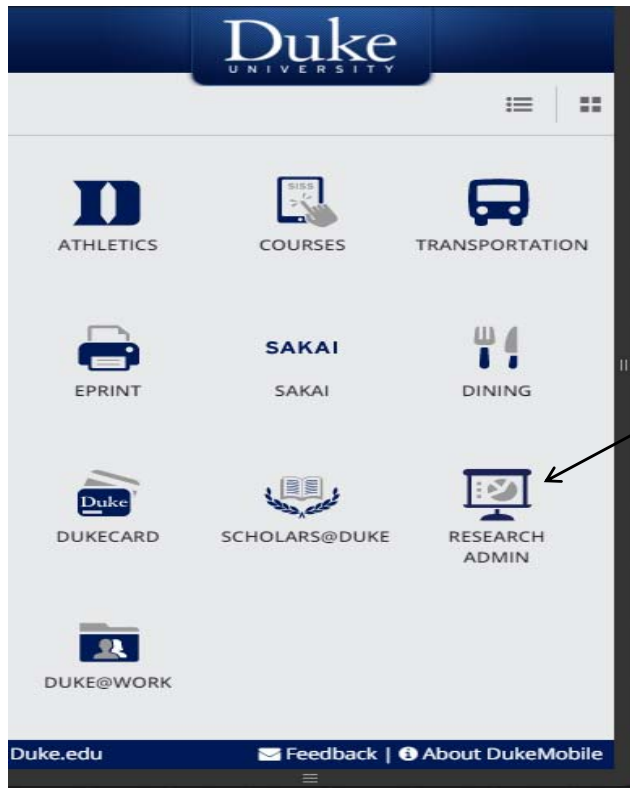
Mobile Apps for Sponsored Research

10/18/2016





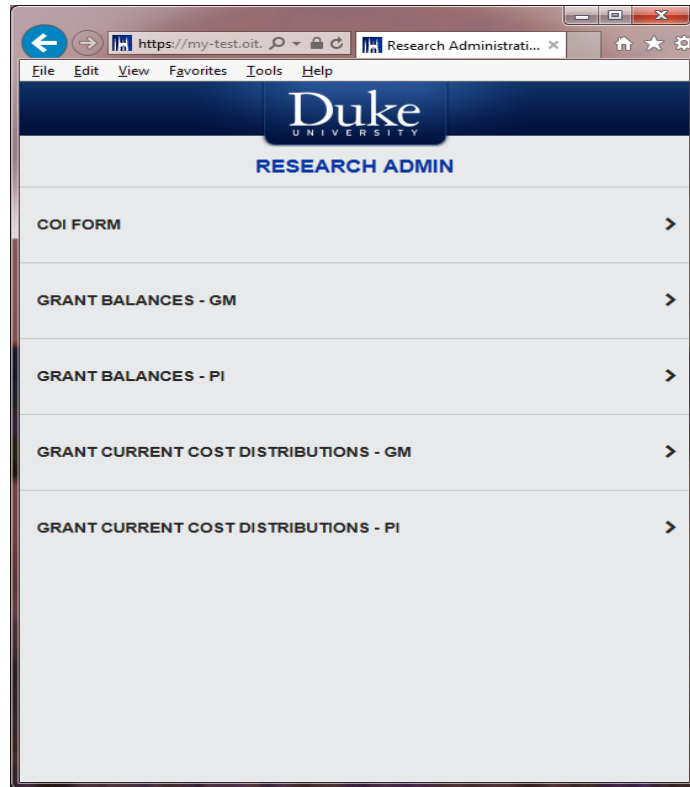
Duke Mobile – Grant Balances & Cost Distributions



Research Admin App Section



Research Admin App Section



- Separate Apps for PI and GMs
- App design same for PI and GM
- Selection based on master data assignments as PI or GM
- PI Apps available to those with MyResearch tab security role
- GM Apps available to those with Grants Management tab security role
- If no master data assignments as PI/GM, then no data will appear when executed
- WBSE only, no cost centers



Grant Balances App - PI

Current Available Balances			
Direct Cost	Total Cost		Detail
TEST IN DEV ON 1/31/2010 DHHS AMOS BFR			
2030016: 12/31/2010	0	Project Ended	>
CLM PROJECT			
3010000: 06/01/2012	657,630	Project Ended	>
5R01-AI-052061-02-BORONATED L-NUCLEOTIDE			
3030168: 02/28/2014	164,976	Project Ended	>
GOOD TEST FOR REBUDGET FORM			
3033010: 12/31/2014	602,313	Project Ended	>
5U18-HS-10548-02 SUB #1			
3039494: 09/29/2014	-1,930,444	Project Ended	>
ALBERT EINSTEIN UNIV SUBCONTR #9-526-188			
3830009: 07/31/2015	0	Project Ended	>
CR#34946 TESTING - MULTIPLE CODES 1BFR			
2030041: 10/31/2013	1,329	Project Ended	>
DEV SUPPORT PACK			
2030085: 02/21/2015	0	Project Ended	>
ZF400A TEST			
	0		>

Detail option

Direct Cost and Total Cost toggles

Drilldown for greater details



Grant Balances App – Drilldown to Category Detail

← VTEU 14-0024 BOTULISM - D2

Detail

VTEU 14-0024 BOTULISM - D2

2035087: 03/31/2017

Category De... Effort Other Info

Current Available Balances	
Sponsored Programs Revenue	7,151
Salaries and Wages	10,084
Fringe Benefits	2,350
Other	142,422
Total Direct Costs	154,857
Indirect Expense	91,365
Total Project Costs	246,222

← VTEU 14-0024 BOTULISM - D2

Detail

VTEU 14-0024 BOTULISM - D2

2035087: 03/31/2017

Category De... Effort Other Info

Current Available Balances	
Sponsored Programs Revenue	7,151
Plan: 0 Inception to Date: -7,151 Projected Expenses: 0 Projected Balance: 6,078	
Salaries and Wages	10,084
Plan: 14,744 Inception to Date: 4,659 Projected Expenses: 16,407 Projected Balance: -5,926	
Fringe Benefits	2,350
Plan: 3,482 Inception to Date: 1,131 Projected Expenses: 3,883 Projected Balance: -1,407	
Other	142,422
Plan: 142,454 Inception to Date: 31 Projected Expenses: 0 Projected Balance: 142,422	
Total Direct Costs	154,857
Plan: 160,680	

Category Balances

Current and Projection Balances



Grant Balances App – Effort and Other Info

← VTEU 14-0024 BOTULISM - D2

Detail

VTEU 14-0024 BOTULISM - D2

2035087: 03/31/2017

Category De... Effort Other Info

Current Percent Effort

MARVIN MARTIAN	1.00 %
Maternal-Fetal Medicine	
BARNIE RUBBLE	1.00 %
Duke Human Vaccine Institute - Admin	
FOGHORN LEGHORN	5.00 %
Maternal-Fetal Medicine	
FRED FLINSTONE	2.00 %
Duke Human Vaccine Institute - Admin	

Effort percentages as of last month-end

PI and GM assignments

Email option

Other key master data information

← RHESUS ANTIBODYOME Y4 - PROJECT MANAGEME

Detail

2034303: 06/30/2019

Category D... Effort Other Info

Principal Investigators

✉ SIZEMORE, BETH

Grant Managers

✉ KIMBERLY C BROCK

✉ ANGELIQUE CHERRY

Key Dates

Project Dates

07/15/2012 - 06/30/2019

Current Award Dates

07/01/2015 - 06/30/2016

Projection to Date

06/30/2016

Other Award Info

Agency Contact Number

SUM1-AI100645-04

Sponsor

DHHS, PHS, NIH, NIAID



Cost Distribution App – View by Cost Object

Current Cost Distribution by Fund	
View By Employee	
2035087 VTEU 14-0024 BOTULISM - D2	
MARVIN MARTIAN Maternal-Fetal Medicine	1%
BARNIE RUBBLE Duke Human Vaccine Institute - Admin	1%
FOGHORN LEGHORN Maternal-Fetal Medicine	5%
FRED FLINSTONE Duke Human Vaccine Institute - Admin	2%
2931024 SINGULEX PROJECT ADDENDUM #1	
JOHN MCINROE Ctr Applied Genomics and Precision Med	7%
ELIZABETH CARTER SAP-Administrative Systems Management	15%
TONY H ROMO Ctr Applied Genomics and Precision Med	5%
AARON W RODGERS Ctr Applied Genomics and Precision Med	15%
3130552 W911NF-15-1-0161	
WOODY WOODPECKER Medicine-Infectious Diseases	5%
LADY W BIRD Ctr Applied Genomics and Precision Med	5%
TONY H ROMO Ctr Applied Genomics and Precision Med	5%
NOLAN S RYAN Medicine - Cardiology	5%

Presents current cost distribution percentages

Default presents by WBSE then by Employee

Provides option to switch to Employee View



Cost Distribution App – View by Employee

Alternative sort option: View by Employee then WBSE

Ability to see more Employee Details

Current Cost Distribution by Employee

View By Fund

Employee Details

WOODY WOODPECKER		
3130552 W911NF-15-1-0161		5%
JOHN MCINROE		
2931024 SINGULEX PROJECT ADDENDUM #1		7%
LADY W BIRD		
3130552 W911NF-15-1-0161		5%
ELIZABETH CARTER		
2931024 SINGULEX PROJECT ADDENDUM #1		15%
MARVIN MARTIAN		
2035087 VTEU 14-0024 BOTULISM - D2		1%
TONY H ROMO		
2931024 SINGULEX PROJECT ADDENDUM #1		5%
3130552 W911NF-15-1-0161		5%
BARNIE RUBBLE		
2035087 VTEU 14-0024 BOTULISM - D2		1%
NOLAN S RYAN		
3130552 W911NF-15-1-0161		5%
AARON W RODGERS		
2931024 SINGULEX PROJECT ADDENDUM #1		15%
ANNA M MAZUR		
3130552 W911NF-15-1-0161		15%
FOGHORN LEGHORN		
2035087 VTEU 14-0024 BOTULISM - D2		5%

Current Cost Distribution by Employee

View By Fund

Employee Details

WOODY WOODPECKER

PROFESSOR (TENURE)

Medicine-Infectious Diseases

DUID: 00075873

3130552 W911NF-15-1-0161

5%

JOHN MCINROE

ASSIST RESEARCH PRACTICE

Ctr Applied Genomics and Precision Med

DUID: 00193067

2931024 SINGULEX PROJECT ADDENDUM #1

7%

LADY W BIRD

MANAGER, SYSTEMS PROJECT

Ctr Applied Genomics and Precision Med

DUID: 00203572

3130552 W911NF-15-1-0161

5%

Closeout Project Update

October 27, 2016

SOM Implementation Team



Agenda

- ★ Implementation Team Staff Update
- ★ Taking Closeouts to the Polls
- ★ Key Reminders



Implementation Team Staff Update

- ★ Welcome to Sharon Amos
- ★ Welcome to Jerry Biacsi
- ★ Thanks to Zarrin Brooks (*now in OSP*)
- ★ Thanks to Paige Smith (*faculty development*)





Question 1 (test)

What should Darrell be for Halloween?

Question 2

What is your biggest closeout challenge?

- A. Completing Section 6
- B. Waiting for cost sharing entries to post
- C. Waiting for payroll credits to post
- D. Computing the project balance for the PI Attestation
- E. Computing the WBSE balance for the Tasklist
- F. Darrell



Results are in!

The top three challenges that we see:

1. The PI Att project balance
2. The Tasklist WBSE balance
3. Waiting for payroll activity (including adjustments and cost sharing entries) to post



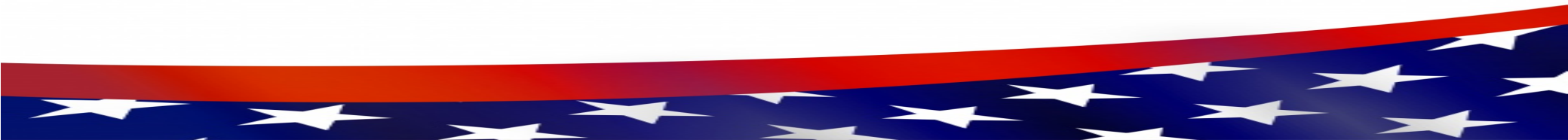
Reminders

- All (direct) activity must be posted before you submit your closeouts
- The balance on the Tasklist and PI Attestation (if parent) need to be completed



Reminders

- ★ Be sure to register for the 2016 Research Symposium - November 15, 2016
 - ★ Implementation Teams Breakout Session – Expedition: Closeout (Afternoon)



Questions?





ORA News and Reminders



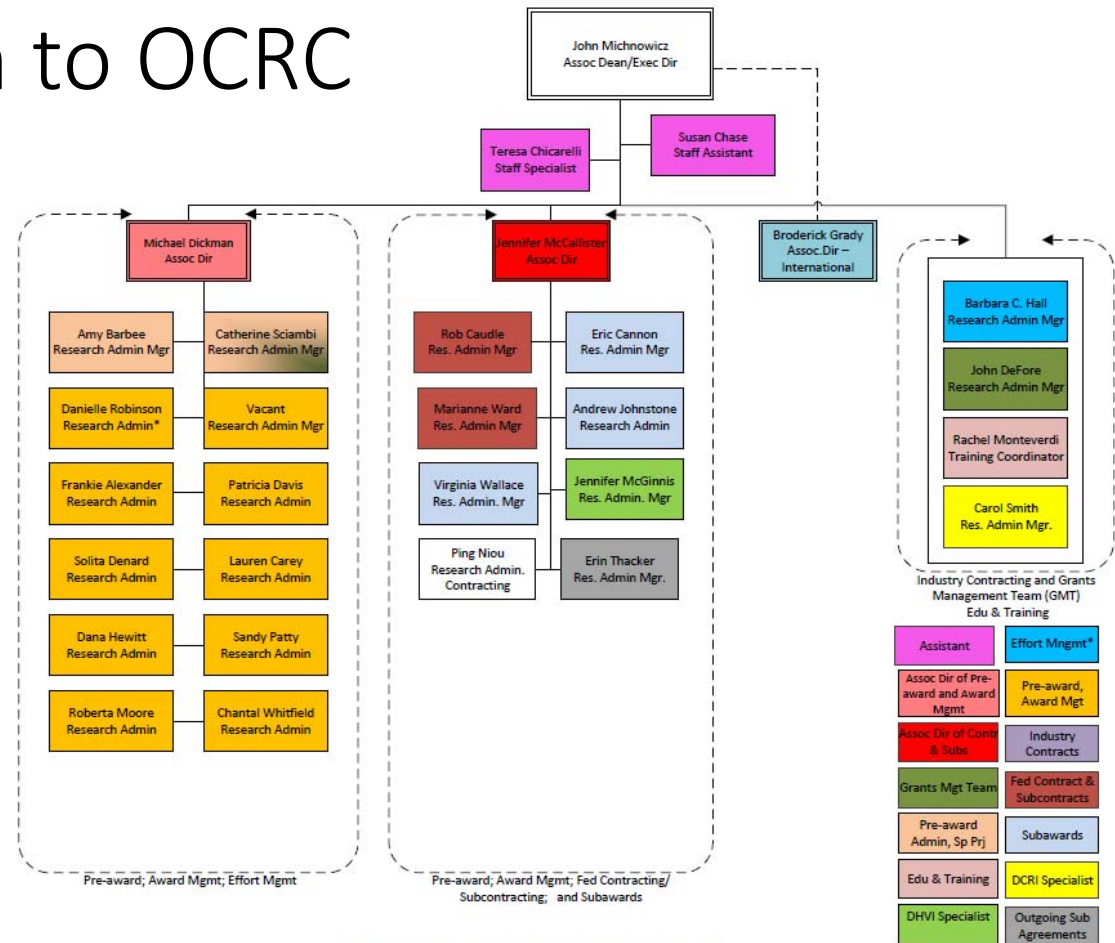
ORA Personnel Update

- Arrivals
 - Lauren Carey – Research Administrator, Grants Team
 - Andrew Johnstone – Contracts Team
- Openings
 - Research Administration Manager – Grants
- Departures
 - Contracts Team



Contracts Team to OCRC

- Effective 11/1/16
- Contracts team virtually transitioning to OCRC
- No immediate changes to workflow or processes



P:\Administration\ORA Org Chart (10.17.16)



Contracts Team to OCRC

- Federal Contracts
- Federal grants, foundation/non-profit grants, and state contracts
 - Responsible for agreement negotiation and OCRC signature
 - Issuing subs
 - Budget changes at contracting stage
 - SPS administration
 - Training sessions and/or programs if or when applicable
- Continue to send agreements to ORA Contracts Management (contracts.management@mc.duke.edu)
- Contracts team related website content OCRC website
 - Includes SIR



Human Subjects (HS) on Subs

- Responsibility of institution to draft HS subagreements that cover:
 - Research related subject injury
 - HIPAA privacy and security issues
 - Data transfers/material transfers
 - Insurance/liability terms
 - FDA regulations on clinical trials
- To draft the appropriate sub we review:
 - HS answer on sub face page
 - SOW
 - Budget justification
 - eIRB information



Human Subjects on Subs

- New focus on HS information at NIH and Federal Demonstration Partnership
 - NIH Notice NOT-OD-16-147 separate FOA for clinical trials
 - FDP
 - New FDP Fixed Price Clinical Trial Subaward Agreement
 - Revised Attachment 2 for standard FDP template contains HS data fields

Human Subjects Data (Select One)	Human Subjects Data will be exchanged under this Agreement (check all that apply):	The PTE will set forth the terms of the exchange of human subjects data (Select One):
<input type="checkbox"/> Not Applicable	<input type="checkbox"/> From Subrecipient to PTE	<input type="checkbox"/> In the Additional Terms section below
<input type="checkbox"/> Applicable	<input type="checkbox"/> From PTE to Subrecipient	<input type="checkbox"/> Via a separate Data Use Agreement

- New fields on the SIR to request HS information. Grant managers may need to consult with CRU/PI to obtain answers to SIR questions. When in doubt, ask!



Human Subjects on Subs

- Duke's Federal-Wide Assurance (FWA) requires that we provide oversight for all human research protection activities at all sub-sites, when a Duke investigator serves as the primary grant awardee on a multi-site study funded by the U.S. Government. Therefore a protocol is **required at Duke**, even if the HS activity is only happening at the sub institution. Please be sure to mark the Duke face page yes at pre-award stage.
- For subs with HS activity, eIRB should indicate “yes” to the multi-site study question in Section 5. A copy of the sub’s protocol approval should be uploaded in eIRB.



SOM Maximum Effort Policy

Duke University School of Medicine faculty members should have no more than 95% of Duke University effort from sponsored projects, which also includes effort in support of Duke University Health System. Federal guidelines state that effort on most sponsored projects cannot include activities outside the defined scope of the project. This generally includes applying for new grants, writing/publishing, teaching, and other administrative activities.

Furthermore, any faculty member with an academic administrative role who is also actively applying for grants may not have more than 90% of Duke University effort funded from sponsored projects, including effort in support of Duke University Health System.

Formal waivers of this policy will be considered given there are certain special circumstances with individual faculty members and certain sponsored projects where funded effort greater than 95% is possible. Such waivers must be submitted to Raphael Valdivia, Ph.D. for formal consideration by the School's G90 Committee.

- 95% (11.4 ca) for all faculty
- 90% for all faculty in administrative roles
- Includes tenure and non-tenure
- See John D4



SOM F&A Waiver Guidelines

- Revised August 2016
- PCORI Sponsored Projects at 40%
- Reminder
 - No waiver required if... implies waiver required if...
 - Waiver is required if... implies waiver not required if...
- <https://finance.duke.edu/research/documents/secured/FAWaiverGuidelines.pdf>



Admin Action Request Changes

- Removed limit on attachments
- Issues attaching documents
 - Double check attachments are actually attached before submitting
 - We may reach out if we get an error
 - Working with our vendor



Total Professional Effort (TPE) Reminder

- Statement regarding TPE must be included in ALL applications
 - Faculty <50% Duke appointment
 - Calculator on ORA website
 - Auto calculates TPE %
 - Includes standard verbiage

ORA TPE CALCULATOR				
FACULTY: Grant				
TPE:	DUKE	PDC	VA	(3 sources combined must total 100%)
	40%	56%	4%	
% OF DUKE EFFORT ON PROJECT				(enter from SPS salary worksheet)
20%				
% OF TPE ON PROJECT				
8%				

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. Grant holds both university and non-university appointments. The commitment of 2.4 calendar months of university appointment to this project represents 8%, or 0.96 calendar months of total professional effort.



Total Professional Effort (TPE) Reminder

FACULTY:	Grant		
TPE:	DUKE	PDC	VA (3 sources combined must total 100%)
	40%	56%	4%
% OF DUKE EFFORT ON PROJECT	(enter from SPS salary worksheet)		
	20%		
% OF TPE ON PROJECT			
	8%		

Dr. Grant holds both university and non-university appointments. The commitment of 2.4 calendar months of university appointment to this project represents 8%, or 0.96 calendar months of total professional effort.



SPS Related Updates



SPS Web 7.8

Better handling for timeouts and unsaved changes

1. Users will now be given the option to reconnect to the database if they are timed out. Once reconnected, work should pick up where it left off. ***Unsaved changes should no longer be lost!***

Proposal Search page

2. Now display additional search criteria for the Sponsor field (e.g., Prime Sponsor, option to Include Children).
3. Can clear the Sponsor field without clearing other entered criteria.
4. Can pull back all proposals for the selected sponsor *and* all of its children (e.g., can pull back all proposals for NIH and all its children).
5. ***Proposals are now shown in order from newest to oldest*** (you're welcome Michael)!



SPS Web 7.8

Main notebook – Sponsor page

6. Added a Prime Sponsor group box that can be used to add, change or remove a proposal's Prime Sponsor and Prime Sponsor Agency ID.

7. Moved the Agency/Sponsor Program question to the bottom of the page, changed its label to 'Is this proposal in response to an Agency/Sponsor Program (e.g. K08, K23, T32)' and added a hover tip to clarify when and how to use the field.
8. Changed the handling of the Agency/Sponsor Program field so that it will search for matching programs for both the Sponsor and Prime Sponsor.
9. Generate an error if the Sponsor and Prime Sponsor are the same (e.g., both are set to NIH).
10. Generate an error if the Sponsor and Prime Sponsor are in the same family (e.g., Sponsor is set to National Cancer Institute and Prime Sponsor is set to National Institutes of Health).



SPS Web 7.8

Budget notebook

11. If a Prime Sponsor has been selected, the prime sponsor will now be used to drive business rules (i.e., Prime Sponsor will be used to determine default F&A Rate and Base and applicable fringe rates):

- Added a Prime Sponsor Mandated column to the Default F&A Cost Information group
- Use the Prime Sponsor to set the default F&A Rate/Base in the Budget Period Definition dataset (if the Prime Sponsor Program or Prime Sponsor have a Rate that differs from negotiated rate)
- On the Salary Information page, now use the Prime Sponsor (if one exists) to determine whether to use the federal or non-federal fringe rates



Dept. Pre-Award Liaison - PAL

- Lets ORA know who to contact
- Not just pre-award
- Editable field (validate all tab)
- Should be continually updated
 - Validate all tab of SPS



Facepage ORG

- Not to be confused with PI Duke Org and Owning Duke Org
- SPS defaults to PI Duke Org
- Impacts NIH dept rankings
- Watch out for centers and institutes (don't get NIH credit)
- Owning Duke Org governs SPS access



Due Dates

- Should be Duke's sponsor's due date
 - Example of NIH R01 due date
 - Even if it falls on weekend
- What if Duke is a sub on NIH R01?
 - Should use date sponsor needs sub documents

Proposal Creation

* Date Initialized

* Short Title

Principal Investigator

* Name

* Title

* Duke Org

* Sponsor

* Agency Due Date

Prime Sponsor

Has Prime Sponsor ☐

Prime Sponsor Name



RSSA Common Mistakes

- Purchase not against restricted WBSE
- Order is <\$2500 AND Doesn't Involve
 - patient care or access to patient information OR
 - printing or design work OR
 - temporary staffing OR
 - travel agency services OR
 - construction
- RSSA not attached
- Expense not coded to 691629 or 622029
- RSSA has more than one award mechanism
- The funding is from a contract which is not fully executed
- The correct award identifiers are not included on the RSSA
- The RSSA does not fall within the period of performance of the award
- An approved FCOI – Award is not attached, if applicable
- RIO did not approve the FCOI – Award or Management Plan, if applicable
- **Rider A**
 - **Is not attached**
 - **Does not include a detailed Scope of Work**
 - **SOW does not agree to the Terms and Conditions of the Award or Contract**
- Costs are unallowable
- Costs not budgeted or justified in the award or contract
- Costs not reasonable in relation to the budget
- Sponsor approval not obtained, where needed
- Costs are not properly allocated to the project.



Sponsor Related News




NIH Funding Rankings NIH FY16

- FY15 - Duke SOM was #11 in NIH funding with 285.3M
- Preliminary Data FY16: Duke SOM is #8 with 337.7M

Organization	City	State	Country	Awards	Funding ▲
UNIVERSITY OF CALIFORNIA, SAN FRANCISCO	SAN FRANCISCO	CA	UNITED STATES	1,038	\$517,617,350
JOHNS HOPKINS UNIVERSITY	BALTIMORE	MD	UNITED STATES	904	\$456,662,225
UNIVERSITY OF PENNSYLVANIA	PHILADELPHIA	PA	UNITED STATES	877	\$391,642,851
STANFORD UNIVERSITY	STANFORD	CA	UNITED STATES	818	\$381,075,827
WASHINGTON UNIVERSITY	SAINT LOUIS	MO	UNITED STATES	798	\$373,985,612
YALE UNIVERSITY	NEW HAVEN	CT	UNITED STATES	771	\$365,871,248
UNIVERSITY OF PITTSBURGH AT PITTSBURGH	PITTSBURGH	PA	UNITED STATES	808	\$361,601,379
DUKE UNIVERSITY	DURHAM	NC	UNITED STATES	611	\$337,660,609
COLUMBIA UNIVERSITY HEALTH SCIENCES	NEW YORK	NY	UNITED STATES	709	\$327,032,370
UNIVERSITY OF MICHIGAN	ANN ARBOR	MI	UNITED STATES	756	\$310,466,304



eRA Commons Prior Approval Module

**Electronic Research Administration**
A program of the National Institutes of Health

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

Select a request type ▼

Go

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

List my Requests

Search for Requests



eRA Commons Prior Approval Module

- NOT-OD-16-143 Optional Electronic Method to Request Withdrawal of Applications from Consideration for Funding
 - Applicant organizations are now able to submit requests to withdraw a processed application after the two day viewing window has passed using the eRA Commons Prior Approval module
- NOT-OD-17-005 Optional Electronic Submission Method to Request to Submit An Unsolicited Application That Will Exceed \$500,000 In Direct Costs
 - Requests to submit an unsolicited application that will exceed \$500,000 in direct costs may submit this request electronically through eRA Commons, under a new Prior Approval Module



Request Withdrawal of Applications from Consideration for Funding

- From the Prior Approval landing screen, select *Withdrawal Request* from Request type: and click Go.

A screenshot of a web form titled "Initiate a Prior Approval Request". The form has a dark blue header with the title in white. Below the header, there is a light gray area with the instruction "Select the type of request you wish to initiate." in a small, gray font. Underneath this instruction is a "Request type:" label followed by a dropdown menu. The dropdown menu is open, showing two options: "Select a request type" (the default placeholder text) and "Withdrawal Request" (which is highlighted in blue). To the right of the dropdown menu is a blue "Go" button. A red rectangular box highlights the "Go" button, and a red curved arrow points from the "Withdrawal Request" option to the "Go" button. The entire form is enclosed in a thin gray border.



Request Withdrawal of Applications from Consideration for Funding

Prior Approval Request Withdrawal - Available Grants ⓘ

The following grants are eligible for withdrawal. Please select one grant and click the **Initiate Withdrawal Request** button.

Show 10 entries

Grants.gov Tracking #	Application ID	Project Title	Application Status	eSubmission Status Date
<input checked="" type="radio"/> GRANT 012345	1R1234567-01	Title of Grant Application	Pending IRG Review	2016-01-25 18:43:34.0

Showing 1 of 1 entries

< Select - Initiate >

Previous 1 Next

Cancel **Initiate Withdrawal Request**

- PI will see grants that are eligible for withdrawal on which they are the contact PI
- Select one grant application by clicking the radio button on the left.
- Select the Initiate Withdrawal Request button to initiate the withdrawal request



Request Withdrawal of Applications from Consideration for Funding

Prior Approval Request Withdrawal - Modify Request ?

Note: Required fields are marked with an *

Request ID 2040	Grants.gov Tracking GRANTS012345678	Application ID 1 R01 A123456-01
Principal Investigator (PI) PI Name		
Project Title Project Title		

Justification*

Enter justification for withdrawal of application here.

Total remaining allowed limit is 4000 characters.

Supporting Documents

Drag up to 10 files here to upload.

File Name	Date Created	Action
e PO1 - project 1 - R1.pdf	05/16/2016	<input type="button" value="View"/> <input type="button" value="Delete"/>

This area cannot be edited

Use this area to provide information and to manage the Prior Approval Request

The PI must provide justification and route to SO/ORR to submit



Request Withdrawal of Applications from Consideration for Funding

- The Confirmation screen displays.
 - Enter comments in the Comments box to provide information to the next reviewer.
 - Click the *Route to SO* button.
 - The system will notify the recipient of a request that is pending their action.
- If the Routing is successful, a message displays on the Prior Approval Request screen.

A screenshot of a web form titled "Confirmation". It contains the question "Do you wish to route this request?" followed by a "Comments:" label and a large text input box. At the bottom right, there are two buttons: "Cancel" and "Route to SO".

Confirmation

Do you wish to route this request?

Comments:

Cancel Route to SO

A screenshot of a web page titled "Prior Approval Request" with a subtitle "Withdrawal - View Request" and a help icon. A green success message is displayed in a box: "Success: Your request was successfully routed".

Prior Approval Request Withdrawal - View Request ?

✓ Success: Your request was successfully routed



Request to Submit An Unsolicited Application That Will Exceed \$500,000 In Direct Costs

- After initial communication with the NIH, a PO may open up a request form for the Principal Investigator (PI) in eRA Commons.
- From the Prior Approval landing screen, select *List my Requests*

A screenshot of the eRA Commons 'Prior Approval' landing screen. The page has a navigation bar at the top with links: Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval, and RPPR. Below the navigation bar, the 'Prior Approval' link is highlighted with a red box. The main content area is divided into two panels. The left panel, titled 'Initiate a Prior Approval Request', contains a dropdown menu for 'Request type' and a 'Go' button. The right panel, titled 'Existing Prior Approval Requests', contains a text instruction and a button labeled 'List my Requests'. A red arrow points from the 'Prior Approval' link in the navigation bar to the 'List my Requests' button. The 'List my Requests' button is also highlighted with a red box. The 'PI View' link in the navigation bar is highlighted with a blue box.



Request to Submit An Unsolicited Application That Will Exceed \$500,000 In Direct Costs

List my Requests ?

PI View

Show 10 entries

« Back to Prior Approval

Request ID	Request Type	Prior Approval Status	Application ID	Project Title	Action
2040	Withdrawal	In Progress PI	1 R01 A123456-01	Project Title	Modify
2041	500K	In Progress SO	1 R01 A999999-02	Project Title 2	View PDF View History

Showing 1 to 2 of 2 entries

Previous 1 Next

- Select the grant you wish to initiate the request for
- The system will initiate the request and redirect the user to the Modify Request screen.



Request to Submit An Unsolicited Application That Will Exceed \$500,000 In Direct Costs

- The following *required* fields must be populated in order to continue the process:
 - *Project Title*
 - *FOA*
 - *Anticipated Submission Date*
 - *Justification*
- The PI will complete the form and submit it back to the initiating PO for review
 - ORA review not required

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp
eRA Partners Non-Research

Prior Approval Request 500k - Modify Request ?

Note: Required fields are marked with an *

Request ID
5063

Principal Investigator (PI)
CHARLOTTE WEBB

Organization
UNIVERSITY OF CAVATICUS

Project Title*

FOA*

Anticipated Submission Date*

Activity Code

IC

Serial

Program Official
WHITE, E.B.

Program Official Email
eRATest@mail.nih.gov

Justification*

Total remaining allowed limit is 500 characters.

Supporting Documents

Drag up to 10 files here to upload.

File Name	Date Created	Action
Queries.pdf	09/08/2016	<input type="button" value="View"/> <input type="button" value="Delete"/>



NOT-OD-16-134 Projected FY 2017 Stipend Levels for Postdoctoral Trainees and Fellows

- Effective 12/1/16
- Reflect recognition of the significant contributions of postdoctoral researchers to the NIH, AHRQ, and HRSA missions
- Align with the spirit of the U.S. Department of Labor's (DOL) recently issued revisions to the rules on paid overtime under the Fair Labor Standards Act (FLSA)

Projected Postdoctoral Stipend levels for FY2017

Career Level	Years of Experience	Actual Stipend for FY 2016	Projected Stipend for FY 2017	Monthly Stipend
Postdoctoral	0	\$43,692	\$47,484	\$3,957
	1	\$45,444	\$47,844	\$3,987
	2	\$47,268	\$48,216	\$4,018
	3	\$49,152	\$50,316	\$4,193
	4	\$51,120	\$52,140	\$4,345
	5	\$53,160	\$54,228	\$4,519
	6	\$55,296	\$56,400	\$4,700
	7 or More	\$57,504	\$58,560	\$4,880



NOT-HL-16-443 NHLBI Policy Concerning Mentored Career Development (K08 and K23) Awards: Percent Effort

- Applications Submitted for Due Dates On or After February 12, 2017
- Medical specialties that require significant clinical activity to request less than the required 75%
- May not request less than 50% effort and must provide a justification clearly stating the reasons for the reduced effort



NOT-OD-16-129 New Policy Eliminates Most Appendix Material for NIH/AHRQ/NIOSH

- Applications Submitted for Due Dates On or After January 25, 2017
 - *For applications proposing clinical trials (unless the FOA provides other instructions for these materials):*
 - Clinical trial protocols
 - Investigator's brochure from Investigational New Drug (IND), as appropriate
 - *For all applications:*
 - Blank informed consent/assent forms
 - Blank surveys, questionnaires, data collection instruments
 - FOA-specified items



NOT-OD-16-125 Notice of Change in Animal Welfare Assurance Numbering System

- Effective July 25, 2016
- OLAW implemented a new Animal Welfare Assurance database that utilizes a new numbering format (D00-00000)
- Old numbers (A000-01) will be retained for the life of the Assurance
- Institutions with an Assurance will receive a new number and may use either the new or old Assurance number in communications with NIH
- Duke's current number: A3195-01 expires July 2017
- Duke's new number: D16-00123



- 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#AwardingComponent

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)

NIH Cover Letters and PHS Assignment Request Form

Scientific Areas of Expertise (optional)

Expertise (up to 5)

[Save](#) [Cancel](#) [Back to Attachments](#)



Proposal Tricks and Treats




Subaward Packets

- PI wants to submit application that includes subaward
- Subawardee required to complete R&R Subaward Budget Attachment(s) Form

Select Forms to Complete	
Mandatory	<input type="button" value="Save"/> <input type="button" value="Save & Submit"/> <input type="button" value="Check Package for Errors"/>
SF424 (R & R)	
PHS 398 Cover Page Supplement	
Research And Related Other Project Information	
Project/Performance Site Location(s)	
Research and Related Senior/Key Person Profile (Expanded)	
PHS 398 Research Plan	
Optional	
<input type="checkbox"/>	Research & Related Budget
<input checked="" type="checkbox"/>	R & R Subaward Budget Attachment(s) Form 5 YR 30 ATT
<input type="checkbox"/>	PHS 398 Modular Budget



Subaward Packets

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R&R FAMILY

- » **R&R Family**
- » SF-424 Family
- » SF-424 Individual Family
- » SF-424 Mandatory Family
- » SF-424 Short Organization Family
- » Post-Award Reporting Forms
- » Form Instructions
- » Form Status Definitions
- » Retired Forms
- » Forms Process



Grants.gov	R & R Subaward Budget Attachment(s) Form	PDF*
Grants.gov	R & R Subaward Budget Attachment(s) Form 10 YR 10 ATT	PDF*
Grants.gov	R & R Subaward Budget Attachment(s) Form 10 YR 30 ATT	PDF*
Grants.gov	R & R Subaward Budget Attachment(s) Form 5 YR 30 ATT	PDF*
Grants.gov	RR FedNonFed Budget	PDF*
Grants.gov	Research & Related Budget	PDF*
Grants.gov	Research & Related Budget 10YR	PDF*

 **NOTE:** The copies of forms available on this portion of the site are for information only and cannot be submitted with your application package. If you are applying for a grant, you must download the application package using the Grants.gov compatible software, complete the forms within the application package as provided by the awarding agency, and submit it in its entirety. [Get Adobe Reader](#) 

* Denotes a form that is fillable for sample purpose only; the form is NOT submissible.



Subaward Packets

OMB Number: 4040-0001
Expiration Date: 6/30/2016

R&R SUBAWARD BUDGET ATTACHMENT(S) FORM

Instructions: On this form, you will attach the R&R Subaward Budget files for your grant application. Complete the subawardee budget(s) in accordance with the R&R budget instructions. Please remember that any files you attach must be a PDF document.

[Click here to extract the R&R Subaward Budget Attachment](#)

Important: Please attach your subawardee budget file(s) with the file name of the subawardee organization. Each file name must be unique.

1) Please attach Attachment 1	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
2) Please attach Attachment 2	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
3) Please attach Attachment 3	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
4) Please attach Attachment 4	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
5) Please attach Attachment 5	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>



Professional Development and Training Update

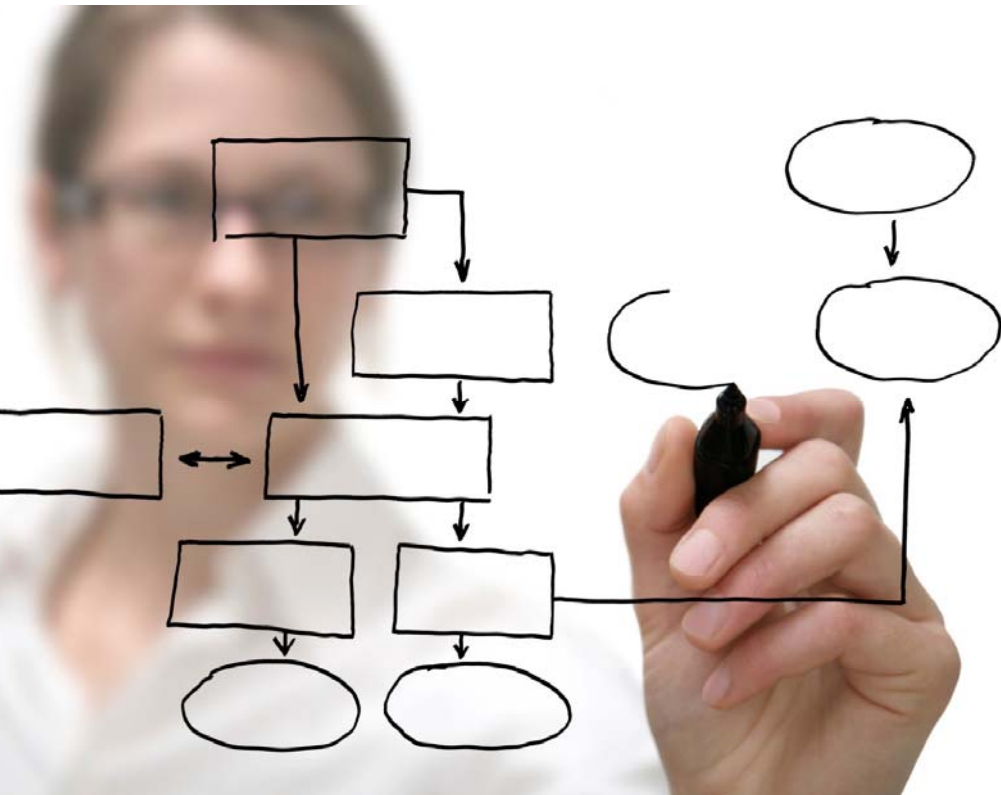


Upcoming Training Opportunities - Conferences

- Duke Research Administration Symposium
 - Durham, NC; November 15, 2016
- NCURA Region III
 - Savannah, GA; May 6-10, 2017
- SRA Southern/Midwest Section
 - Nashville, TN; May 7-10, 2017
- NIH Seminar
 - Chicago, IL; May, 2017



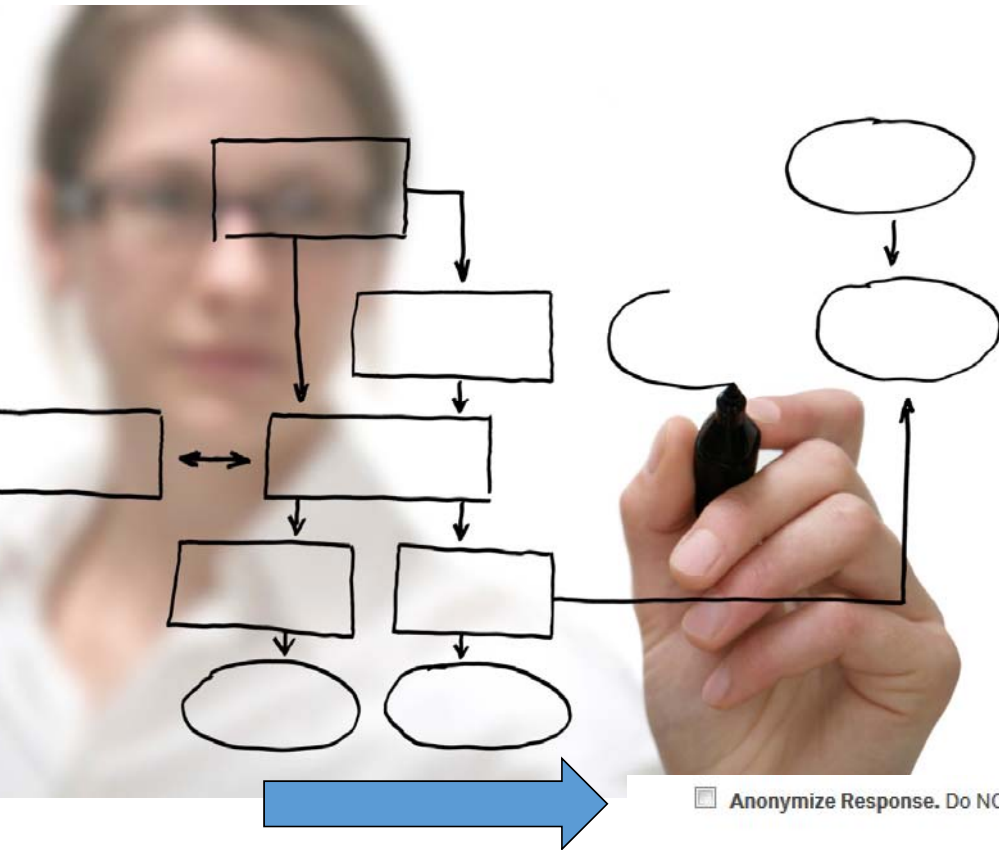
LMS Registration & Credit



- 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



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).