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
## Agenda

### Important Dates
- Symposium
- AGM Registration
- Next RAA Cohort

### Quick Start Details
- Pilot
- Rollout and Timing

### Mentoring
- New program being developed
- Application process issued in early Spring, 2017

### Continuing Education
- Five Credits, must include current fiscal year MSPAI
- Website/Tracker

### Tier Advancement Process
- Requirements
- Compliance
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
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
New Hires/<80%

On-line Modules: A Week in the Life of a New Grant Manager

Live “Prep” Classes: Introduction to Duke Accounting, Intro to G/Ls,

Learning Library – “How to...”
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
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
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 FastTrack(s)
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 (MSPAII) and required FasTracks.

<table>
<thead>
<tr>
<th>If I...</th>
<th>Required Continuing Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have a current certificate (RCC, RAA, AGM, RAI) and am <strong>not enrolled</strong> in a certificate program?</td>
<td>MSPAI, 4 other CE credits, required FasTracks, as applicable</td>
</tr>
<tr>
<td>Have a current certificate and <strong>currently enrolled</strong> in another certificate (RAA, AGM, RAI)?</td>
<td>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</td>
</tr>
</tbody>
</table>

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
### RCC Training Tracker

#### Credit & Certification Status

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Duke ID</th>
<th>Duke Org (BFR)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Only Include**

- **People with training**
- **Grant Manager Job Codes**

**Search** | **Spreadsheet**

<table>
<thead>
<tr>
<th>Name</th>
<th>FY16</th>
<th>FY17</th>
<th>RCC</th>
<th>RAA</th>
<th>AGM</th>
<th>RAI</th>
<th>FCC</th>
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<tr>
<td></td>
<td>7</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Fiscal Year 2017**

<table>
<thead>
<tr>
<th>Course</th>
<th>Date</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>ORA Research Administrators Quarterly Meeting (FY2017)</td>
<td>07/14/16</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total Credits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>1</strong></td>
</tr>
</tbody>
</table>
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.
• 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.
• 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

<table>
<thead>
<tr>
<th>Tier</th>
<th>Role Description</th>
<th>Expected Function of the Tier</th>
<th>Years of Relevant Exp.</th>
<th>Training/ Certification Requirements</th>
<th>Performance Accelerator (no NI)</th>
<th>Recommendation for Professional Development</th>
<th>Typical Pay Increase*</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Associate</td>
<td>Proficient as a grants and contracts administrator</td>
<td>0</td>
<td>RAA (within 12 months)</td>
<td>North Carolina Chapter of the Society of Research Administrators International (NCSRA), Symposium attendance</td>
<td></td>
<td>Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td>Required to Advance</td>
<td>Two additional RCC classes beyond the continuing education requirements</td>
<td>3 years</td>
<td>RAA required and AGM (AGM within 12 months – must enroll in AGM prior to taking AGM classes)</td>
<td>2 Exceeds evaluations reduces years of relevant experience to 2 year minimum. CRA certification can reduce years of experience to 2 years.</td>
<td>Certified Research Administrator (CRA) prep, NCSRA</td>
<td>59%</td>
<td>Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.</td>
<td></td>
</tr>
<tr>
<td>Advanced</td>
<td>Experienced, highly capable, and requires minimal oversight of work</td>
<td>6 years</td>
<td>RAA and AGM required Expected to attend all the appropriate internal updates</td>
<td>4 Exceeds evaluations reduces years of relevant experience to 5 year minimum. CRA certification can reduce years of experience to 5 years.</td>
<td>National or Regional NCURA, Society of Research Administrators International (SRA)</td>
<td>59%</td>
<td>Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.</td>
<td></td>
</tr>
<tr>
<td>Senior</td>
<td>Subject matter expert; role model; may be responsible for mentoring and developing others</td>
<td>3 years</td>
<td>RAA and AGM Required Expected to attend all the appropriate internal updates</td>
<td>2 Exceeds evaluations reduces years of relevant experience to 2 year minimum. CRA certification can reduce years of experience to 2 years.</td>
<td>National or Regional NCURA, Society of Research Administrators International (SRA)</td>
<td>59%</td>
<td>Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.</td>
<td></td>
</tr>
<tr>
<td>Team Leader</td>
<td>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 full-service grant writer</td>
<td>3 years</td>
<td>RAA and AGM Required Expected to attend all the appropriate internal updates</td>
<td>2 Exceeds evaluations reduces years of relevant experience to 2 year minimum. CRA certification can reduce years of experience to 2 years.</td>
<td>National or Regional NCURA, Society of Research Administrators International (SRA)</td>
<td>59%</td>
<td>Must complete required continuing education to maintain active certification(s) as outlined by Research Costing Compliance.</td>
<td></td>
</tr>
</tbody>
</table>

* An increase may or may not be 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.
• 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

<table>
<thead>
<tr>
<th>Direct Cost</th>
<th>Total Cost</th>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>TEST IN DEV ON 1/31/2010 DHHS AMOS BFR 2030016: 12/31/2010</td>
<td>0</td>
<td>Project Ended</td>
</tr>
<tr>
<td>CLM PROJECT 3010000: 06/01/2012</td>
<td>687,630</td>
<td>Project Ended</td>
</tr>
<tr>
<td>5R01-AI-05261-02-BORONATED L-NUCLEOTIDE 3030168: 02/28/2014</td>
<td>164,976</td>
<td>Project Ended</td>
</tr>
<tr>
<td>GOOD TEST FOR REBUDGET FORM 3033010: 12/31/2014</td>
<td>602,313</td>
<td>Project Ended</td>
</tr>
<tr>
<td>5U18-HS-10548-02 SUB #1 3039494: 09/29/2014</td>
<td>-1,930,444</td>
<td>Project Ended</td>
</tr>
<tr>
<td>ALBERT EINSTEIN UNIV SUBCONTR #9-526-188 3833009: 07/31/2015</td>
<td>0</td>
<td>Project Ended</td>
</tr>
<tr>
<td>CR#34946 TESTING - MULTIPLE CODES 1,329 1BFR 2030041: 10/31/2013</td>
<td>0</td>
<td>Project Ended</td>
</tr>
<tr>
<td>DEV SUPPORT PACK 2030086: 02/21/2015</td>
<td>0</td>
<td>Project Ended</td>
</tr>
<tr>
<td>ZF400A TEST</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

- **Detail option**
- **Direct Cost and Total Cost toggles**
- **Drilldown for greater details**
Grant Balances App – Drilldown to Category Detail

<table>
<thead>
<tr>
<th>Current Available Balances</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored Programs Revenue</td>
<td>7,151</td>
</tr>
<tr>
<td>Salaries and Wages</td>
<td>10,084</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>2,350</td>
</tr>
<tr>
<td>Other</td>
<td>142,422</td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td>154,857</td>
</tr>
<tr>
<td>Indirect Expense</td>
<td>91,365</td>
</tr>
<tr>
<td>Total Project Costs</td>
<td>246,222</td>
</tr>
</tbody>
</table>

Category Balances

Current and Projection Balances
Grant Balances App – Effort and Other Info

- Effort percentages as of last month-end
- PI and GM assignments
- Email option
- Other key master data information
Cost Distribution App – View by Cost Object

Presents current cost distribution percentages

Default presents by WBSE then by Employee

Provides option to switch to Employee View
### Alternative sort option: View by Employee then WBSE

### Ability to see more Employee Details
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 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
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

- 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...
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
Total Professional Effort (TPE) Reminder

<table>
<thead>
<tr>
<th>FACULTY:</th>
<th>Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>TPE:</td>
<td></td>
</tr>
<tr>
<td>DUKE</td>
<td>40%</td>
</tr>
<tr>
<td>PDC</td>
<td>56%</td>
</tr>
<tr>
<td>VA</td>
<td>4%</td>
</tr>
<tr>
<td>(3 sources combined must total 100%)</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Organization</th>
<th>City</th>
<th>State</th>
<th>Country</th>
<th>Awards</th>
<th>Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVERSITY OF CALIFORNIA, SAN FRANCISCO</td>
<td>SAN FRANCISCO</td>
<td>CA</td>
<td>UNITED STATES</td>
<td>1,038</td>
<td>$517,617,350</td>
</tr>
<tr>
<td>JOHNS HOPKINS UNIVERSITY</td>
<td>BALTIMORE</td>
<td>MD</td>
<td>UNITED STATES</td>
<td>994</td>
<td>$456,662,225</td>
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<tr>
<td>UNIVERSITY OF PENNSYLVANIA</td>
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<td>818</td>
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<td>DUKE UNIVERSITY</td>
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<td>UNITED STATES</td>
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<tr>
<td>COLUMBIA UNIVERSITY HEALTH SCIENCES</td>
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eRA Commons Prior Approval Module

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.
Request Withdrawal of Applications from Consideration for Funding

- 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

The PI must provide justification and route to SO/ORA 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.
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*
Request to Submit An Unsolicited Application That Will Exceed $500,000 In Direct Costs

- 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
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)
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

• [Application Guide](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.600-phs-assignment-request-form.htm)
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
### 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

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**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.

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

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<th>Type</th>
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<tr>
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[Get Adobe Reader](#)
Subaward Packets

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](image)

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

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<th>Attachment</th>
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</table>
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