Agenda

Researcher Onboarding – Rebecca Brouwer
OSP Update – Sharon Brooks
ORC Update – Jennifer McCallister
ORA Update – Michael Dickman
Policy Management and International Symposium Update – Jim Luther and Alyssa Dack
Researcher Onboarding Service

Duke Office of Research Initiatives
Rebecca Brouwer, Geeta Swamy

A joint collaboration between the Duke SOM, CTSI, and the OVPR

The Need

- Little/no formal orientation to research for new investigators
- Learn from colleagues, busy mentors, and sometimes by mistake
- Difficulty figuring things out on their own can create sizable delays
- Faculty get frustrated, undesirable first impression of Duke

Researcher onboarding @ Duke

Piloting spring/summer 2017
Launch, summer 2017
Geared to SOM faculty
Service provided to:
- New faculty transferring to Duke
- New faculty hired at Duke
- Fellow/those evolving into researchers
- Others identified by peers & unit leaders

Researchers identified by:
- List of new SOM research faculty hires
- Referrals
- Hiring process (one-pager available to insert in hiring letter)

Service provided:
- 1:1 consultation, tailored to researcher
  - Type of research + stage of career
  - Transfer versus new
  - Bring in unit resources/info
- Overview of key systems
  - myRESEARCHhome
  - Scholars@Duke
- Increase awareness, understanding of:
  - Relevant processes and offices
  - Resources available to them
  - Potential collaborators
- Ensure ongoing connection to myRESEARCHnavigator service
How it works

Get list of upcoming or recent hires. Contact investigator by email to confirm interest, further explain service. Ensure invitation extended to appropriate unit resource.

Navigation team investigates researcher’s current SPS proposals & awards, IRB protocols, publications to determine current research activity.

Send navigator that is well-versed in researcher’s areas of interest. Typically meet in faculty member’s office. ~90-minute session.

Start with specific areas of need; myRESEARCHhome to navigate resources

- Small award
- IRB approval taking so long
- Grant
- Abstract chart info
For each need, talk through:

- Processes and best practice
- Contacts (unit level and institutional)
- Services + Resources
- Ways to get information

Cover additional items to round out resources/info

Researcher leaves with:
- relevant info, with need-to-know-now covered upfront as is most pressing
- Overview of the basics of what we expect may encounter
- Info on where to go for help
Key players/partners

- Office of Faculty Development
- Office of Faculty Mentoring
- OVPR/Office of Faculty Research Mentoring + Recognition
- Basic Science Depts.
- Business Managers
- HR Managers
- CRU leadership
- PDC Onboarding
- Individual departments/centers/institutes

Outreach so far

- 61 onboarding sessions offered
  - 3 declined (4%) 
  - 58 accepted (96%) 
  - 51 completed 
    - High utilizers - Pediatrics, OBGYN, Neurology, DCI 
    - 100% 5-star ratings of those who have rated

★★★★★ (5) “This was EXTREMELY helpful. I am so excited that this is a service that will be offered to new faculty. Knowing that I can go to navigators with questions is not only comforting, but significantly reduces my anxiety!”

★★★★★ (5) It was a very productive meeting. I recommend to all new faculty. Very friendly, supportive and collegial.

★★★★★ (5) XXX did a fantastic job answering my questions and following through with everything she said she would follow-up on. The process was very helpful and I wish I would have known about it 6 months ago.
**Ways to schedule**

- Email
- Website
- myRESEARCHhome

**Email:** rebecca.brouwer@duke.edu OR myresearchnavigators@duke.edu

**Temporary website:** https://sites.duke.edu/researchinitiatives/

**myRESEARCHhome widget:**
https://mrh.duke.edu

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**PROJECT BALANCES AT CLOSEOUT:**

**PROJECT NETTING PROCESS IN OSP**

**ORA RESEARCH ADMINISTRATORS**

**QUARTERLY MEETING**

**7/27/2017**
Why Project Netting When WBSE Closes

- Brings consistency in the management of project balances at closeout across institution,

- Reduces financial loss to Duke by utilizing project plan within the project parent and subcode/child WBSE(s)

Two Different Paths When WBSE Closes

1 – Project Period End, defined as:
   Project period end date = WBSE end date

2 – Budget Period End, defined as:
   Project period end date > WBSE end date
Project Period End

- Rebudget forms not accepted after submission of the Closeout documents,
- OSP will net overdrafts on project codes (parent & subs) from available balances within the same project,
- Overdrafts will be covered first within the same BFR as the parent, then other BFRs within the same department, then in the same school, then on other departments/schools (as remaining balances allow),
- In netting decisions, WBSE order will be in ascending numerical sequence within each BFR (as they may change beyond the parent BFR).

Project Period End (Con’t.)

- Exception to netting = Any balances on sponsor-restricted subcodes (Rebudget Class of ‘S’) cannot be used to cover overdrafts on other codes,
- Balances on subrecipient subcodes available once final invoice resolved,
- Closeout QRG on Navigating Master Data (http://bit.ly/2gVnGFJ), p2 section B – Rebudget Class
  – I (internal), R (subrecipient), S (sponsor-restricted)
Budget Period End

• Rebudget forms not accepted after submission of the Closeout documents,
• OSP **will ONLY** net overdrafts on project codes (parent & subs) within the same BFR as the parent (10 digit BFR),
• Overdrafts on subcodes/children WBSE different from the 10 digit BFR of the parent project, will **NOT** be netted; All of these project balances will stand on their own with any write-offs to the designated Backstop Code in SAP.

Budget Period End (Con’t.)

• The same netting *exception* related to subcodes with a Rebudget Class = ‘S’ also apply at budget end,
• In netting decisions, WBSE order will be in ascending numerical sequence within the Parent BFR **ONLY**.
How to Manage Against Unwanted Project Netting Actions When WBSE Closes

- Monitor and reconcile project balances throughout the life of the WBSE (including all internal and external subcodes),

- Request appropriate re-budget actions to maintain plan to expense (through the current rebudget practices) *prior to Closeout Document submission.*

Contract Tracking Tool Demo

Jennifer McCallister
Office of Research Contracts
Federal and Foundation Agreements
What it is:
- Tool that allows tracking of agreements between receipt and execution
- Management of outgoing subs, including WBSEs
- Storage of fully-executed outgoing subs
- Template generation for FDP subs (coming soon)

Who is using it?
- ORC - Federal and Foundation Agreements

Where do I find it?
- www.radapps.duke.edu
Search Function
Search by both incoming and outgoing
- SPS number/WBSE displayed in search results will be the original project ID, but current SPS number will be within the record

Results

Department users will have “view” instead of “edit”
### Looking at a contract - Incoming

<table>
<thead>
<tr>
<th>Data Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPS Proposal data</td>
<td>Data related to the proposal submission.</td>
</tr>
<tr>
<td>SPS Award data (if available)</td>
<td>Data related to any award associated with the proposal.</td>
</tr>
<tr>
<td>Original contract data</td>
<td>Data related to the original contract.</td>
</tr>
<tr>
<td>Amendment data</td>
<td>Data related to any amendments to the contract.</td>
</tr>
</tbody>
</table>

### Notes and Attachments for Original Contract

- **Status history of original contract**

### Duke University School of Medicine
Looking at a contract - Incoming

Status history and notes/attachment for each amendment

Looking at a contract - Outgoing

Subrecipient data

Status history and notes/attachments are in the same place as incoming
Outgoing agreements will be stored in each record moving forward
ORA Staff Update

ORA Personnel Update

• Arrivals
  • Research Administrator – Shannon Geddes
  • Research Administrator – Martin Friedman
  • Staff Specialist – Erinn Nichols
  • Research Administration Manager – Adam King

• Departures
  • Staff Specialist – Teresa Chicarelli

• Openings
  • None
ORA News and Reminders
Quarterly Meeting Survey

Thank you for your feedback!
We hear you:
• Adjust overall length of the meeting
• Limit time allotment for guests

No promises:
• Unable to change location (for now)
• No all you can eat buffet

Signature Authority Pre-Award

• ORA signs subaward pre-award documents
  • e.g. Letter of Commitment
  • Please complete LOC before sending to ORA
• ORC signs pre-award institutional intellectual property (IP) certification
  • Duke official for IP issues is Gavin Foltz
  • Send directly to Gavin

Letters of Support: Applications must include a strong letter of support from each of the HCS partners that relate their commitment to the proposed research and outlines how the project fits with organizational priorities, the quality of the proposed EHR and data systems and the commitment of their IT staff to the project. The letter must provide a description of how the project would directly impact delivery of healthcare within their organization and indicate level of intention to sustain the intervention(s) based upon results. The application is expected to include letters from the officials responsible for intellectual property issues at the applicant institutions (including sub-contractor institutions) stating that the institution supports and agrees to abide by the Resources and Data Sharing Plan and the Software Sharing Plan put forth in the application. These letters should be clear expressions of commitment consistent with achieving the goals of the program.
‘Cosmetic’ Rebudgets

Definition: Rebudget that does not require sponsor approval

- Rebudget is not required to adjust spending
- We know you/PI want them
  - Must tie the justification to the aims of the project
  - ‘Sponsor approval not required’ is not valid justification

Don’t forget rebudget!

Example rebudget:
Move $10,000 from investigator salary to student salary on an NIH R01 with a total budget of $300,000

Example justification:
PI has hired a student to do the DNA preparation and sequencing for Aim 2 of the project. Salary is available because the co-investigator has reduced effort by a small amount, due to the availability of the student.
The Federal Government requires the proactive management of effort of all key personnel:

- Effort commitments should be reasonable, given responsibilities
- PIs are responsible for certifying University effort expended on projects
- When named in the NOA, prior approval is required for:
  - 25% or greater reduction of effort over a budget period
  - Disengagement from a project longer than 90 days
- It is the responsibility of the faculty member and the department to effectively manage and track the effort of key personnel on sponsored projects
- Failure to do so could jeopardize future awards to individual PIs and Duke University

SPS Update
Admin Salary Indicator

• Optional checkbox
• Located on the Roster of Duke Personnel
• Indicates when a role on the project is administrative/clerical (CAS)
• Only use for personnel whose duties on the project are solely administrative
• Assists with review, set-up, and management of administrative salaries
‘Dept. Needs By’ Date

Examples for when the dates would not be the same:

- PI is leaving on travel or vacation and wants to submit earlier than the Agency Due Date.
- PI has continuous submission eligibility and is planning to submit later than the Agency Due Date.

Reminder: This does not change the Agency Due Date, when Duke is acting as a Subrecipient. In this case, you should still use Duke’s sponsor (the pass-through entity) due date, not the prime sponsor due date.
‘Dept. Needs By’ Date

• Allows departments to indicate the need or desire for a “submission” date that is not the same as the Agency Due Date
• No default is set
• ‘>>’ icon will allow you to sync dates
• Required field
• Blank field results in:
  • Warning when you save
  • Error when you validate
• The Department Needs By field will now be the date that is used for determination of whether an SOM late waiver is required
All Personnel Report

- Been required to complete both SPS and Commons
- Different formats
- SPS report does not feed anywhere
- Duplication of effort

Moving forward: ORA will only require and review Commons report
SPS will still be available to utilize if needed

Other Support

- Not changing the what ORA reviews for other support
  - Calendar months, dates, format, overlap statement
- ORA is changing requirement to submit other support in advance
  - Dept may submit OS at time of submission
  - Include the SPOC’d other support along with other administrative components in package you are submitting for ORA review
    - Upload OS in eRA Commons for review at JIT/RPPR submission
    - Include in SPS for DOD application
  - ORA will review at time of submission and may not include initials

PHS 2590/RPPR OTHER SUPPORT FORMAT PAGE
eRA Commons Submission Process

- JIT, RPPR, Prior Approvals, FIS
- Department responsible to upload documents and notify ORA documentation is ready for review
- Notification could consist of:
  - RPPR – routing in SPS and eRA Commons
  - JIT – administrative action
  - Prior Approval – route in eRA Commons or administrative action if routing is unavailable
  - FIS – route in eRA Commons

Dept
- Uploads documentation to Commons
- Notify ORA to review via eRA Commons routing/SPS/admin action

ORA
- Review’s uploaded documentation
- Submits to NIH

NIH
- Reviews and potentially requests additional information
PREVIEW: Revised ORA Grant Review Process

Improving consistency, accuracy, and collaboration while rewarding good administrative practices

- Reward complete, on-time applications
- Complete ‘Level 1’ review
  - Team review
  - Within 3 business days
- Goal: Submit 2 business day prior to deadline
  - Full NIH review window
ORA Team Review

- Only applies to on-time (Level 1) applications
- 2-4 Research Administrators
- Team completes only first review
- Complete review within 3 business days
- ORA rep still responsible for communication and follow up with departments

To Be Continued...
Sponsor Related News

NIH Tutorials – Grant Preparation and Submission

NIH Fiscal Policy for Grant Awards – FY-2017
NOT-OD-17-086

• NIH received a $2 billion increase above FY 2016, for a total of $34.30 billion
• Reduced non-competing applications previously awarded at levels below what was last indicated on the most recent NOA will be fully restored
• NRSA stipends increase by approximately 2 percent on average (see NOT-OD-17-084)

House bill gives NIH 3% raise, blocks cuts to overhead payments

Policy Eliminates Most Appendix Material for NIH/AHRQ/NIOSH Applications
NOT-OD-17-035

Always Check the FOA for exceptions!

• Applications Submitted for Due Dates On or After January 25, 2017
• For all applications:
  • Blank informed consent forms
  • Blank surveys, questionnaires, data collection instruments
  • FOA-specified items
• For applications proposing clinical trials:
  • Clinical trial protocols
  • Investigator’s brochure from Investigational New Drug (IND), as appropriate

Unless specified in the funding opportunity announcement (FOA), appendix material is no longer accepted for most grant applications submitted to NIH, AHRQ and NIOSH (NOT-OD-16-129). Applicants should consult the FOA and the aforementioned notice to ascertain if the inclusion of appendix material is permitted. Applications may be withdrawn and not reviewed if they contain appendix materials that are not specifically referenced in the notice or FOA.
Additional Change to the NIH/AHRQ/NIOSH Policy on Post-Submission Materials
NOT-OD-17-066

Allowable Post-Submission Materials for All Applications

- Citations of issued patents
- Revised budget page(s) (e.g., due to new funding or institutional acquisition of equipment)
- Biographical sketches (e.g., due to the hiring, replacement, or loss of an investigator)
- Letters of support or collaboration due to the hiring, replacement or loss of an investigator
- Adjustments resulting from natural disasters (e.g., loss of an animal colony)
- Adjustments resulting from change of institution (e.g., Program Director/Principal Investigator [PD/PI] moves to another university)
- News of professional promotion or positive tenure decision for any PD/PI or Senior/Key Personnel
- Approval by the NIH Stem Cell Registry of a human embryonic cell line(s) after submission of the application (see NOT-OD-12-111)
- Videos, within defined limits, that demonstrate devices and experimental data with a temporal element, which refers to the need to show how something functions or occurs over time, or demonstrates movement or change. Applicants must follow the directions in NOT-OD-12-141 for submitting videos to accompany grant applications.
- Other post-submission materials specified in the FOA for which the application was submitted or in a special Guide Notice.

Instructions for Submitting Post-Submission Materials Other Than Citations

All post-submission materials must conform to policies on font size, margins, and paper size as referenced in the applicable application instructions.

If post-submission material is not required on a specific format page and/or does not have a specified page limit, each explanation, letter, etc. is limited to one page.

Deadlines
Must be received by the SRO no later than 30 calendar days prior to the peer review meeting.

AOR concurrence
Requires concurrence from the AOR of the applicant organization. A communication from the PD/PI only or with a "cc" to the AOR will not be accepted.

Format instructions
Must be submitted as a PDF attachment.
Notice of Change in Animal Welfare Assurance Numbering System
NOT-OD-16-125

- 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
- Duke’s old number can be used indefinitely
- Grants.Duke and SPS will continue to use A3195-01 for the foreseeable future

eRA Commons Prior Approvals

Effective June 8, 2017 - Carryover request has been added to the list!
Initiate a Request:
Only a Signing Official (SO) will be able to initiate the carryover request

When is a grant eligible for a carryover request?
The grant does not have expanded authority
The project period has not ended
FFR must be submitted before the carryover can be approved

The carryover request form requires:
- Amount of funds to be carried over
- Explanation of unobligated balance
- Detailed Budget
- Scientific Justification

- Any clarifications and correspondence will occur outside of the system
- Video tutorial:
  https://era.nih.gov/era_training/era_videos.cfm#carryover
RPPR Due Dates

- For awards issued under the SNAP (Streamlined Noncompeting Award Process) provisions:
  - Progress report is due the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15)
  - If the 15th falls on a weekend or Federal holiday, the due date is automatically extended to the next business day
  - Grantees should consult the NoA to determine when SNAP procedures apply
  - eRA Commons is not programmed around holidays and weekends

Awards
Earliest June 5th PCA

- Earliest Submitted for R01 6/5 Deadline
- 58 submitted R01s
- Winner?!?!
  - May 26, 2017 12:05 PM
  - PI: Chad Cook
  - PAL: Lamonda Sykes
  - Department: Orthopedics/RASR

Smallest % Late Submission Waivers FY17Q4

- FY17 Quarter 4
- Minimum 15 Submissions
Smallest % Late Submission Waivers
FY17 – Top 5 Departments

5% - Center for Population Health
4% - Ctr for Brain Imaging & Analysis
3% - Surgery
2% - Pharmacology & Cancer Biology
1% - DGHI

Professional Development and Training Update
In April, we thanked you!

A HUGE THANK YOU!!!

To each & every person who made a significant contribution to training by:
- Reviewing new participant manuals, power point presentations, online calendar, tools, videos, checklists & other job aids.
- AND
- Sharing spreadsheets, charts, stories of success, process overviews, suggestions, and best practices!

To follow up, have you seen the Training area of our website?

https://medschool.duke.edu/research/research-support-offices/office-research-administration/training

There are new job aids for new grant managers!

Check out the completely customizable ADMR Deadlines & Due Dates tool and the new ADMR checklist

Please share these tools with new grant managers & ask them to sign up for Duke SOM Pre-Award classes

Office of Research Administration

Training & Resources

About Our Classes

If you are a new grant manager, this ADMR Deadlines & Due Dates training tool may be of help in keeping things on track and on time. Input to the development of this tool was provided by more than a dozen experienced ORA, research administrators & Duke leaders. Our ADMR class series also provides job aids such as this checklist and action plan template for new grant managers. Take the ADMR plunge and let us know what you think! (rachael.moseback@duke.edu)

The ‘Deadlines & Due Dates’ tool was designed to help new grant managers

Keep track of specific steps for a successful Application submission & Just in Time process

And track all applications that were awarded (or not awarded) by month, quarter or year

There are a number of videos designed to help each person customize dates, tasks, & more
The new ADMR checklist was created to help new grant managers keep up with important deadlines & steps for a successful application submission.

The checklist provides tips, reminders & guidance from some of the best minds at Duke.

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Upcoming Training:

**Sponsored Projects System (SPS): A Hands On Training**
Location TBD - Oregon Street or Erwin 837
Thursday, August 10
8:45 am - 12 pm

**Other Support, Primarily for NIH**
Enwin CR837
Thursday, August 24
9 am - 12 pm

**Intergovernmental Personnel Act (IPA) & the VA**
Enwin CR837
Tuesday, Sept 12
NEW TIME: 8:30 am – 11:30 am

**NIH Research Performance Progress Reports (RPPRs)**
Enwin CR837
Thursday, Sept 28
9 am - 12 pm

**Memorandums of Understanding (MOUs) & Personal Service Agreements (PSAs)**
Enwin CR837
Wednesday, Oct 11
9 am - 11 am
Upcoming Training

**eSubmissions → Submitting applications electronically to sponsors**
Erwin CR837

**RA Quarterly Meeting**
Bryan Research Building
311 Research Drive

**NIH Application Development, Management & Resources – The FOA – Part 1 of 2**
Erwin CR837

**NIH Application Development, Management & Resources – The FOA – Part 2 of 2**
Erwin CR837

**NIH Application Development, Management & Resources – Building Your Basic Budget Part 1 of 2**
Erwin CR837

**Thursday, Oct 26**
1:30 pm – 4:30 pm

**Wednesday, Oct 18**
9 am - 12 pm

**Tuesday, Oct 31**
8:30 am – 12:30 pm

**Wednesday, Nov 8**
8:30 am – 12:30 pm

**Thursday, Dec 7**
9 am - 12 pm

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**Upcoming Training**

**NIH Application Development, Management & Resources – Building Your Basic Budget Part 2 of 2**
Erwin CR837

**NIH Application Development, Management & Resources – It’s Just In Time & the Notice of Award**
Erwin CR837

**RA Quarterly Meeting**
Bryan Research Building
311 Research Drive

**Sponsored Projects System (SPS): A Hands On Training**
Location TBD – Oregon Street or Erwin 837

**Thursday, Dec 14, 2017**
9 am - 12 pm

**Thursday, Jan 11, 2018**
9 am - 12 pm

**Thursday, Jan 18, 2018**
1:30 pm – 4:30 pm

**Friday, Jan 26, 2018**
8:45 am - 12 pm

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**Not all classes are currently in LMS; they will be published 30 days prior**
**Reminder - If you have...**

Practical suggestions, a model team, best practices or outstanding processes to share

OR

If you have an interest in reviewing new training tools, materials or presentations

We need you!
Contact
Rachel.Monteverdi@duke.edu

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**Upcoming Training Opportunities - Conferences**

- **NCURA National Meeting**
  - Washington D.C.; August 6-9, 2017
- **SRA International Annual Meeting**
  - Vancouver, Canada; October 14-18, 2017
- **NIH Seminar**
  - Baltimore, MD; October 25-27, 2017
- **NCURA Region III**
  - Savannah, GA; May 5-9, 2018
- **SRA Southern/Midwest Section**
  - St. Louis, MO; April 15, 2018
Pizza and Proposals

- September 20th @ Noon
- Erwin Square 837
- Open hours to collaborate with ORA
- Preparation for October 5th deadline
- Registration through LMS
- Watch for emails

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