Quarterly Research Administrators Meeting

Office of Research Administration

January 16, 2020
AGENDA

- Special Award Conditions (SAC) Update: Laura Jensen
- SAC Lessons Learned (RPPR Example)
- Research Administration Training Program Redesign; Required PI Financial Training Update: Gwen Hall-DiFabio
- Reminders and Sponsor Updates
- myRESEARCHhome – RADapps Changes: Blake Perrault
- Personnel Update
NIH SPECIAL AWARD CONDITIONS UPDATE

Laura Jensen
Special Award Conditions (SACs)

- Effective April 1, 2018
- Prior Approval for all no-cost extensions
- Prior Approval for all carryforward requests
- Detailed budgets required for modular applications at JIT and RPPR
Reinstatement of Expanded Authority

• Effective Nov. 20, 2019
• NIH has granted Duke authority to manage processes on behalf of the NIH
• Expectation is that Duke has in place all necessary processes to ensure compliance with NIH’s policies and guidelines
• Going forward, we will be incorporating lessons learned into our institutional processes
What’s Next?

We are waiting for confirmation and/or action from NIH in several areas:

• Population of new awards issued under SACs, determine which are SNAP
• Confirmation regarding the carryover from previous budget periods
• NOAs: removal of SACs, reinstatement of SNAP or confirmation of non-SNAP
• NIH system changes that allow us to operate with different functionality for SNAP awards:
  ✓ NCEs: ability to submit the first NCE with automatic NIH approval
  ✓ RPPRs: modified due dates
  ✓ FFRs: adjust requirements to end of project period
Current Activity

- **NOAs recently issued/received**
  - Existing WBSEs will be extended if SACs are removed/SNAP reinstated
  - GMs will be contacted if new WBSE has been created to determine which WBSE is preferred

- **Update SAP for known SNAP population (CF Flag \( \rightarrow Y \))**
  - Awards under SNAP prior to SAC, will revert back to SNAP
  - Starting with immediate population (budget period end dates through 3/31/20)
  - Subawards will be issued modifications as appropriate

- **Review & update remaining NIH population (CF Flag \( \rightarrow Y \))**
  - Awards issued under SACs, which typically would have been SNAP (e.g., R01, R21, K08), we can reasonable assume will be SNAP
  - Once NOA (revised or new budget period) is received, any incorrect assumptions will need to be corrected
No Cost Extensions

• First NCE requests (*modified process*)
  – Progress report including plans/objectives for NCE period; tied to specific aims
  – Additional information regarding effort and high level budget
  – Submit via SPS/NCE Module

• Additional NCE Requests (*second, third requests*)
  – Requires prior approval and following existing internal review process
Carryover

• SNAP Awards
  – For budget periods ending 11/20/19 going forward, new WBSEs are not required for subsequent budget period (submitted requests will be returned/rejected)
  – Action regarding balances from previous budget periods is pending NIH clarification
  – Action regarding carryover requests pending NIH approval is pending NIH clarification
Carryover

• Non-SNAP Awards
  – Carryover requests still require prior approval with existing process
Modular Budgets

• Use of modular budgets will be reinstated.
• Modular applications will require an approximate budget (without the budget justification) to verify that all costs necessary to carry out the project are included. This information will be entered into SPS for internal review/approval only.
Lifting of Special Award Conditions

<table>
<thead>
<tr>
<th>Category</th>
<th>Sponsor Amount</th>
<th>Sponsor Amount</th>
<th>Sponsor Amount</th>
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</thead>
<tbody>
<tr>
<td>Salary</td>
<td>69,845</td>
<td>69,845</td>
<td>139,690</td>
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<tr>
<td>Fringe Benefits</td>
<td>16,541</td>
<td>16,751</td>
<td>33,292</td>
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<tr>
<td><strong>Salary and Fringe Benefits</strong></td>
<td><strong>86,386</strong></td>
<td><strong>86,596</strong></td>
<td><strong>172,982</strong></td>
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<tr>
<td>Other Expenses</td>
<td>35,000</td>
<td>35,000</td>
<td>70,000</td>
</tr>
<tr>
<td>Publication Costs</td>
<td>3,000</td>
<td>3,000</td>
<td>6,000</td>
</tr>
<tr>
<td>Supplies (Materials and Supplies)</td>
<td>22,614</td>
<td>22,404</td>
<td>45,018</td>
</tr>
<tr>
<td>Travel</td>
<td>3,000</td>
<td>3,000</td>
<td>6,000</td>
</tr>
<tr>
<td><strong>Other Budget Categories</strong></td>
<td><strong>63,614</strong></td>
<td><strong>63,404</strong></td>
<td><strong>127,018</strong></td>
</tr>
<tr>
<td><strong>Total Direct Costs</strong></td>
<td><strong>150,000</strong></td>
<td><strong>150,000</strong></td>
<td><strong>300,000</strong></td>
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<tr>
<td>Activity</td>
<td>During SAC</td>
<td>Post – SAC</td>
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<td>------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>NOAs where Original NOA issued under SNAP (pre – SAC)</td>
<td>New WBSE required</td>
<td>Reverts back to SNAP; no new WBSE required</td>
<td></td>
</tr>
<tr>
<td>NOAs where Original NOA issued under SAC and would normally have been SNAP</td>
<td>New WBSE required</td>
<td>Will assume reverts to SNAP – incorrect assumptions will be corrected</td>
<td></td>
</tr>
<tr>
<td>NOAs that were non-SNAP (originally awarded either before or during SAC)</td>
<td>New WBSE required</td>
<td>No change</td>
<td></td>
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<tr>
<td>1st No Cost Extension</td>
<td>NCE Tool; Central Office review before submission via Prior Approval</td>
<td>NCE Tool; Central Office review prior to submission via eRA Commons</td>
<td></td>
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<tr>
<td>Additional NCEs</td>
<td>NCE tool; Central Office review before submission via Prior Approval</td>
<td>No change</td>
<td></td>
</tr>
<tr>
<td>Carryover requests on non-SNAP awards</td>
<td>Central Office review; submission via Prior Approval; NIH-approved carryovers would hit WBSE for subsequent budget period</td>
<td>No change</td>
<td></td>
</tr>
<tr>
<td>Carryover requests on SNAP awards, whether originally awarded before or during SAC</td>
<td>Central Office review; submission via Prior Approval; NIH-approved carryovers would hit WBSE for subsequent budget period</td>
<td>Rationale for request included in RPPR; funds automatically carryover (same WBSE)</td>
<td></td>
</tr>
<tr>
<td>NIH submissions using modular budgets</td>
<td>Detailed budgets required at JIT and for submission of RPPR(s)</td>
<td>Detailed budget required only if requested by NIH</td>
<td></td>
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</tbody>
</table>
SAC: Lessons Learned

• Laura shared some of the logistical details regarding removal of the Special Award Conditions
• How will that change what ALL of us do?
• Improving what we do by incorporating lessons learned
NIH Expanded Authorities

• Expanded authorities
  – Automatic carryover on many awards
  – Simplified No Cost Extension process

• Granted by NIH to institutions
  – When the NIH feels the institution has the necessary controls, procedures, etc., in place
Removal of SAC

• Duke proved it does in fact have those controls and processes in place to regain Expanded Authorities
  – Duke will remain under heightened scrutiny
What Have We Learned?

• Working under SAC:
  – Better understanding of what the NIH expects
  – Clearer picture of where our processes need improvement
  – Important for all of us to keep using critical problem solving and collaborative skills to ensure best results
Post-SAC: Example

• Laura spoke of how removal of SAC will change – or NOT change – some of Duke’s processes moving forward
  – But it’s not limited to NCEs and carryover
  – Where we can continue to enhance our controls/processes, we WILL do so

• Example: Unobligated Balance Reporting (RPPR)
G.10 Estimated Unobligated Balance

G.10.a - Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year’s total approved budget?

Consider:
- Rate of spend to date
- Any major changes to established spending rate
  - There may be legitimate reasons why spending in last three months will spike
  - But this needs to be explained in G.10.b below
G.10.b Provide an explanation for unobligated balance.

- Explanation can be high-level but needs to clarify why balance has not yet been spent
- Should share similarities with answer to F.2 (challenges or delays)
RPPR – Process and Best Practices

G.10 Estimated Unobligated Balance

G.10.c - If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent. To determine carryover authorization, see the Notice of Award.

If carryover is authorized

• Explain the major ways in which the carryover will be applied

If carryover is NOT authorized

• Should include the following statement:
  ❖ Duke University will formally submit a prior approval carryover request detailing how the unobligated funds will be used within the existing/current budget once the Final Financial Report (FFR) is approved.
F.2 Actual or anticipated challenges or delays and actions or plans to resolve them.

- If an unobligated balance was disclosed in G.10, the challenges or delays that caused there to be a balance should be discussed here
  - Don’t have to repeat verbatim the language here in G.10 (or vice versa)
    - F.2 should emphasize impact on SCIENCE; G.10 should emphasize impact on BUDGET
  - Should include the plans to resolve delays/overcome challenges (not just list them)
  - Language in both places shouldn’t be contradictory
Bottom Line

• Central Offices will continue to scrutinize ALL information to be sent to Sponsors (not just NIH!)
• Looking for:
  – Transparency to Sponsors
  – Consistency within and across RPPRs, Prior Approvals, etc.
• Managing your PIs’ portfolios and awards includes managing the reporting on said awards
Training Advisory Group (TAG)
Serve as the Steering Committee for redesign project.

Work Group
Develop the new training model, identify competencies, and inform content.

Content Development Groups
Define learning objectives based on competencies and identify course content.

Office of Education for Research Admin. and Finance
Lead and facilitate work groups, develop content, partner with functional owners on delivery.
COMPETENCY BASED
Skills necessary to do the work – operational, compliance, professional skills, finance

TEST APPLICATION
Tests measure critical thinking and skills application

FLEXIBLE
Addresses on-boarding as well as meaningful continuing education

Non-Negotiables

These non-negotiables serve as the “much-haves” for the training model.

TRACKS
Clinical, pre-award, post-award, central administration, basic sciences, social sciences
**February 2020**
Present training model to TAG

**March – June 2020**
Curriculum design groups identify/develop content

**March 2020**
Present model to RACI for approval

**July 2020**
Launch New Training Model
Training Redesign

Status

- Stakeholder meetings
- Transition strategy for RAA and AGM
- Needs Assessment – survey closes January 17
PI Compliance Training - Reminders

Requirement  PIs, Co-PIs, PI Fellows with sponsored projects

Timeline  Available Sept. 15 – Complete by January 31, 2020

Consequence  Feb. 1, 2020, awards held in SPS until completion

Options  30 minute online module or in-person meeting attendance

- Working with Business Managers and Management Center to track completion and compliance
- Still time to schedule in-person sessions with your group!

Contact Katherine.Norris@duke.edu if you have questions or are interested in hosting a session.
FCOI Process for Subrecipients

SBIR/STTR Subawards to Duke
FCOI Process for Subrecipients

• Effective January 1, changes have been implemented to the process for complying with NIH FCOI requirements for Subrecipients
Process Prior to 1/1/20: Pre-Award

- At proposal/application there were two methodologies we were using:
  - For entities on the FDP FCOI clearinghouse, dept. makes note in SPS they have checked the clearinghouse
  - For those not in the clearinghouse, we obtain the FCOI Proposal form verifying whether the sub has a PHS-compliant policy
- In either situation, the pre-award office does not act on this information at this point.
New Process: Pre-Award

• No action taken at pre-award by department or central offices
Process Prior to 1/1/20 : Award Stage

• At award stage, the depts. were required to obtain the FCOI Award form from every sub. The form requires disclosure of FCOI prior to signing the sub.
  – If the form is positive for an FCOI, it is sent to DOSI-COI for management
  – If it is negative, no action is taken
New Process: Award Stage

- Pre-award offices will prepare the subaward using the FDP clearinghouse. If the sub is not on the list, we will ask the sub to complete the FCOI field on the FDP template.
  - If they mark that they will follow Duke’s policy, the central office will send the sub to DOSI-COI for management and will hold on signing the sub until DOSI has cleared it.
  - If the sub is using their own policy, no action is taken
SBIR/STTR Subawards

• A SBIR/STTR specific cover letter is now required for all applications. The template is on the ORA website.
  https://medschool.duke.edu/research/research-support-offices/office-research-administration/government-and-foundation-contracts/incoming-agreements/sbirsttr-implementation-procedure-policy-and-cover-letter

• Just a reminder that we now need a copy of the company’s full application prior to entering into a subaward.

• If the company refuses, please escalate to Jennifer McCallister at jennifer.mccallister@duke.edu for further action. They may redact company confidential information (but not the majority of the application).
Reminders and Sponsor Updates
Reminder: iForms

- Happy New Year! Double-check the date to make sure you enter the year as intended (e.g. 2020 versus 2019) when submitting iForms
- Untimely > 180 days when start date was revised and not untimely –only resolution is to reject and initiator must resubmit.
Reminder: Payroll Cost Share Tool

• Other Payroll Cost Share Tool for cost-share that is not the DHHS salary cap (e.g. K awards, PCORI, budgetary, etc.)
NIH, AHRQ & CDC: ORCID iDs

- **NOT-OD-19-109**
- Required for individuals supported by research training, fellowship, research education, and career development awards
- October 2019 for T32, K12/KL2, R25, and other Institutional awards
  - Implemented through the appointment process (xTrain system)
- January 25, 2020 for Individual Fellowships (F) and Career Development (K) applications
  - Enforced at the time of application (eRA system validation)
- Link ORCID iD to the eRA Commons Personal Profile
Coming Soon
NIH & AHRQ: Forms F

- **NOT-OD-20-047**
- For use with due dates on or after May 25
- OASIS (RAD) is working on updates for SPS and Grants.Duke to accommodate the new forms
- Expect further communication as we get closer to implementation
The RAD Apps page is now integrated with myRESEARCHhome
Welcome! You're now visiting myRESEARCHhome!

These apps are now conveniently accessible alongside your personalized information in myRESEARCHhome.

- Explore your personalized portal by selecting WIDGETS at the top of the page.
- You can return here anytime by selecting WIDGETS and then choosing 'Links' from the available options.

Grants

- SPS (Sponsored Projects System)
  - Capture proposal and award information for review and reporting
  - Go To SPS ID

- Grants.Duke
  - Electronically submit grant applications to federal agencies via Grants.gov

- Sponsored Effort
  - View proposed effort and edit awarded effort for research projects

- REx (Research Explorer)
  - See space and award info by unit or investigator

Subrecipient
- Access information about and check status of MNMC government and foundation agreements

Compliance

- CDI Form (Conflict of Interest)
  - Submit Conflict of Interest forms

- Sponsored Travel
  - Disclose travel for PHS sponsored projects

- FCCI (Financial Conflict of Interest)
  - Manage subrecipient and subcontractor financial conflict disclosures

- CDI Administrator App
  - Manage and review conflict of interest forms

Utilities

- Research Compliance Tracker
  - View research compliance info for project personnel

- RCR Training Tracker
  - Manage personnel required to complete Responsible Conduct of Research training

- RCC Training Tracker
  - Manage personnel required to complete Responsible Conduct of Research training
Save time accessing proposals in SPS!
If you know the SPS record number... try the new quick lookup!
Save time accessing proposals in SPS!
If you know the investigator... try the myRESEARCHERS widget
Save time accessing proposals in SPS!
If you know the investigator... try the myRESEARCHERS widget

Choose a saved researcher from a previous search or search for someone new
Save time accessing proposals in SPS!
If you know the investigator… try the myRESEARCHERS widget

Select an SPS record number to go to SPS
While you’re there, remember you can...

View current iForms – Submit admin actions – Check attestation status – and more!
To return to the new RA Apps page
Use the myLinks widget
To return to the new RA Apps page

Use the myLinks widget
Personnel Update

• Arrivals
  • Award Management Team - Stacy Machado
  • ORA - Whitney Raye

• Departures
  • ORA - Michael Dickman
  • ORA - Teresa Chicarelli

• Openings
  • Assistant Dean (final interviews scheduled)
  • Director, Training and Project Management
  • Associate Director, Research Administration (4)