Quarterly Research Administrators Meeting
Office of Research Administration
April 9, 2015

Agenda

Office of Research Administration (ORA)
– John Michnowicz
  ➢ ORA News & Reminders
  ➢ Sponsor Related News and/or Tidbits
  ➢ Miscellaneous News and/or Tidbits

Closeout Project Team
– Laura Jensen
  ➢ The Goal: Clean Close
  ➢ Tuition Remission Forums
  ➢ Master Data Updates
  ➢ Closeout Documentation Review
  ➢ Closeout Tasklist: Enhancements & Demonstration

Research Cost and Compliance (RCC)
– Jenni Clark
  ➢ HR Update

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Agenda

The Goal: Clean Close
Tuition Remission Forums
Master Data Updates
Closeout Documentation Review
Closeout Tasklist: Enhancements & Demonstration

The Vision of the Future:
Clean Close for Sponsored Projects

What Does Clean Close Mean?

BY THE SPONSOR DRIVEN CLOSEOUT DEADLINE, ALL PROJECT RELATED ALLOWABLE ALLOCABLE AND REASONABLE EXPENSES ARE POSTED TO THE PROJECT WBSE BEFORE SUBMITTING REQUIRED CLOSEOUT DOCUMENTATION TO OSP.

As an institution, Duke has identified essential policies, processes, and technology tool improvements to enable research administrators to achieve this vision.
Tuition Remission Forums

April 2015 Forums

- RCC email invitation, dated 3/20/15
- Register via LMS
- Tues., April 14, 3-4:30pm Bryan Research Bldg, Rm 103
- Weds., April 22, 10-11:30am Bryan Research Bldg, Rm 103
- Thurs., April 23, 3-4:30pm French Family Science Center 2231
- Weds., April 29, 3-4:30pm Bryan Research Bldg, Rm 103
- Thurs., April 30, 10-11:30pm FCIEMAS Bldg, Schiciano Auditorium, Pratt School

Master Data Updates

Master Data Maintenance Reminders

- Changes are made through Duke@Work portal
- GM1/GM2 fields can be critical to workflow
- Backstop code will be used primarily for default code at closeout
- Technology enhancements/solutions will include master data fields consistently going forward - including backstop code
- Maintained by Department – please keep fields updated!
Closeout Documentation Review

Upcoming changes to submission and review process

- Changes to be announced by OSP in coming weeks
- New email set up for submission of closeout documentation and follow-up
- Implementation Teams (Campus and SOM) to complete the initial review of closeout documentation and respond to submitter
- SOM Implementation Team will provide confirmation when no further action is needed
- SOM Implementation Team will provide detailed feedback/guidance if adjustments are needed
- *Expected to start in April 2015*

Closeout Tasklist

Version 3 Enhancements

- Closeout Tasklist will be mandatory effective **July 1, 2015**
- Ability to include multiple tasklists/WBSEs (under one parent) in one workbook
- Provides a summary of all tasklists within the workbook/under a parent along with each tasklists’ status bar
- Simplifies navigation within the workbook
- Separates the Human Subject/IRB section into separate components to allow for easier completion
- eConfirmation/electronic signatures for CRU (RPM, FPM, DOCR, SOM-Finance)
- Allows flexibility in the number/type of subcodes included on a PI Attestation
- *Expected mid to late April 2015*
SOM Implementation Team

The Implementation Team will provide support to departments easing the transition to a new clean close environment.

*Laura Jensen, Team Lead*
Blake Perrault
Darrell Queen
Vacant position - TBD

Email Communication
Address: SOMImplementation@duke.edu
Subject Line, CLOSEOUT PROJECT: Subject

Questions?
Research Costing Compliance

ORA RCC Update

- FY15 Management of Selected Post Award Issues (MSPA1) class
  - Scheduled dates: April 30th, May 5th, May 18th, June 9th & June 29th
  - Link to Register in the LMS: https://vmw-lmsweb.duhs.duke.edu/Subtab/Content?goto=GuestCourseDetailURL?otId=cours000000000018964&callerPage=/learning/offeringTemplateDetails.xml

- SAVE THE DATE! Symposium for Research Administrators November 10, at the Marriott Hotel, Downtown Durham

- Reminder! FY15 Continuing Education Requirements
  - Attendance at MSPAI Annually
  - 4 other continuing education credits (ORA quarterly meetings, Symposium, etc)
    - Full list can be found on our website here: http://finance.duke.edu/research/training/re/index.php

- Closeout Video 1: Updated GAP, Tasklist, and FAQ
  - Deadline to complete was 4/1/15, and we have 100% compliance from certified individuals!
  - Implementation teams may be working with non-certified staff members to ensure 100% completion

- Reminder! The HR deadline for Grants & Contracts job classifications to complete required training is 12/31/15. Any questions about enrolling should be directed to rcc-cert@duke.edu
  - Please direct questions regarding the HR classification process to http://finance.duke.edu/raci/compensation/index.php

ORA News & Reminders

Don’t FORGET!
CAS Reminder

- Departments are responsible for running the CAS Compliance Report monthly
  - The CAS Compliance report is found at Duke@Work/Grants Management/Sponsored Research Reporting/CAS Compliance Report
  - Item(s) showing up on this report need to be addressed by the department
    - CAS/Rebudget form submitted or
    - Item(s) written off

- If a CAS form has been submitted, but not posted, the Workflow Status Report can be used to find who has the form for approval

CAS Reminder / Workflow Status Report

- This report is found in:
  - Duke@Work/Finance/Financial Reports/Workflow Status Report
    - Step by Step Guide is at same location
    - Need assistance? Click on “Workflow Status Ask for Help” and submit your question(s)

- Allows you to determine where in the workflow many forms are, such as:
  - AP Check Requests (APCR)
  - Online Expense Reports (Travel)
  - CAS Forms (ERA) and
  - Others

- Can be run by BFR(s) and date range
This is the Role of the level where the form is currently sitting for approval

This is the NetID of the person in the Role of current reviewer

SPS Web

SPS Web progressing nicely

- Ability to “copy” as New and “copy” as Resubmission for Non-Competing Renewals (Regular not PPGs)
- Read-only access is now available in SPS Web for New/Competing Renewal PPGs
- Routing for New/Competing Renewal PPGs

Next PPG due date Monday, May 25th, 2015

**Note: If you will be working on a Program Project Grant in the next couple of months please send an email to ori-rad@dm.duke.edu to request continued access to SPS legacy.**
Duke University SoM runs many reports based on Agency, Due Date and funding status. For those results to be consistent the actual Agency Due Date is required to be entered into SPS. To assist in this mission we have posed the following questions and answers.

**Scenario:** I have an application with an agency due date of June 5, 2015

**Q:** What date should be entered for Agency Due Date?

**A:** This is an easy answer when you are submitting to NIH and the deadline is June 5, 2015 and this falls on a Friday.

**Scenario:** I have an application with a July 5, 2015 agency due date. This dates falls on a Sunday

**Q:** What date should be entered for Agency Due Date?

**A:** NIH states: “When a postmark/submission date falls on a weekend or Federal holiday, the application deadline is automatically extended to the next business day.” Therefore, while the submission date is extended to the next business day (i.e., Monday July 6, 2015), the correct Agency Due Date is 07/05/2015

**Scenario:** What if the deadline is July 5, 2015 and your PI wants to release on June 26 before he goes on vacation?

**Q:** What date should be entered for Agency Due Date?

**A:** The correct Agency Due Date is 07/05/2015. However you will need to have the proposal routed to ORA seven (7) business days prior to the day the PI is requesting to release and must add a Proposal memo requesting early release.
Scenario: Looking back, I had an NIH deadline of March 5, 2015, but the Duke University was closed for inclement conditions for one or more business days prior to the deadline.

Q: What date should be entered for Agency Due Date?

A: NIH States: “A primary concern of NIH applicants is how to handle when an institution is closed due to natural disaster or other emergency situation. In these cases it is not necessary to get permission in advance for delays in grant application submissions. Instead, electronic and paper applications submitted late must include a cover letter indicating the reasons for the delay. The delay should not exceed the time period that the applicant organization is closed.” Therefore, the correct Agency Due Date is 03/05/2015.

Scenario: Looking ahead, I have an NIH deadline of October 5, 2015 and the PI has been granted Continuous submission eligibility.

Q: What date should be entered for Agency Due Date?

A: The correct Agency Due Date is 10/05/2015

Scenario: UNC Chapel Hill (UNC-CH) is the Prime (funds from NIH) and Duke is the Sub (funds from UNC-CH); NIH deadline is 10/05/2015; UNC-CH has asked to have Duke’s Subaward package 09/25/2015?

Q: What date should be entered for Agency Due Date?

A: The correct Agency Due Date is 09/25/2015 because this is the date that the application needs to be submitted to our sponsor (UNC-CH).

SPS proposal and all supporting documentation, must be routed to ORA seven (7) business days prior to the Agency Due Date, if the due date changes resulting in ORA having less than (7) business days to review the application a Waiver must be obtained.
Roles and Responsibilities

The items listed below are just a sampling of some recent issues that ORA has addressed. These items are not all inclusive of the Department/Grant Manager’s roles and responsibilities:

- Submitting a correct SPS record
- Providing the correct and current IRB and IACUC approvals when applicable
- Check the subcontractor’s budget information prior to forwarding onto ORA, including but not limited to validating budget numbers with budget narrative (i.e., Budget Justification)
- Obtain Consortium FCOI
- Provide appropriate and correct agency specific instructions
- Assisting PI in tracking Application submission (electronic or paper)

The application has been released, what’s next?

The PI has Released the application to Grants.gov. Grants.Duke S2S Tracking Status will provide the following information:

- Proof of receipt from Grants.gov showing Grants.gov Tracking Number assigned to application
- Provides time and date of acceptance

GRANTC00503978
04/09/2009 at 04:10 PM
The application has been released, what’s next?

Check submission status in eRA Commons

- If there are Warnings, evaluate and contact ORA Research Administrator for clarification if needed. Warnings will NOT prevent the application from being validated on Commons
- If there are Errors – NO application will be generated on eRA Commons

If there are **no errors**: (you see an Accession Number AN:2987826 and a GRANTS00012345 on Commons)

Check Assembled Application

- If the application is acceptable, no further action is necessary. The application will route to CSR within 2 days
- After a successful submission, the eRA Commons system will:
  - Assemble the grant image
  - Generate a Table of Contents
  - Add headers (PI name) & footers (page numbers) on all pages

The application has been released, what’s next? (cont’d)

If there are **no errors, but**:  

- The application does not correctly reflect the submitted application, either some part of the application was lost during the submission process or did not transfer correctly:
  - The application must be “rejected” by SO.
- PI will need to send an email stating the reason, to assigned Research Administrator and gcmail@mc.duke.edu in ORA to “reject” application on eRA Commons.
- PI will correct and resubmit prior to the Agency Due Date
- If after the agency due date, include cover letter explaining why application is late
  - Application will be considered under NIH’s late policy
If there are errors:

- NO application will be generated on eRA Commons (if you only see a Grants.Gov Tracking Number on Commons)

- Grant Manager will need to contact the assigned Research Administrator for evaluation of errors and possible intervention for administrative Errors

- If there are any Administrative Errors, ORA will work with Grant Manager/PI to resolve

- ORA will need to ALLOW Resubmission in Grants.Duke

- If there are problems only with the science, the PI will correct

- PI will resubmit prior to deadline

- If after deadline, include cover letter explaining why application is late. Application will be considered under NIH's late policy

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Timeline for Electronic Submissions (Grants.Gov/NIH) including any corrections necessary

- Complete SPS proposal and all supporting documentation

- Routed to ORA seven (7) business days prior to deadline or obtain a waiver

- Grants.gov may take up to 2 days to validate proposal

- eRA Commons may take up to 1 day to validate

Timeline should be shared with PI and encourage PI to SUBMIT EARLY
Submitting Subaward Budgets That Are Not Active for All Periods of the Prime Grant

- Complete all budget periods in the R&R Budget form for your subaward budgets, aligning the budget period numbers, start dates and end dates with the budget periods of the prime grant.

- Example: The prime fills out an R&R Budget form with the following periods:
  - period 1 - Jan 1, 2016 – Dec 31, 2016
  - period 2 - Jan 1, 2017 – Dec 31, 2017
  - period 3 - Jan 1, 2018 – Dec 31, 2018
  - period 4 - Jan 1, 2019 – Dec 31, 2019
  - period 5 - Jan 1, 2020 – Dec 31, 2020

- The budget period numbers and dates should be the same in the R&R Budget forms for the subawards.

(The next slide is not visible in the image.)

The R&R Budget forms do not allow for "empty" budget periods. They include several required fields which must be completed (even for inactive periods) in order to successfully submit.

- Provide the following information for inactive budget periods:
  - Organization DUNS
  - Budget Type = Subaward/Consortium
  - Budget Period Start/End Dates (align with budget periods and dates of the prime budget)
  - In section A: Senior/Key Person, provide a single entry including the following:
    - PD/PI or subaward lead First and Last names
    - Project Role (may default to PD/PI; can be adjusted as needed)
    - Calendar Months = .01 (smallest amount effort allowed in the field)
  - Requested Salary = $0
  - Fringe Benefits = $0
  - Explanation of the inactive budget periods in the budget justification
Submitting Subaward Budgets That Are Not Active for All Periods of the Prime Grant

(cont’d)

Grants.Duke

NOT-OD-15-081 RELEASE DATE 3.18.2015
Multi-project Grant Applications

- New Form captures additional Indirect Costs in Multi-project Grant Applications that are led by collaborating organizations
- New form allows NIH to gather the additional indirect cost information needed from the applicant organization to correctly calculate an application’s indirect costs when entire components of a multi-project application are led by collaborating organizations.
- Duke has not built in support for the use of this new form in Grants.Duke since it is only applicable to those projects that are done totally outside of the main institution
- SPS Web and Grants.Duke do not currently support that type of Project/Core, therefore, the form is currently of no value to us
- Given that it is an optional form, Grants.Duke will not use this new form.
- If a ‘stand alone’ subcontract Component is planned, the application will need to be completed using NIH ASSIST.
Excluded Parties Inquiries

How to Confirm if an Individual or Company are on the Excluded Parties List
(Department Responsibility)

1. Access the OIG’s exclusion verification database at: http://exclusions.oig.hhs.gov/
   ➢ Type in the person’s name, compare the Social Security Number of the Duke employee to verify if the individual listed in the OIG database.

2. Confirm if they are/are not the person or company listed in the application.

3. Let your ORA Research Administrator (RA) know that you have confirmed that the Duke individual is or is not the person listed, and how it was confirmed.

4. ORA will send the response to NIH, notifying NIH that our individual(s) are not “presently debarred, suspended or otherwise excluded from participating in Federally funded grant projects.”

5. Planned SUB Consortium individuals or organizations must be verified by their SO/AO.
   ➢ A clearance statement needs to be forwarded as part of the Consortium SUB package.

Facilities and Administrative (F&A) Rate

➢ New Federally Negotiated F&A Rate Agreement (03/07/14 – Revised 01/27/2015)
   ✷ FY16 = 59%
   ✷ FY17 = 59% (and beyond until further advised)

➢ For Non-competing applications, applicable F&A rate goes back to the F&A rate agreement in effect at the time the award (i.e., Type 1 or Type 2) was issued
   ✷ 06/27/2013 F&A Rate Agreement
   ✷ 05/15/2012 F&A Rate Agreement
   ✷ 01/10/2011 F&A Rate Agreement
   ✷ 05/10/2010 F&A Rate Agreement

➢ For Subawards, same methodology applies!
Determining F&A Rate

All applications for sponsored research, education, and outreach (public service) projects will generally have associated F&A costs. These F&A charges are real expenses incurred in the conduct of projects and need to be recovered from the sponsor.

SOM Mgmt Ctr. expects that the standard Federal F&A rate will be used in all applications.

If the rate indicated is a non-standard rate, justification for the rate should be submitted with the Duke Proposal Approval Form and will be evaluated according to the guidelines used by the Dean’s Office for the Medical Center (via the Office of Research Administration) and the Office of Research Support on behalf of the Provost for the University.

https://finance.duke.edu/resources/docs.php

Determining F&A Base;
MTDC vs TDC

The indirect cost base determines the direct cost categories in which the indirect costs should be applied.

Standard Federal Rate Base:
Modified Total Direct Costs (MTDC)
- DHHS negotiated base
- Indirect base excludes equipment, capital expenditures, patient care, tuition remission, off-site rent, scholarships, fellowships, and the portion of each subgrant and subcontract in excess of $25,000 (regardless of the period covered by the subgrant or subcontract)

Non-Standard Rate Base:
Total Direct Costs (TDC)
- Non-negotiated base
- Applies F&A to all budget categories
- Applies to all non-federal grants utilizing F&A rate that is less than federally negotiated F&A rate
ORA Proposal Checklists

- Coming soon to ORA website!
- ORA internal use only
- Not all inclusive
- Tool to promote critical thinking
- Departments should use sponsor guidelines when preparing proposals
- Subject to change without notice

ORA suggests that Unit personnel (i.e., Grant Mgrs.,) read, understand and adhere to governing guidelines within the applicable FOA, Uniform Guidance and in conjunction with Duke University and SOM guidance in preparing their respective applications for review approval and submission.

Sponsor Related News and/or Tidbits
Use of Updated Inclusion Enrollment Format Now Required for Successful Submission of RPPR

- **Purpose:** The NIH transitioned to the new eRA Inclusion Management System (IMS), therefore, as part of the transition to the IMS, the NIH migrated inclusion enrollment data from the previous data system. However, the NIH was not able to automatically transfer these migrated data into the updated reporting format.

- **Impact:** Inclusion data records (IDRs) included with Research Performance Progress Reports (RPPRs) submitted on/after March 5, 2015, must be updated into the enrollment format supported by the eRA Inclusion Management System (IMS), even if no new enrollment has occurred in the past year. Attempts to submit the RPPR without updating the cumulative inclusion enrollment data will result in an error. If the inclusion data are already in the IMS format and are not updated in the RPPR, grantees will continue to receive a warning to ensure that section G.4.b has not been overlooked.

Who is affected by this change?
- ongoing clinical research projects subject to the inclusion policies,
- with an award that started prior to FY2015, who provided inclusion enrollment (planned or actuals) in the previous reporting format,
- and who will complete an RPPR in FY2015.

Data Sharing Expectations for Clinical Research Funded by NIMH

- **Purpose:** Researchers funded by NIMH are strongly encouraged to deposit data from human subjects into this infrastructure. In addition, non-NIMH funded researchers with related data are welcome to deposit their data.

- **As of May 1, 2015,** NIMH expects investigators and their institutions to provide basic plans for following this Notice in the “Data Sharing Plan” located in the Resource Sharing Plan section of grant applications. Compliance with this data sharing plan will become a special term and condition in the Notice of Award. The Institutional Certification (for sharing human data) should also be provided prior to award along with any other Just-in-Time information.


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NOT-OD-15-087 (Rev. 3/31/2015)
Publication of the Revised NIH Grants Policy Statement

The National Institutes of Health (NIH) announces the publication of the revised NIH Grants Policy Statement (NIHGPS, rev. 3/31/2015).

This revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after December 26, 2014 and awards that received supplemental funding on or after December 26, 2014.

However, the October 2013 NIHGPS continues to be the standard term and condition for all NIH grants and cooperative agreements with budget periods that began between October 1, 2013 and December 25, 2014.

WEBINARS

RE-BROADCAST – Tue, Apr 21, 2015 1:00PM – 2:00PM (EDT)

- NCBI and the NIH Public Access Policy: PubMed Central Submissions, My NCBI, My Bibliography and SciENcv
- A recording of the original webinar is now available on NCBI’s YouTube channel (https://youtu.be/2ze2PNHyLYk), that the slides and Q&A are on the FTP site (http://1.usa.gov/1BUITHM)

Eye on NIH Policy: OMB Uniform Guidance & What it Means for You

- Catch the Replay Video & Interactive Q&A from March 12, 2015 link in NOT-OD-15-077

Government-University-Industry Research Roundtable (GUIRR)

University Industry Demonstration Partnership (UIDP)

- GUIRR’s recent webinar on the Postdoctoral Experience Revisited. You can access the presentation slides and webinar recording at http://sites.nationalacademies.org/PGA/guirr/PGA_080979#
- You can also find the associated National Academies report by visiting: http://www.nap.edu/catalog/18982/the-postdoctoral-experience-revisited

Uniform Guidance

Uniform Guidance is Referenced in the NOA under Section III Terms and Conditions, Subsection c. 45 CFR Part 75

SECTION III – TERMS AND CONDITIONS – 1P01AI117915-01

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

a. The grant program legislation and program regulation cited in this Notice of Award.
b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
c. 45 CFR Part 75.
Uniform Guidance (cont’d)

➢ Under new UG regulations, fixed price subagreements will require sponsor approval. HHS (NIH, CDC, etc.) will allow fixed price agreements under the simplified acquisition threshold (currently $150,000) without prior approval (see 45 CFR 75.201). Other federal sponsors may require prior approval.

➢ To avoid delays re: submission of applications and/or the administration of an award, indicate the following statement in your proposal budget justification for any site agreements in your non-HHS application:

➢ “The budgeted agreement(s) will be issued as a fixed price agreement. Duke will consider this fixed price agreement approved if the award is made and no restriction is noted on the award document restricting the issuance of this agreement.”

Miscellaneous News and/or Tidbits
Training Opportunities can be found and registered at:
http://finance.duke.edu/research/training/index.php

Professional Organizations:
- SRA 2015 Southern/Northeast Section in Charleston, SC, April 26-29, 2015
- NIH Regional Seminar on Program Funding & Grants Administration in Baltimore, MD, May 6-8, 2015
- Grant Writing & Proposal Development Research Leadership Intensive Uniform Guidance in Chicago, IL, May 7-8, 2015
- NCURA Region III Spring Meeting in Isle of Palms, SC, May 9-13, 2015
  - Wild Dunes Resort, 1 Sundial Circle, Isle of Palms, SC 29451
  - For More Info Contact: Laurianne Torres chair@ncuraregioniii.com
- SRA Annual Meeting in Las Vegas, NV, October 17-21, 2015
- 2015 Symposium for Research Administrators, November 10, 2015, Durham Convention Center

Next ORA Meeting Dates
- July – TBD (cannot schedule room until mid-May)

Arrivals
- Michael Dickman – Associate Director

Departures

On Leave
- Solita Denard
Questions?
Please state your name and department