Quarterly Research Administrators Meeting
Office of Research Administration
July 16, 2015

Agenda

Office of Research Administration (ORA)
– John Michnowicz

Closeout Project Team
– Darrell Queen & Zarrin Brooks
  ➢ The Goal: Clean Close
  ➢ Who Does What?
  ➢ Closeout Documentation Review
  ➢ Closeout Tasklist: Top Ten

Research Application Development (RAD)
– Debbie Nixon

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

Office of Sponsored Programs (OSP) (no slides)
– Nate Martinez-Wayman
Closeout Project Update

July 16, 2015
ORA Quarterly Meeting
Darrell Queen & Zarrin Brooks

Agenda

The Goal: Clean Close
Who Does What?
Closeout Documentation Review
Closeout Tasklist: Top Ten
What is Clean Close?

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.
Communication

Who’s on First?

- New email set up for submission of closeout documentation and follow-up – closeoutdocs@duke.edu
- Implementation Teams (Campus and SOM) complete the initial review of closeout documentation and respond to submittter
- SOM Implementation Team will:
  - provide confirmation when no further action is needed
  - provide detailed feedback/guidance if adjustments are needed
- **Started May 2015**
- See 6/8/15 email from Nate

Closeout Documentation Review

Jumping the Hurdles

- Remember your Resources!
- Projects Approaching End Date is a great first step.
- Check the Project Obligations Report before submitting the closeout documentation to ensure that all payroll and PO activity has been cleared from the WBSE.
- Closeout documentation is **not** required for industry, non-clinical projects
- **ZF114**: alerts OSP to which activity after the end date is allowable, and which is unallowable, so that OSP can accurately complete the final report/final invoice.
- Section 6 (Human Subjects/IRB): contact the Implementation Team if you have questions or need guidance.
Closeout Tasklist: TOP TEN

10 Please submit to closeoutdocs@duke.edu
9 eConfirmation is your friend! Don’t protest the attest!
8 Excel is accepted at all locations
7 PI Attestation for Subrecipient WBSEs – can be submitted early to help ensure timely payment of final invoices
6 ☑ Sections 6 through 4 N/A
5 Project Obligations: did you de-obligate?
4 Cost Overrun you do run run...
3
2 AND NUMBER ONE........

Closeout Tasklist: TOP TEN

1. ONE TASKLIST TO RULE THEM ALL

Replaces the Closeout Checklist and the Clinical Research Closeout Checklist
SOM Implementation Team

The Implementation Team provides support to departments – easing the transition to a new clean close environment.

Laura Jensen, Team Lead
Zarrin Brooks
Blake Perrault
Darrell Queen

Email Communication
Address: SOM.Implementation@duke.edu

Questions?
RAD
Research Application Development

July 16, 2015
ORA Quarterly Meeting

Debbi Nixon

SPS Web – Recent Releases

• 7.0 (6/18/2015) – Turned on editing for New and Competing Renewal Program Project Grants (major milestone!)
• 7.1 (6/22/2015) – Addition of the new department Pre-Award Liaison (PAL) field; PAL field also added to Decision Support
• 7.1.1 (7/14/2015) – Addition of the department PAL field to the SPS Web export spreadsheet
SPS Web – Upcoming Releases

• View/edit for Non-Competing PPGs (marks completion of the port for departmental users!)
• RAAC-requested changes to assist in Other Support generation, including the addition of:
  • Major goals statement
  • Abbreviated aims statement (for DoD OS)
  • Agency contact info (for DoD OS)
  • Addition of a Uniform Guidance field to the SPS Web Award record

Sponsored Effort – Upcoming Releases

• Reformatted spreadsheet (July 2015)
• Pull in new Other Support info from SPS Web (e.g., Major Goals, Abbreviated Aims, Agency Contact info)
• New section to display 5 years of Inactive Award Information (for DoD OS)

Grants.Duke – Upcoming Releases

• For NIH, include eRA Commons ID for everyone listed on the Senior/Key Person template (if on file)
FUNCTIONALITY | SPS WEB | SPS
--- | --- | ---
Search For Existing Proposals | ✔ | ✔
Create/Edit/Route/Copy Regular New, Competing Renewal, & Non-Competing Renewal Proposals | ✔ | ✔
Create/Edit/Route New & Competing Renewal Program Project Grants | ✔ | ✔
Create/Edit/Route Regular & Program Project Grant Resubmissions & Supplements | ✔ | ✔
Append To Proposal Memo | ✔ | ✔
Attach/Detach Internal Documents | ✔ | ✔
Preview/Print Sponsor-Specific Forms | ✔ | ✔
Preview/Print DPAF | ✔ | ✔
Inbox Access | ✔ | ✔
View Proposal State History | ✔ | ✔
Complete All Proposal Notebooks | | N/A
Display F&A Base Amount | ✔ | ✔
Attach PDFs to Non-S2S Proposals | | Excludes non-competing renewals
Access From Mobile Device | ✔ | ✔
Preview/Print Review Copy | | ✔
Create/Edit/Route Non-Competing Renewal Program Project Grants | | ✔
User Setup | | ✔

**SPS Web Statistics**
- 2,013 proposals created in SPS Web since March 1, 2015
  - 639 created in legacy (included 181 composites, minis)
  - 689 users are now utilizing SPS Web
  - SPS legacy logins are down to 242 departmental users
- 21 Program Project Grants submitted through Grants.Duke since July 2014
SPS Web/Grants.Duke – Recent Kudos

- Fist bump to the team
- Give her an extra big hug from me. She has definitely saved the day!
- Grants.Duke kicks **s – wonder why my old institution doesn’t have one like it!
- Thanks in large part to the AWESOME system you built, we were able to redo key aspects of our application in the space of an hour, clear through to having it successfully land in eRA Commons!

SPS Web – Life after port is within sight!

- Working Group will begin to prioritize the long list of requested enhancements, such as:
  - Use of Prime Sponsor to drive business rules
  - Ability to attach PDFs to Non-competing Renewals
  - Capture address and email information for Subcontracting PIs (for use in Grants.Duke submission)
  - Utilize the NIH web service that will allow us to validate applications before submission
ORA News & Reminders

Register in LMS at least 48 hours prior
Print materials & bring to quarterly meeting
Sign in at the beginning & wait for the code provided at the end of each quarterly meeting
Respond to questions in LMS within 10 days

Email Rachel.Monteverdi@duke.edu if problems arise or if you have future meeting ideas
Department Pre-Award Liaison (PAL) is defined as the person responsible for:

- Budget Preparation: prepare budget, budget justification, calculate F&A costs, etc.
- Effort Management: create salary roster, identify % effort, base, etc.
- Point of Contact: unit contact to address central office proposal questions and edits

Department PAL was added to:

- Provide clarity about the responsible person for an application

Department PAL will also be used to:

- Help generate pre-award Proposal Complexity Index (PCI) information that can be shared with department, center, and institute research administration
- PCI info should be useful in determining the complexity & workload of pre-award function within each unit and by each staff member
- The PCI information will be available to departments in the fall PCI cycle update

RFC’s

- No longer count as a department metric!
- Will continue to utilize as mechanism to foster communication between ORA and departments regarding proposal status
- Encourage conversation and best practices
SOM Late Submission Waiver Policy

- All grant submissions and contract proposals must be sent to the Office of Research Administration (ORA) for review and submission approval 7 business days PRIOR to the grant submission sponsor deadline.

- A submission has to be routed in the SPS system and reached the Pending Central Approval (PCA) state 7 business days before the sponsor deadline to meet this policy.

  [http://research.som.duke.edu/research-administration/grant-administration/ora-review](http://research.som.duke.edu/research-administration/grant-administration/ora-review)

ORA Review Criteria:

- The 7 business day SOM submission waiver policy applies to the administrative and budget sections of the submission, including (but not limited to):
  - Budget & budget justification
  - Subaward / subcontract materials
  - Sponsor forms, including online submissions
  - Other Support and all other documents that require institutional review and approval
  - Any documents requiring institutional signature

- Incomplete SPS record submissions routed to ORA will be returned for completion. A Grant Proposal Waiver Request webform may need to be completed to receive this approval.

- When ORA is required to submit the submission, completed submissions with the final science should be submitted to ORA 2 business days before the final deadline. (e.g. RPPR, manual submission via grants.gov, AHA, etc.)
**Example for determining 7 business day calculation to meet SOM Late Submission Policy**

NIH June 15th deadline

SOM 7 business day timeline would fall on June 6th by 8:00 a.m. for SPS record to be completely routed to the Pending Central Approval (PCA) state in order to be received in ORA representative SPS in-box on June 6th.

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<td>15 Due Date</td>
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**HOLIDAY**

Example for determining 7 business day calculation to meet SOM Late Submission Policy

July 13th deadline

SOM 7 business day timeline would fall on July 3rd by 8:00 a.m. for SPS record to be completely routed to the Pending Central Approval (PCA) state in order to be received in ORA representative SPS in-box on July 3rd. **When there is a holiday, you must include an additional business day to allow 7 business days for ORA review.**

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<td>13 Due Date</td>
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**WEEKEND**

Example for determining 7 business day calculation to meet SOM Late Submission Policy

July 15th deadline – NIH Application

SOM 7 business day timeline would fall on July 5th by 8:00 a.m. for SPS record to be completely routed to the Pending Central Approval (PCA) state in order to be received in ORA representative SPS inbox on July 5th. When there is a submission due on a weekend, the submission due date falls on the following business day.

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**Grant Proposal Waivers**

- ORA understands there may be opportunities that require rapid turnaround of submissions. In these circumstances, ORA will examine the requests on a case-by-case basis and will make every effort to work with the department for successful submission.

- Submissions received for the same sponsor deadline date will be processed for review and approval in the order received.

- While reasonable efforts will be made to complete the review and submission process on these waived submissions before the sponsor’s deadline, a successful submission cannot be guaranteed.
HELP US, HELP YOU
Including relevant information into Proposal Memo or attaching to Internal Documents will expedite our review

Best practices for timely completion of processing submissions in the Proposal Memo please include, but not limited too:

➢ For industry sponsors or records that require OCRC review, please indicate if the agreement is being reviewed in OCRC

➢ For foundation and other non-federal sponsors
  • Link to instructions if unable to load in internal docs
  • Any documents that need to be completed/signed and returned to sponsor (i.e. face page, LOI, FCOI forms, etc.)

➢ For federal contracts and subs from federal contracts
  • Put the RFP number in the memo and attach to internal docs
  • Indicate that this record should be reviewed by the federal contracts team.

➢ If Duke is a sub-recipient to another institution, please include:
  • Prime sponsor of the funding
  • Any documents that need to be completed/signed and returned to sponsor (i.e. face page, LOI, FCOI forms, etc.)
SPS and Identifying Prime Source of Funding at Time of Proposal

From Prime Sponsor to Sponsor to Subrecipient

- The Prime Sponsor grants funding to the Sponsor
- The Sponsor can partner with a Subrecipient to conduct specific tasks
- The Subrecipient conducts certain activities and reports to the Sponsor

Prime Sponsor: NIH
Sponsor: Duke University
Subrecipient: UNC

SPS and Identifying Prime Source of Funding at Time of Proposal

Entering a New Proposal

- When Duke is a sub-recipient to UNC-Chapel Hill and the funding will be from NIH
- On the Proposal Creation screen indicate such by selecting the ‘Has Prime Sponsor’ box which will enable entry of the Prime sponsor name

Note: If there has been an error made in the entry of the Prime Sponsor, please contact your ORA RA to have this corrected.
Below is an example of what could be included in the Proposal Memo.

Example:
Sponsor requirements added to Proposal Memo can include, but not limited too:

- This proposal is a subaward to UNC-CH, with the Thrasher Foundation as the primary sponsor.
- Sponsor requires a signed PHS 398 Face Page, Budget/Justification, SOW, and Facilities & Equipment
- Final Proposal materials due to sponsor on 08/27/20XX

Departments-please notify your RA immediately if you have questions with regards to the prime sponsor of funding

Prime sponsor of funding from FEDERAL CONTRACT

- If the funding will be from a federal contract, please immediately notify your ORA Federal Contracts RAM, and place a note in SPS proposal memo that this proposal is for federal contracts review
- The requirements for a federal contract proposal can be substantial (SBSP, FISMA, FAR clauses)
The F&A base is the specific direct project costs in your budget that are subject to F&A. *Not all projects use the same base.*

<table>
<thead>
<tr>
<th>F&amp;A Base</th>
<th>Description</th>
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<tr>
<td><strong>Modified Total Direct Costs (MTDC)</strong></td>
<td>F&amp;A applied to all of the direct costs minus the following: equipment, capital expenditures, patient care, tuition remission, rental costs of off-site facilities, scholarships and fellowships, and the portion of each subagreement in excess of $25,000. <em>This applies to federal submissions unless otherwise specified in the submission instructions.</em></td>
</tr>
<tr>
<td><strong>Total Direct Costs (TDC)</strong></td>
<td>This applies to all of the directs costs with no exclusions.</td>
</tr>
<tr>
<td><strong>Salary &amp; Wage (S/W)</strong></td>
<td>Salary and wage should only be used if required by the sponsor and F&amp;A should only be applied to the salary and wage costs.</td>
</tr>
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</table>

“*All About That Base*”

- Please make sure that you read the sponsor guidelines for the submission to determine the correct F&A base type

- Update the F&A base type on the SPS - Budget Setup - Rules tab, using the drop down menu

- Additionally, be aware that if the sponsor’s policy does not specify a base to which the rate may be applied (e.g., “XYZ Foundation will pay 10% indirect costs”), Total Direct Costs (TDC) base must be used to calculate the F&A (regardless of whether that calculation will have any impact on the budget amount)
SPS always calculates subawards following MTDC guidelines regardless of which base is selected.

Even if TDC is selected, SPS excludes the sub cost over $25k from the F&A base. This is incorrect!

For TDC awards you must override the calculated F&A with the correct amount that includes the entire subaward, included cost over $25k.

- The SPS record must be in awarded state before submitting a SIR. Please don’t submit if it is in any other status.

- The SIR must contain the WBSE for the Subrecipient (not the parent). The Subrecipient WBSE is part of the agreement so we cannot draft a subaward without it.

- Budgets must be specific to the action. For example, if you are adding $10,000 to a sub via an amendment, we need a budget for $10,000 (not the cumulative amount).
Example:

- Our Subrecipient, Dr. House, is in the middle of year 02 of an R01. The current budget for Year 02 is $75,000. Due to outstanding results, he has asked to add a research assistant to help with the project. The total cost of adding the research assistant is $16,500. Duke can amend the existing Year 02 by ADDING additional funds. However, this is a distinct action that builds on the previous action. Therefore...

...which budget should be submitted?
Industry Reminders

- The SPS record’s status for Industry sponsored projects should be Awarded or Award-Inactive prior to processing Amendments, Change orders or No-Cost Extensions.

- Therefore, before routing these type documents to ORA, each grant administrator should check the status of their projects in SPS and proceed accordingly.

Modular Budgets

Additional Narrative Justification

When a modular budget is proposed, an Additional Narrative Justification is to be included to explain:

- variations in modules,
- exclusions from indirect cost, and
- work being conducted off-site, especially if it involves a foreign study site or off-site F&A rate.

The link below provides NIH guidelines for developing your budget.

http://grants.nih.gov/grants/developing_budget.htm#modbud
OPM - Victim of another Breach in April

- Millions (over 21M) records were impacted, and according to the NY Times, the target appeared to be SSNs and other Personally Identifiable Information (PII):
  
  http://www.nytimes.com/2015/06/05/us/breach-in-a-federal-computer-system-exposes-personnel-data.html?_r=0

- This breach is important, because Duke faculty or staff who are on government contracts, they could be in the list of the millions affected.

- Pls share with Faculty and Staff and if you hear of any faculty or staff receiving a letter, pls share information with Duke University’s Information Security Office (security@duke.edu)

Sponsor Related News and/or Tidbits
NOT-OD-13-093

- NIH encourages grantees to develop institutional policies requiring an IDP be implemented for every graduate student and postdoctoral researcher supported by any NIH grant by October 1, 2014
- In the RPPR, grantees are encouraged to report the use of IDPs in RPPR Section B. Accomplishments, Question B.4
- Duke University does not have a policy on the use of IDP’s
- Each department/unit program may have its own policy on the use of IDP’s for graduate students or postdocs

Professional Development Opportunities

- Duke Education & Training Opportunities can be found and registered at:
  http://finance.duke.edu/research/training/index.php

- Professional Organizations:
  - NCURA Conference in Washington DC, August 2-5, 2015
  - SRA Annual Meeting in Las Vegas, NV, October 17-21, 2015

- Next RA Meeting Dates
  - October 29, 2015
  - January 21, 2016
  - April 21, 2016

ORA Personnel Update

- Arrivals

- Departures
  - Jonathan Law

- On Leave
  - Solita Denard
Questions?

Please state your name and department