Quarterly Research Administrators
Meeting
Office of Research Administration
January 16, 2014

Agenda

- eRA@Duke Update
  - CAS/Rebudgeting Full Rollout
  - Close-out Project
- Sponsor News and Reminders
  - SBIR/STTR policy
  - NSF Final Reports and NIH Public Access Policy
- ORA News and Reminders
  - Buy@Duke G/L’s (General Ledger)
  - IPA Extensions vs. Modifications
  - ORA Subaward Group Changes
  - PI Education Training, COI and Research Compliance Tracker (RCT)
  - SPS Award Notification Emails
  - NIH Complex Mechanisms Applications
  - Grants.Duke Update
  - SPS Web Port Update
  - Identifying Sponsor Specific Programs in SPS
  - SOM/ORA Training Updates and Policy Changes
  - Professional Development Opportunities
  - ORA Personnel Update
eRA@Duke Project Update

Nate Martinez-Wayman & Meredith Woods
Quarterly Research Administrators Meeting
January 16, 2014

Sponsor News & Reminders
SBIR/STTR Policy Update

- **SBIR/STTR – Program Certifications Required (NOT-OD-13-116)**
  - **Funding Agreement Certification (Effective October 1, 2013):**
    - Completion of a SBIR/STTR Funding Agreement Certification required prior to NIH issuing award
    - Applicable for New (Type 1) and/or Competing Renewals (Type 2) awards
    - Will utilize Just-In-Time (JIT) methodology
    - Ensure that Applicant meets the SBA size criteria and other “program specific” requirements (e.g., all work performed in USA, work performed by Applicant, etc.)
    - Funding Agreement Certifications are revised and re-named versions of the Verification Statements formerly used at the Pre-award stage to mirror content and format used in the SBIR/STTR Policy Directives
  - **Life Cycle Certification (Effective October 1, 2013):**
    - Also applicable for New (Type 1) and/or Competing Renewals (Type 2)
    - Based on milestones throughout the project
    - While Certification is required, certification is to be kept by grantee in accordance with retention policy located in Section 8.4.2 of the NIH Grants Policy Statement (NIHGPS)
      - SBIR/STTR Phase II Awardees: prior to receiving more than 50% of the total award and prior to final payment or distribution from the Payment Management System (PMS)
      - SBIR/STTR Phase I Awardees: at time of receiving final payment or distribution from the Payment Management System (PMS)
    - Intended to ensure on-going compliance of the Awardee with the assurances provided in the Funding Agreement Certification

NSF – Late Reports & NIH Public Access Policy

- **NSF OIG: Chronically Late Reports Are Grounds for Government-wide Debarment**
  - the report also documents IG Allison Lerner’s quest to expand debarment to include principal investigators (PIs) who are not current with final reports
  - Since January 1, ORA has received (4) notifications re: Delinquent Final Progress Reports
    - Refer to NIH Grants Policy Statement (NIHGPS) Section 8.6.2
    - PI Transferring…what is your process?
- **NIH Public Access Policy:**
  - NIH is withholding Notices of Awards (NOAs)
    - Notice OD-12-160
    - http://medschool.duke.edu/files/documents/NIHpubacc.pdf0l%96I%1FC (Dr. Siedow’s memo to Faculty)
    - https://mclibrary.duke.edu/about/blog/2014-01-02/nih-public-access-policy-ensuring-you-are-compliant
  - ORA is currently working with several Depts. to rectify non-compliance
    - What is your Dept. procedure to ensure compliance?
ORA News & Reminders

Don't FORGET!

ORA is required to review all OSA's charged to 203, 30X to 35X and 38X fund codes. (GAP 200.132 and 200.134) In order for the Buy@Duke carts to be routed correctly, please use the following G/L's:

- 691629 – Payments to Corporations or Partnerships (This G/L is used to separately account for outside service agreements with organizations.)
- 622029 – Payments to Individuals (This G/L is used to separately account for outside service agreements with individuals.)
- If not using a Buy@Duke cart, please put these G/L's with the fund code on the bottom of the pink PR form and send it with the hard copy agreement and the ICC (if required).
IPA Modification vs Extension

An extension is needed for an IPA (Intergovernmental Personnel Agreement) to:
- Extend the Period of Assignment
  - Requires a new SPS record and the full IPA packet
  - Mark as ‘Extension’ on IPA agreement if there is no break in service
If there is a break in service, the IPA is considered a new agreement not an extension; Mark as ‘New’ on IPA agreement

A modification is needed for:
- Change of percent effort or salary ≥ 10%
  - Changes that are < 10% communicate to the VA through notation on the agreement and updated Salary Spreadsheet

Any significant changes in an employee's duties, responsibilities, salary, work assignment location or supervisory relationships should be recorded as a modification to the original agreement.

Modifications IPAs should include revised IPA agreement and salary spreadsheet. The SPS record is returned to make necessary changes.

ORA Subaward Group Changes

Personnel changes:

Incoming agreements: Jim Lux and Charlyne Shivers will split a portfolio of incoming subawards (grants) and foundation agreements. Portfolio assignments can be found on our website at:
http://research.som.duke.edu/sites/research.som.duke.edu/files/documents/ORA%20incoming%20assignments.pdf

Outgoing agreements: Erin Thacker will issue outgoing FDP agreements. Jennifer McCallister will issue other types of agreements.

Incoming and outgoing federal contracts will continue to be managed by the federal contracts team.

Upcoming Procedure Changes

We are currently in the process of revamping the SIR (Subaward Initiation Request) form on our website to make it more user-friendly. Stay tuned to see the changes very soon!
RCC has released a new PI continuing education module.

**PI Continuing Education Requirement**

Per Duke University requirements, all individuals with a leadership role in sponsored projects are required to complete this module and to pass the associated assessment. *No new award will be established until these requirements have been met.*

Leadership roles are defined as: Principal Investigators, Project Leaders, Core Leaders, Project Directors, multiple Principal Investigators/co-Principal Investigators, and PI Fellows.

Individuals will have until January 6, 2014 to complete the new FY 2014 module; until that time, individuals who have already completed the 2011 module may still establish new awards. After January 6, 2014, records of the 2011 module will be removed and the new FY 2014 module will be required.

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**On October 15, 2013, RAD released the updated SPS Web Awards module to support the revised PI Continuing Education Requirement and provide automatic email notifications.**

**What happens when ORA receives an award and tries to award the SPS record in SPS Web Awards?**

ORA will not be able to award the SPS record until all required individuals have taken the required RCC training. ORA will set the status of the SPS record to AIP (award in progress).

If an SPS record is set to AIP and one or more Duke personnel who are subject to RCC training have not completed it, an automatic email notification will be triggered.
An email will be sent to each of the following Duke people who have not completed RCC training:

- PI (for regular proposals)
- PPD (for Composite proposals) and Mini PIs (for Mini proposals)
- PI-Fellow (for regular proposals)
- Co-PI/Multiple PIs (for both regular proposals and PPGs)

The Initiator of the proposal will also receive an email notification if RCC training needs to be completed for one or more of the applicable Duke personnel.

ORA is copied on the initiator’s email notification.
How can you know who in your department has not completed their RCC training or if they have a current COI on file?

Log into the Research Compliance Tracker (RCT) application located at: https://radapps.duke.edu

You can search by person or proposal

Important Compliance Information

SPS Web Awards will soon generate an email notification when the Pre-award office sets a SPS record to AWARD or AIP.

- An Award Notification email will be sent to all of the departmental reviewers for each of the BFR codes associated with anyone marked as Duke ‘Key’ and/or Duke ‘FCOI Investigator’
- One email per Award will be sent to each applicable reviewer and will include basic Award information and a list of everyone associated with their BFR code(s)
- Anyone set up in a department chair role will be excluded from receipt of the Award notification
- An Award Notification email will NOT be sent to the PI, PPD or Mini PI. Nor will they be sent to anyone listed as a Co-PI and/or Multiple PI.

The email will look similar to the following
We are pleased to inform you that Duke University has received and processed an award for the above referenced proposal.

Proposal ID: 204600  
Short Title: The Most Successful Grant Ever  
PI/PPD: Barbee, Amy  
Awarding Sponsor: NIH  
Prime Sponsor: (from award record, if one exists)  
Awarded On Date: 1/1/14  
Agency ID: ABC123

Owning Org: 6860010604 - Research Administration  
PI Duke Org: 6860010604 - Research Administration  
Proposal Type: Research  
Status: AWARD

Current Budget Period: 01/01/2014 – 12/31/2014

The Following personnel have been identified in your area of Responsibility:

- Barbee, Amy C. - 6860010415 - Research Administration
- Henry, Laurie H. - 6860010415 - Research Administration

This mail message has been automatically generated by SPS Web. If you have questions about this notification, please contact your departmental administrator.

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Reminder about Submitting Multi-Project Applications

- Currently, we are using the NIH ASSIST system to submit complex mechanism applications with due dates prior to May 25, 2014.
- A Grants.duke solution is expected in time for applications with due dates on or after May 25, 2014.
- The Program Project Grant Working Group - Kick-off Meeting was held on 12/19/2013

Duke SOM successfully submitted 3 complex mechanism applications for the September 25, 2013 deadline. Some of the most important "Lessons Learned" are:

- To add a Subaward to a Component you will need to be in the Component information screen (very first one that opens for the component).
  - ADD OPTIONAL FORM
  - Choose the Subaward form from the drop-down list.
- When Complete with the Application
  - The department should validate each Component
  - The department should set each Component to final
  - The department should validate the Overall
  - The department should set the Overall to final
NIH Multi-Project or Complex Mechanism Applications (cont’d)

Remember: If you are planning to submit an application that will require ASSIST, we highly encourage going out to the demo site to familiarize yourself with the process and steps required.


There is a very detailed step by step Webinar that can be found at:

http://www.youtube.com/watch?feature=player_detailpage&v=DZjW9GlpoQ&t=0

Other helpful links:
- Avoiding Common Errors:
  http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm#10checks

For questions, please contact Amy Barbee at amyc.barbee@duke.edu.

Grants.Duke updates

All NIH Fellowships and K-Awards with due dates on or after 1/25/2014 will need to be submitted using the Adobe C Forms packet. Included in Forms C are updated schemas for the PHS Fellowship Supplement and the PHS Career Development Award Supplement templates.

RAD Released support for these new forms on 1/14/14.

If the release doesn’t happen before the meeting:

The targeted implementation date for these changes is 1/xx/2014; well in advance of the 2/12/2014 due date for the next round of Career Award submissions.

If you begin working on a Career Award submission for 2/12 and are concerned that you are seeing the message telling them that Grants.Duke does not support the necessary form set, please hold tight – the new forms will be available shortly. In the meantime, you can continue to finish up the necessary work in SPS or SPS Web and work on your PDF attachments.
SPS Web Port update

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Identifying Specific Sponsor Programs in SPS

When multiple Programs exist under a non-federal Sponsor

When there are multiple programs in a sponsor’s guidelines
- Enter the information about the program in the memo field.
- Enter the specific program in SPS on the Sponsor tab as shown on the following slides.
Identifying Specific Sponsor Programs in SPS (cont’d)

Shown in SPS (old SPS)

- Answer the question “Is this proposal in response to a Sponsor Program?” Yes.
- Enter the Program that you are applying to.
- If/when No matches are found, click OK
- When the Program Selection box comes up click Add other and OK
- Save

Identifying Specific Sponsor Programs in SPS (cont’d)

Shown in SPS Web

- Answer the question “Is this proposal in response to a Sponsor Program?” Yes.
- Enter the Program that you are applying to.
- If/when No matches are found, click “here”
- Save
ORA has updated our training registration process and we are now using SABA to handle course registrations. You can register on our website for classes in 2014.

Using SABA allows persons to register using your NetID.

Policy for ORA Training Courses for Cancellations or No Show

Enrollment closes two calendar days before the class offering date. Beginning April 1, 2014, if you drop the class after the enrollment closes, a $100 fee will be charged.

If you do not attend the workshop without dropping the course three calendar days before the offering date, the full amount of the course is processed as a no show fee. Emergency exceptions are the discretion of ORA.

Registration, confirmation, and dropping a course offering are all handled within the Duke Learning Management System (LMS). If you need to cancel a course for which you are registered, please perform the action within the Duke LMS.
### Professional Development Opportunities

- **ORA** for 2014 classes can be found on our website:
  
  [http://research.som.duke.edu/resources](http://research.som.duke.edu/resources)

- Other Training Opportunities can be found and registered for at:
  

### Professional Organizations:

- **NCSRA**
  - 2014 Annual Meeting – March 3-5, 2014 at the Pinehurst Resort in Pinehurst, NC

### Next ORA Meeting Dates

April 17, 2014

### ORA Personnel Update

- **Arrivals**
  - Rob Caudle – Federal Contracts (February 3, 2014)
  - Latesha McDonald – Research Administrator (January 22, 2014)

- **Departures**
  - Simge Kundakcioglu – Research Administrator
  - Anne Hedgspeth – Staff Assistant

- **Open Positions**
  - Research Administrator
  - Staff Assistant
Questions?
Please state your name and department. 😊