Agenda

- eRA@Duke Update
- Sponsor News, Reminders and Items of Interest
  - Salary Cap Increase
  - NRSA Stipend Levels
  - Public Access Policy
  - NIH eRA Update
  - AHA Open Science Policy
- ORA News and Reminders
  - CAS update
  - SPS Web news
  - FCOI forms for consultants
  - Subaward documentation when Duke is a sub
  - Award set-up verification in SAP & SPS
  - ORA Correspondence subject lines
  - Internal Effort Reductions
  - Other Support Reminders
  - New F&A Rate Agreement
  - Professional Development Opportunities
  - ORA Personnel Update
- Update on RCC Certificate Programs

Closeout Project Update

ORA Quarterly Research Administrators Meeting
Michelle Rigsbee
April 17, 2014
Lean Budget Times Force Stricter Requirements

• Along with SubAcct change, NIH is implementing restrictions on reimbursement:
  – “In an effort to promote more timely financial closeout of awards, PMS will now hold payment requests for funds in subaccounts for awards that are 90 days or more beyond the project period end date. Funds requests for these awards will not be processed unless, and until, the awarding Agency has approved the request.”

• Risk is three-fold
  – Compliance with Enforcement of Regulations
  – Financial loss if not permitted to draw additional funds (if untimely)
  – Business Disruption within the departments and central offices

Current Risk is from HHS but other agencies are enforcing as well…NSF

What Does this Mean?

• OSP Business Process change
  Significant volume of codes to report/close/open and change (LOC Process) for transition year (GFY15) and long-term business process implications

• Department Business Process change during transition year
  – Transition to new codes (for all non-competing projects)
    • Guidance on booking charges during transition
    • Change funding sources for Buy@Duke, Payroll, etc.
  – Closeout of mid-project non-competing projects
    • Closeout docs; departments may already be “late” in preparing for final report
    • FFR filing

• 90 Day Closeout Requirement
  – FFR Must be filed in 90 days
  – Expenditures >90 days after end date may be uncollectible

• Impact on offices (ORA/S, ASM, OCRC, Mgmt Centers/Schools)
  – ORA/S: renegotiate all incoming and outgoing subs?
Closeout Project: Ps and Ts - CONFIRMED

<table>
<thead>
<tr>
<th>Process Area</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>P-1</td>
<td>Policy - Sponsored Project Closeout - Final Action Date (180 Day Close)</td>
</tr>
<tr>
<td>P-2</td>
<td>OSAs (Policy Change and Amendments)</td>
</tr>
<tr>
<td>P-3</td>
<td>Revised FFR Policy</td>
</tr>
<tr>
<td>P-4</td>
<td>Peer Invoicing</td>
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<tr>
<td>P-5</td>
<td>Internal Billing Communication to Service Provider</td>
</tr>
<tr>
<td>P-6*</td>
<td>Role of Parent on Closeout</td>
</tr>
<tr>
<td>P-10</td>
<td>NCE Submission Process</td>
</tr>
<tr>
<td>P-11</td>
<td>Invoicing on Incoming Sub-awards</td>
</tr>
<tr>
<td>P-12*</td>
<td>Cost Transfer Policy</td>
</tr>
</tbody>
</table>

**eRA@Duke Closeout Project TECHNOLOGY**

<table>
<thead>
<tr>
<th>Process Area</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>T-1</td>
<td>Improved Letter of Credit Process</td>
</tr>
<tr>
<td>T-2*</td>
<td>Enhanced Closeout Documents and Process</td>
</tr>
<tr>
<td>T-3</td>
<td>Integration of CONS with OSP B&amp;R Workflow</td>
</tr>
<tr>
<td>T-4</td>
<td>Management Reports</td>
</tr>
<tr>
<td>T-10</td>
<td>Cost Transfer Policy</td>
</tr>
<tr>
<td>T-17</td>
<td>OSA Changes</td>
</tr>
<tr>
<td>T-18*</td>
<td>Parent Reporting during Closeout</td>
</tr>
</tbody>
</table>

*Denotes Policy/IT overlap

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**Progress to Date**

**Policy/Technology**

- Sponsored Project Closeout (P-1, P-3, P-6, P-10, P-12):
  - Detailed mapping of 180 Day and 150 Day Calendar
  - Consideration of Barriers to successful Closeout
  - Modified Closeout Documentation with workflow
  - Initial identification of policy and technology components, including NCEs, Revised FFRs, Role of Parent, Cost Transfers
  - Working to address gained efficiencies in current Duke processes
  - Identifying reports needed to support timely closeout
  - Identified potential “Late Postings” Resolution Approach
## Progress to Date

#### Policy
- **OSA’s (P-2):**
  - Drafting new Sponsored Research OSA
  - Drafting new Sponsored Research GAP
  - Investigating appropriate management of current active OSAs to new terms
- **Peer Invoicing (P-4):** preliminary high level discussions to identify course of action, begin communication to all stakeholders
- **Internal Billing (P-5):** preliminary high level discussions to identify course of action, begin communication to all stakeholders
Progress to Date

➢ Technology

▪ Letter of Credit (T-1):
  - Phase I (supporting subaccount draw upload capability): specs completed and approved; tech development underway
  - Phase II (supporting FCOI integration) in planning phase, will coordinate with RAD to develop data

▪ Enhanced Closeout Process (T-2):
  - Detailed Technology discussions to commence late April

▪ OSAs (T-17): technology in development
  - Buy@Duke functionality: flag to denote OSA attachment
  - Grant funding + OSA flag routes to Pre-Award offices

Questions?
The DHHS Salary Cap was increased from $179,700 to $181,500 per Executive Order 13655 by President Obama on 12/23/13 to go into effect on 1/12/2014.

Please note that the Salary Cap applies to those receiving salary support from any of the DHHS agencies, except the FDA and Indian Health Services.


The NIH has provided guidance on which awards will or will not be adjusted for this increase. Below is a chart of which budgets NIH will adjust based on the increased salary cap of $181,500. Those awards that are not adjusted for the new cap may be rebudgeted to accommodate the increased salary cap, if adequate funds are available. However, rebudgeting for the increased salary cap should only be for salaries as of January 12, 2014 going forward.
For fiscal year 2014, NIH has increased the stipend levels for the Ruth L. Kirschstein National Research Service Awards (NOT-OD-14-046)

### Increased NRSA Stipend Levels

<table>
<thead>
<tr>
<th>Career Level</th>
<th>Monthly Stipend</th>
<th>Stipend for FY 2014</th>
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<tbody>
<tr>
<td>Freshmen/Sophomores</td>
<td>$706</td>
<td>$8,472</td>
</tr>
<tr>
<td>Juniors/Seniors</td>
<td>$988</td>
<td>$11,856</td>
</tr>
<tr>
<td><strong>Years of Experience</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Postdoctoral</strong></td>
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<td></td>
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<tr>
<td>0</td>
<td>$3,500</td>
<td>$42,000</td>
</tr>
<tr>
<td>1</td>
<td>$3,640</td>
<td>$43,680</td>
</tr>
<tr>
<td>2</td>
<td>$3,786</td>
<td>$45,432</td>
</tr>
<tr>
<td>3</td>
<td>$3,937</td>
<td>$47,244</td>
</tr>
<tr>
<td>4</td>
<td>$4,094</td>
<td>$49,128</td>
</tr>
<tr>
<td>5</td>
<td>$4,258</td>
<td>$51,096</td>
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<tr>
<td>6</td>
<td>$4,429</td>
<td>$53,148</td>
</tr>
<tr>
<td>7 or More</td>
<td>$4,606</td>
<td>$55,272</td>
</tr>
<tr>
<td><strong>Predoctoral</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All</td>
<td>$1,873</td>
<td>$22,476</td>
</tr>
</tbody>
</table>

NIH Public Access Policy:

- NIH is withholding Notices of Awards (NOAs) - Notice OD-12-160
- When completing the RPPR application, if any citation(s) are out of compliance with the NIH Public Access Policy, the award will not be processed until all publications arising from it are in compliance with the policy.

The Authorized Organization Representative (AOR) or PD/PI with delegated eSNAP Submit Authority must provide verification that all publications are in compliance with the NIH Public Access Policy to the Grants Management Specialist (GMS). If the Duke University Principal Investigator is not the primary author, contact the primary author for approval rights to assure compliance with the NIH Public Access Policy.
NIH Public Access Policy (cont’d)

- Duke Resources/Information
  - [http://medschool.duke.edu/files/documents/NIHpubacc.pdf0l%96l%1FC](http://medschool.duke.edu/files/documents/NIHpubacc.pdf0l%96l%1FC)
    (Dr. Siedow’s memo to Faculty)
  - [https://mclibrary.duke.edu/about/blog/2014-01-02/nih-public-access-policy-ensuring-you-are-compliant](https://mclibrary.duke.edu/about/blog/2014-01-02/nih-public-access-policy-ensuring-you-are-compliant)

- For additional information, please contact the Duke University Medical Library, (919)660-1100.

- FYI: ORA is currently working with several Depts. to rectify non-compliance

If a public access policy issue arises and you are working with NIH to resolve, please inform your ORA RA of any communications between the Departmental grant Administrator and sponsor Grants Management Specialists and/or Program Official.

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NIH eRA Update

In late May, NIH eRA Systems will be upgraded and the information in the databases will be converted to support Unicode compatible data. (includes but is not limited to Greek characters).

Since Grants.gov limits the characters allowed in grant application form fields, applicants should only use the newly supported characters in the PDF attachments of their applications.

For example, Greek characters in the Project Summary/Abstract attachment are fine, but Greek characters in the Project Title field are still problematic until Grants.gov is able to accept and process them.

Users will be able to include Greek characters in the body of the text in SPS. For example if you attach a pdf or are printing a paper form from SPS.

Full announcement can be found: Notice Number: NOT-OD-14-071
The AHA recently approved new Open Science policies that will impact research funded by the AHA. These policies will go into effect beginning with applications due in July 2014 and new awards beginning January 2015.

**AHA's public access policy**
The AHA requires that all journal articles resulting from AHA funding should be made freely available in PubMed Central within 12 months of publication.

**AHA's open data policy**
The AHA requires grant applicants to include a data sharing plan as part of the application process. Any data that is needed for independent verification of research results must be made freely and publically available within 12 months of the end of the funding period (and any no-cost extension). Specific early career awards are currently exempt from this requirement (Undergraduate Fellowships, Medical Student Research Fellowships, Predoctoral Fellowships, Mentor/AHA Mentee Awards, Postdoctoral Fellowships, and Mentored Clinical & Population Research Awards).

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**ORA News & Reminders**
**CAS budgets can aggregate to meet the $500 minimum**
- Sub-codes must be under the same parent code in R3
- Applies only to fund codes created for internal purposes
  - “internal” status can be checked in SAP
    - SAP>CJ03 report>Display Project: Project
      Definition>Details menu>Project definition customer fields
      » Rebudget Class section should be designated “I”

**Requirements for Grants vs Contracts:**

<table>
<thead>
<tr>
<th></th>
<th>Grants</th>
<th>Contracts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does CAS item have</td>
<td>No (generally)</td>
<td>Yes (generally), prior approval may still be</td>
</tr>
<tr>
<td>to be in the proposal?</td>
<td></td>
<td>required based on contract terms and conditions</td>
</tr>
<tr>
<td>Sponsor Prior Approval Required?</td>
<td>No (generally)</td>
<td>Depends on whether rebudget parameters are established</td>
</tr>
</tbody>
</table>

**NIH’s eRA systems can now accept project titles (item 11 on the SF424 R&R cover form) of up to 200 characters.**

The option to extend the length of the title is available in Grants.Duke and SPS Web in the INIT or RFC state. You will be able to see the longer title in SPS Legacy only when still in the INIT state by scrolling over to the right. You will not be able to see the extended (over 121 characters) if SPS is past the INIT state.

SPS Web and SPS current functionality

<table>
<thead>
<tr>
<th>FUNCTIONALITY</th>
<th>SPS WEB</th>
<th>SPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Search For Existing Proposals</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Create/Edit/Copy Regular, New Proposals</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Create/Edit/Copy Regular, Competing Renewals</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Create/Edit Regular Resubmissions &amp; Supplements</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>View Regular, Non-Competing Renewals</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Edit Proposal Memo (for all proposal types)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Attach/Detach Internal Documents (for all proposal types)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Complete All Proposal Notebooks</td>
<td>N/A</td>
<td>✓</td>
</tr>
<tr>
<td>Route Regular Proposals</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Preview/Print DPAF (for all proposal types)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Inbox Access</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>View Proposal State History (for all proposal types)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Display F&amp;A Base Amount</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Attach PDPS to Non-S2S Proposals</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Access From Mobile Device</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Preview/Print Review Copy</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Create/Edit/Route Program Project Grants</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Edit Proposal While Routing</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Preview/Print Sponsor-Specific Forms</td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>

SPS Legacy will be semi retiring September 30, 2014

***It has been a long road but it is finally here.***

You will be required to begin using SPS Web on October 1, 2014. In June 2014 SPS Classes will become SPS Web.

Pre-Award Office will still have access to SPS Legacy to update SPS Standard Reference Data, Person Profiles and assorted user and departmental set up functions.

If you encounter unexpected behavior, or if you experience any issues, please use the "Feedback" link that is now available in the user menu. The user menu can be accessed from any page within the application by clicking on your name in the upper right hand corner.
Consultant FCOI Form

If you obtain a FCOI form from a consultant that lists an email address connected to an Institution, ask yourself the following questions:

- "Are they planning on using their intuition's FCOI policy?"
- "Are they using Institutional Resources?"
- "Is this truly Consulting?"

Remember consultant FCOI forms aren't signed by an institutional official.

When Duke is a Sub! What do they want?

Please remember to ask the sponsor institution – what forms/documents do they need from us.

- NIH is phasing out the PHS398 packet of forms. Due to this, most Institutions are also phasing out the need for a signed PHS398 Face page.
- We are seeing an increasing number of proposals that we are having to handle twice because the Prime Institution is requiring an assurance form of one kind or another.
- If additional forms are requested after the initial review and within the 7 business day window, the SPS record will be returned for changes (for incomplete documentation) and a waiver needed.
Award Setup - Verification

Please check the master data and plan (budget) information in SAP when new WBSE codes are created and/or updated. At a minimum, please remember to check the following:
- Project & budget period dates
- F&A rate
- Rebudget Class Field (must be populated)
- PI Name
- Sponsor

A detailed step by step guide can be found: https://finance.duke.edu/resources/training/stepbystep/UnivRptSponProject/1a.pdf

In addition, please check the award information on the SPS award data screen in SPS on the web.

Please inform your ORA RA and/or OSP Liaison of any discrepancies so they may be corrected.

ORA Email Correspondence

Effective immediately, we are requesting that all email correspondence sent to ORA personnel include a subject line that contains the following information if available:

- SPS Number
- PI Name
- WBSE
Internal Effort Reduction Process

Please submit Internal Effort Reduction Forms to Danielle Robinson, Research Administrator, for review. Internal Effort Reduction forms are required to be submitted using the ORA Administrative Action Request form, which can be found on our website.

Reminder: OS Review / SPOCs

- Correct and up to date other support should be maintained for all individuals designated as Key Personnel.
- Each departmental SPOC is responsible for reviewing and certifying that OS documents are correct and up-to-date, verifying effort with SES and iForms.
- The owning Org of the proposal is responsible for submitting OS documents for all Key Personnel to ORA, ensuring as needed that OS documents have been certified by SPOCs from other departments.
- Department SPOCs should work together to resolve OS issues.
- OS only need SPOC approval not ORA approval to route SPS record to PCA
- Can send OS by email to your assigned ORA research Administrator or upload into internal documents in SPS.
- ORA returns approved OS documents to SPOCs.
Duke University announces new F&A Rate

Please read the letter from Dr. Trask regarding the new F&A rate for Duke University and share with your PIs. Read more at https://finance.duke.edu/resources/docs_sec/FAAnnouncement201404.pdf.

Rates have been updated in SPS. SPS will load very slow until the new SPS 5.29.202 optional update is installed. http://rad.duke.edu/grants/sps/installation

How to refresh your proposal that is in Process to include the new F&A rates

- The record will be marked RFC at dept request – no ding
- Simply touch or change the period end date of each period affected.
- Recalculate F&A on the summary budget.
- Make sure any documents attached now have the correct budget $$. 
- Save and let your RA know that you are complete.

New F & A Rates

F&A Rate Negotiation Overview

- The Federal F&A rate (also known as Indirect Cost Recovery rate) is used to recover a share of the university’s cost of conducting research from external sponsors. This is partial reimbursement for costs already incurred by the institution.

- Duke renegotiates it’s F&A rate every 4 years with DHHS.
  - Base year: Fiscal Year 2012
  - Proposal submission: June 2013
  - Site visit: February 2014
  - Final rate negotiated: March 2014
F&A Rate Negotiation Overview

- Rate Components – Submitted (total: 63%)
  - Administration 26%
  - Facilities 34%
  - Projections 3% (ARRA, Utilities Adjustment, Construction)

- Space Reviews
  - Biology, Biomedical Engineering, Molecular Genetics, Neurobiology, Pharmacology, & DHVI

- Negotiated Rate
  - FY14: 57% (current rate)
  - FY15: 57%
  - FY16: 59%
  - FY17: 59%

- Implementation Plan
  - Current Proposals: Pre-award Offices to contact sponsor regarding out-year rate increase
  - Current Awards: 57% will be applied throughout life of award unless sponsor provides additional indirect funding
  - Future Proposals: Proposed as outlined above

Direct Cost Examples

Costs that can be directly assignable to one program

- Principal Investigator
- Research Associates and Assistants
- Laboratory Technicians
- Associated fringe benefits
- Equipment
- Project related materials & supplies
- Project related travel
- Subcontract costs
### F&A Costs

Executive Management

Library

Accounting, Budgeting, Human Resources

Building and Equipment Depreciation

Pre and Post-Award-SPA

Repair & Maintenance

Utilities

**Not directly assignable to any one activity**

Departmental Administration

**F&A Calculation - Overview**

<table>
<thead>
<tr>
<th>F&amp;A Cost Pools</th>
<th>Allocation Bases</th>
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</thead>
<tbody>
<tr>
<td>Building &amp; Equipment Depreciation</td>
<td>Space</td>
</tr>
<tr>
<td>Operations &amp; Maintenance</td>
<td>Space</td>
</tr>
<tr>
<td>General Administration</td>
<td>MTDC</td>
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<tr>
<td>Departmental Administration</td>
<td>MTDC</td>
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<tr>
<td>Sponsored Projects Administration</td>
<td>MTDC</td>
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<tr>
<td>Library</td>
<td>FTE &amp; S&amp;W</td>
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<tr>
<td>Student Services</td>
<td>Instruction &amp; MTDC</td>
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</table>

<table>
<thead>
<tr>
<th>F&amp;A Costs Allocated to:</th>
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</thead>
<tbody>
<tr>
<td>MTDC Instruction</td>
</tr>
<tr>
<td>MTDC Organized Research</td>
</tr>
<tr>
<td>MTDC OSA</td>
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<tr>
<td>MTDC OIA</td>
</tr>
</tbody>
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Professional Development Opportunities

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

- **Other Training Opportunities can be found and registered for at:**
  http://finance.duke.edu/research/training/index.php

- **2014 Symposium for Research Administrators – November 19, 2014**

**Professional Organizations:**
- May 3-7, 2014 - NCURA Region iii Spring Meeting – St. Pete Beach, FL
- August 10-13, 2014 – NCURA Annual Meeting – Washington, DC
- October 18-22, 2014 - SRA International Annual Meeting – San Diego, CA

**Next ORA Meeting Dates (Tentative)**
- July 17, 2014
- October 16, 2014

ORA Personnel Update

**Arrivals**
- Brittany Painter – Staff Specialist
- Danielle Robinson – Research Administrator

**Departures**
- Jennifer McGinnis

**On Leave**
- Solita Denard

**Open Positions**
- Research Administrator
Update on RCC Certificate Programs

Julie B. Cole, MA, CRA
Director, Research Costing Compliance

Questions?
Please state your name and department. 😊