Quarterly Research Administrators Meeting
Office of Research Administration
January 29, 2015

Agenda

- ORA News & Reminders
  - RPPR vs SNAP
  - New SIR Form
  - Administrative Action Request Form
  - F&A Rates
  - FB Rates
  - Relinquishing an NIH award
  - Modular Award Change
  - Helpful Tips and Reminders Rebudgeting/CAS Form
  - SPS Web Updates
  - Grants.Duke
- Sponsor Related News and/or Tidbits
  - Grants.Gov
  - NIH Notices
- Miscellaneous News and/or Tidbits
  - Professional Development
  - ORA Personnel Updates
ORA News & Reminders

RPPR Submission vs. SNAP Awards

- Note, due date for Non-SNAP Progress Reports is (60) days prior to the next starting budget period date

- Note, requirement to use RPPR does not change the (60) days prior to the next starting budget period date requirement

- Note, the (45) days prior to the next starting budget period are for SNAP only Progress Reports
ORA has created a new SIR for site agreements, or those based on capitation/milestone payments. Upon submission of the form, we may contact you for further information.

**Issue a capitation (site) agreement**

- **Name:**
- **Email:**

**Site Info:**
- **site:**
- **site id:**
- **site name:**
- **site info:**
- **site id:**

**Payment Information:**
- **Payment methods:**

Please tell us how you would like payments to be made (e.g., payments automatically sent weekly, etc.)

**Messaging/Communication:**
- **Message:**

Additional contact information may be provided by the program.

**Administrative Action Request Form**

**When To Use or Not To Use**

- **Award Information**
  - **RIPN Number:**
  - **Sponsor:**
  - **F3 Name:**
  - **NWB:**

**Type of Action Requested (more than one can be selected):**
- Award Notice/Letter
- Close or Reopen
- Close out Document
- Effort Change Request (Select a Change Request)
- amendment/EDS (Select a Change Request)
- Other (please specify)

**OIR Research Administrative Contact:**

**Comments:**
FY16 Projected FB Rates – Announcement and SPS Update

From: Beth S. Whirfield
Date: January 6, 2015
Re: Fringe Benefit Rates

Preliminary fringe benefit rates for FY 15/16 have been developed and delivered but have NOT yet been approved by the Department of Health and Human Services (DHHS). The FY 15/16 rates were reviewed by Oracle FMS. These fringe rates (shown below) should be used for budgeting and long-range planning purposes. Please note, the FY16 and FY17 rates are projections, and in light of economic uncertainty and possible regulatory changes these projections could potentially change. I will notify you as soon as the FY 15/16 rates have been approved by DHHS.

<table>
<thead>
<tr>
<th></th>
<th>FY 15/16 Projected Non-Federal</th>
<th>FY 15/16 Projected Federal</th>
<th>FY 16/17 Projected Non-Federal</th>
<th>FY 16/17 Projected Federal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty</td>
<td>25.0%</td>
<td>23.0%</td>
<td>26.3%</td>
<td>24.3%</td>
</tr>
<tr>
<td>Monthly Staff</td>
<td>16.4%</td>
<td>16.4%</td>
<td>18.2%</td>
<td>18.2%</td>
</tr>
<tr>
<td>Hourly Staff</td>
<td>22.9%</td>
<td>21.3%</td>
<td>25.3%</td>
<td>24.7%</td>
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<tr>
<td>Students</td>
<td>7.7%</td>
<td>7.7%</td>
<td>7.7%</td>
<td>7.7%</td>
</tr>
<tr>
<td>PhD Students</td>
<td>9.1%</td>
<td>9.1%</td>
<td>8.0%</td>
<td>8.0%</td>
</tr>
</tbody>
</table>

Note:
1) The “Federal” rates will be used for federal grants and contracts, Duke Regional Hospital (Co 0050), Duke Raleigh Hospital (Co 0060), and Associated Health Systems (Co 0071). The differentiation between Federal and Non-Federal reflects elimination of participation and reimbursement of the child tuition grant benefit program for the active non-federally funded entities.
2) The “Non-Federal” rates will be used for all other entities excluding non-federal grants, contracts, departments, etc.

Relinquishing an NIH award

- PI’s responsibility to work with his/her Grant Mgr. to submit relinquishing form to ORA via the Administrative Action link on the ORA Website

- The relinquishing notice is to only include the funds awarded on the latest NoA for the current year
  - Do not include carryover for previous years
  - Any carryover funds will transfer to the new Institution when the Grant transfers.

- The following is the error received on Commons when an incorrect amount has been entered:
  - The direct costs/indirect costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.
Relinquishing an NIH award (cont’d)

➢ For an NIH grant, the Relinquishment Form (HHS Form 3734) comes to ORA Research Administrator via Administrative Action Request.
  ➢ Department must insert Unexpended Balance Amount (ORA will no longer require proof of OSP Approval)
  ➢ Department must note the effective date of the relinquishment
  ➢ Department must provide the name of the New Institution, and contact email address of new Institution’s Business Office

➢ The following is a helpful link to understand the NIH process:

**NOTE: The end date in SPS or SAP/R3 will not be changed until the revised NoA has been received. **

Change in Modular Award Process

Modular Budget at time of Award

➢ ORA no longer require internal categorical budget at time of award

➢ SAP/R3 will be set up with all other funds (other than salary and fringe) in the G/L for Miscellaneous

➢ After the plan is set up in R3, a Rebudget/CAS should be processed if necessary
Some FAQs:

Q: Can RAD Help find or return a lost Rebudget\CAS form?
A: No! RAD cannot do anything to get the form returned to you, that can only be done by the person who currently has the form in their Universal Worklist (UWL) for approval.

Q: Where is the Rebudget\CAS that I submitted last month?
A: Where the form is sitting is visible only to the initiator.

Q: My PI cannot approve a Rebudget\CAS that has been routed to him/her. Help?
A #1: The likely reason the PI cannot see either the approval button or the return button is that they are not opening the form and scrolling down to the bottom to see these buttons. A number of folks have said that PI’s cannot see the approval button it has been because they are not opening the form. They are looking for the approval button in their UWL.

A #2: If they have trouble opening the form to see the buttons then it is likely a browser problem and they should make sure they’re using Internet Explorer or Firefox and have any pop-up blockers turned off – there is a guide on optimal browser settings that RCC has on their website.

A: #3 – The PI’s Tray may be collapsed.
Helpful Tips and Reminders
Rebudgeting/CAS Form
(cont’d)

The following helpful documents can be found on Financial Services, Research Compliance & Reporting, Forms & Resources, Step-by-Step Guides & Manuals: https://finance.duke.edu/research/forms-resources/steps.php

SPS Web Updates

Sound the Horns! The long awaited Transition has occurred. All users now have editing rights in SPS Web!

SPS Web Url: https://radapps.duke.edu/sb/

SPS Web Proposals 6.8 was released 12/10/14. It contains the following enhancements and bug fixes:

- Support for editing in the RFSC state
- Read-only access for central officials
- Salary rows are correctly copied when multiple TBDs exist

ORA and ORS offer training for SPS Web and also have SPS Web Demo slides posted to our respective websites.

Support of Complex Projects in SPS and Grants.Duke

Coming soon to SPS Web!
- Read-only access for New and Competing Renewal Program Project Grants (PPGs)
- Routing support for PPGs
- Printing of DPAFs for both Composites and Minis

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 mail to ori-rad@dm.duke.edu to request continued access to SPS legacy.**

Grants.Duke

Grants.Duke 6.2 released on 12/18/14. It contains the following enhancements:
- Support for attaching Other Explanatory Documentation (Item 18 of the SF424 R&R Cover Sheet). **Note:** A warning will be generated on the Check page if Other Explanatory Documentation has been attached.
- Changed the label for the Other Attachment rows from “Other Attachment 1” to “Item 12 – Other Attachment 1”, etc.
- Generate a warning on the Check page if the sponsor is DHHS (or one of its children) and one or more Subcontractors have been listed in the non-Duke Roster and a Consortium/Contractual Arrangements PDF has not been attached
- Added text to the Bio-sketch attachment pop-up to alert users that NIH and AHRQ are moving to a new biosketch format for all submissions due on or after 5/25/2015
- Generate a warning on the Check page if the sponsor is NIH or AHRQ to alert users that both sponsors are moving to a new biosketch format for all submissions due on or after 5/25/2015
Social Security Numbers must be removed from any document that is to be attached in SPS, SPS Web and/or Grants.Duke. Including SSNs in documents that are stored in the SPS database is a violation of Duke policy governing the collection, storage and use of SSNs.

ORA does not require SSNs for Intergovernmental Personnel Act (IPA) forms.

The policy can be found: [http://security.duke.edu/duke-policy-ssn-usage](http://security.duke.edu/duke-policy-ssn-usage)

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Don’t FORGET!

**Sponsor Related News and/or Tidbits**
The Grants.gov Production Environment will be **Offline** Saturday February 14, 2015, through Monday February 16, 2015 for scheduled maintenance.

The downtime is planned to begin Saturday February 14, 2015 at 12:01 AM EDT, and will end Tuesday February 17, 2015 at 6:00 AM EDT.

This is dictated by Grants.gov

You can continue to work in SPS and Grants.Duke while Grants.gov is down. However, you should not attempt to submit applications during the scheduled downtime.

Share this information with your Faculty, plan accordingly and communicate with your designated ORA RA.

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**Summary**

The National Institutes of Health (NIH) announces the final Genomic Data Sharing (GDS) Policy that promotes sharing, for research purposes, of large-scale human and non-human genomic data generated from NIH-funded research.

**Introduction**

Sharing research data supports the NIH mission and is essential to facilitate the translation of research results into knowledge, products, and procedures that improve human health.
NIH Genomic Data Sharing Policy (cont’d)

NOT-OD-14-124:

Scope and Applicability
- NIH has revised the Scope and Applicability section to help clarify the types of research to which the Policy is intended to apply.
- The statement of scope remains intentionally general enough to accommodate the evolving nature of genomic technologies and the broad range of research that generates genomic data.
- It also allows for the possibility that individual NIH Institutes or Centers (IC) may choose on a case-by-case basis to apply the Policy to projects generating data on a smaller scale depending on the state of the science, the needs of the research community, and the programmatic priorities of the IC.
- The Policy applies to research funded in part or in total by NIH if NIH funding supports the generation of the genomic data.
- Investigators with questions about whether the Policy applies to their current or proposed research should consult the relevant Program Official or Program Officer or the IC’s Genomic Program Administrator (GPA).

NOT-OD-14-129:

To facilitate the electronic processing of Individual Fellowship grants, NIH & AHRQ now require a valid eRA Commons Username to be included for the primary Sponsor designated on competing Individual Fellowship grant applications.
- eRA Commons IDs for personnel designated as Co-sponsors remains optional.
- Provide a valid Commons Username with the 'Sponsor' role in the Credential field.
  - Note: that if the sponsor has an existing eRA Commons account with the PI or other scientific roles, the 'Sponsor' role should be added to the existing account rather than creating a new account.
NOT-OD-14-129:

For those of you keeping score... eRA Commons IDs are now required on competing grant applications for:
- Contact Project Director/Principal Investigator (PD/PI)
- Multiple PD/PIs (must use the PD/PI role)
- Fellowship Sponsor/Mentors
- Component leads on multi-project applications

For all other Sr/Key personnel, including the Commons ID in the Credential field of the R&R Sr/Key Person Profile form is optional, though encouraged if you have the information handy.

NOT-OD-15-017:

Purpose
- Policy issued on September 24, 2014 and addresses Institutional oversight of Life Sciences Dual Use Research of Concern (DURC)
- Institutions have one year (until September 24, 2015) to establish the necessary infrastructure

Background
- Dual use research of concern (DURC) is defined as "life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, materiel, or national security."
- Policy applies to all research projects (regardless of funding source) that involve one or more of 15 listed agents and toxins and are conducted at or sponsored by an organization that receives Federal support for life sciences research
Background
- Policy requires that institutions review research involving these agents to determine whether it can be anticipated to result in specified experimental effects, and if so, whether these projects constitute DURC.
- Policy specifies the responsibilities of Principal Investigators, the Institutional Contact for Dual Use Research of Concern, the Institutional Review Entity.

NIH Policy and Implementation
- Policy applies to all New and Renewal awards issued on or after January 25, 2015, and to all non-competing continuation awards issued on or after January 25, 2015.
- Institutions should reference the actual policy, available at http://www.phe.gov/s3/dualuse, for a comprehensive listing of those requirements.

NIH Policy and Implementation (cont’d)
- Notably, by September 24, 2015, institutions must establish a standing Institutional Review Entity (IRE).
- Starting on that date, the IRE will be required to identify DURC as described by the scope of the Policy and assess such research for the benefits and risks associated with its conduct and communication.

What You Should Know and Take Away:
- Institutional Biosafety Committee (IBC) will not oversee this activity. IBC reviews all research covered by NIH Guidelines on recombinant and synthetic nucleic acid research.
- Institutional Biosafety Peer Review Committee (PRC) – new Committee and will serve as Duke’s Institutional Review Entity (IRE).
- PRC policy and guidelines are currently being drafted.
- List of the (15) select agents and toxins:
**Biographical Sketch Format**

**NOT-OD-15-032:**


- Submitted on or after May 25, 2015 for NIH and AHRQ.
- New format extends the page limit from 4 to 5 pages.
- PI can describe up to 5 of their most significant contributions to science (1/2 Page each):
  - indicate the historical background
  - influence of the finding(s) on the progress of science or application to health/technology
  - PI's role in the described work
  - Up to four Peer-reviewed publications or other research product may be listed for each contribution.
- Below is the link to the new biographical sketch instructions and sample biosketch.

**Simplifying the NIH Policy for Late Application Submission**

**NOT-OD-15-039:**


- NIH will consider accepting applications within the two-week window following the application due date if an acceptable reason is provided. Policy is effective for applications submitted for due dates on or after January 25, 2015.
- Policy will not be applied retroactively.
- Any reasons for late submission must be in relation to the individual(s) with the PD/PI role on the application.
- For multiple PD/PI (MPI) applications, the reasons may apply to any or all of the PD/PIs.

**NIH will not consider accepting late applications under the following circumstances:**

- RFAs that must be reviewed on a compressed timeline and that have declared, in the Application Due Date field, No late applications will be accepted for this Funding Opportunity Announcement.
- New Investigator R01 applications resubmitted on special due dates (April 10, August 10, and December 10) as part of the New Investigator Initiative (http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-001.html) because the submission deadline for these applications has already been extended by several weeks.
NRSA FFY15 Stipend Level

**NOT-OD-15-048:**

- Effective October 1, 2014 the stipends for NRSA Awards will increase (New Stipend Level Tables contained in the Notice)
- Tuition/fees, training related expenses and the institutional allowance remains unchanged
- All FY2015 awards previously issued using FY2014 stipend levels will be adjusted to the FY2015 level
- Increased NRSA stipends should be used in all future competing and non-competing institutional training grants and individual fellowship applications.

NIH Salary Cap

**NOT-OD-15-049:**

- Effective January 11, 2015, Executive Level II of the Federal Executive pay scale increased from $181,500 to $183,300. The notice contains questions & answers about the cap and provides examples of adjustments NIH will make when salaries exceed the current salary cap.
NIH Fiscal Policy for
Grant Awards - FY2015

NOT-OD-15-050:

- Non-competing continuation awards that have already been made in FY 2015 were generally funded at levels below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level) as described in NOT-OD-15-001.
- Such reductions may be fully or partially restored, depending on the Institute or Center.
- Non-competing continuation grants (research and non-research) including those that remain to be issued in FY 2015 likely will be made within the range between the commitment level indicated on the Notice of Award and 3 percent below that level.
- Out-year commitments for continuation awards in FY 2016 and beyond will remain unchanged.
- The NIH awarding Institutes/Centers (IC) will develop and post their fiscal policies consistent with overall NIH goals and available FY 2015 funds.

- Ruth L. Kirschstein National Research Service Awards (NRSA):
  - Already addressed in earlier slide

- New Investigators:
  - NIH will continue to support new investigators on R01 equivalent awards at success rates comparable to that of established investigators submitting new (Type 1) R01 equivalent applications.

- Salary Limits:
  - Already addressed in earlier slide
Training Opportunities can be found and registered at: http://finance.duke.edu/research/training/index.php

Professional Organizations:
- NIH Regional Seminar on Program Funding & Grants Administration in Baltimore, MD, May 6-8, 2015
- NCURA Pre-Award Research Administration (PRA) in Orlando, FL, March 2-4, 2015
- NCURA Financial Research Administration (FRA) in Orlando, FL, March 5-7, 2015
- SRA 2015 North Carolina Chapter Meeting in Concord, NC, March 9 – 11, 2015 at the Embassy Suites Gold and Resort Spa

Next ORA Meeting Dates
- April 9, 2015
Arrivals

- Eric Cannon – Research Administrator (RA)
- Jonathan Law – Research Administrator Manager (RAM)
- Michael Dickman – Associate Director
- Rachel Monteverdi – Training Coordinator

Departures

- Tuyen Phan - GMT

On Leave

- Solita Denard

Questions?

Please state your name and department