RACI Closeout & Implementation Teams
- Moria Montalbano, Zarrin Brooks, Klugh Jordan, Blake Perrault, Darrell Queen, and Paige Smith
  - Team Updates
  - NCE Demonstration

Research Cost and Compliance (RCC)
- Julie Cole
  - CAS Process Update

Office of Research Administration (ORA)
- Michael Dickman
  - ORA News & Reminders
  - Sponsor Related News and/or Tidbits
  - Miscellaneous News and/or Tidbits
Closeout Project Update

January 21, 2016
ORA Quarterly Meeting

Moria Montalbano, SOM Implementation Team
and Closeout Project Team

Agenda

Reminders
- Enhanced ZF114
- Extended Closeout Docs Due Date for ‘120 Day Projects’

Updates
- Closeout Tasklist/PI Attestation v4 and Resources
- Final Subrecipient Invoice Process
- NCE Requests
Enhanced ZF114

How’s it going?

- Good job moving toward Clean Close
  - Avg. 75-80% of submissions without anticipated activity
  - Next Step: improving on-time submissions
- Common questions
  - Why is there not a breakdown of allowable/unallowable?
  - No PDF, no signatures, really?

*ZF114 Transactions After End Date Quick Reference Guide* is available at https://finance.duke.edu/research/training/other.php?type=r&

Extended Closeout Docs Due Date for ‘120 Day Projects’

Verify the departmental due date – you may have more time...

- Closeout Docs Due Date can be found in:
  - ZF600: Sponsored Research Closeouts
  - Projects Approaching End Date
  - Project Obligation
- To date, field has been updated for projects ending through Sept 2016
Closeout Tasklist/PI Attestation v4

What’s new or notable?

• WBSE Backstop Code
  - If you need to update, change it in Master Data, not on tasklist; tasklist field no longer editable

• Project Balance
  - Required on PI Attestation for Parent WBSE only and includes all subcodes
  - WBSE Balance is on the tasklist
  - Project Balance Calculator and Quick Reference Guide

[Project Balance Calculator and Quick Reference Guide are available at https://finance.duke.edu/research/training/other.php]

And now, a preview...
Closeout Tasklist/PI Attestation v4

What’s new or notable?

• Programmatic Reporting
  - Be aware of sponsor deadlines and notify PI of final programmatic requirements
  - For NIH projects, Quick Reference Guides available that cover the eRA Commons process of submitting and verifying the final progress report and final invention statement

Programmatic Reporting (NIH only) Quick Reference Guides are available at https://finance.duke.edu/research/training/other.php

Additional Resources

• Closeout Tasklist Step by Step Guide
  - Companion document that details the context and goal of each tasklist section and action item with links to related resources
  - Will be available online at the end of January 2016

• Pre-Submission Emails from Implementation Team
  - Alert GM1 of action items (payroll, POs, workflow items)
  - Copy cross departmental individual responsible for payroll action
  - Let us know if you are experiencing issues in advance of the due date. Maybe we can help....
Final Subrecipient Invoice Process

Modified Process (*effective Jan 20, 2016*)

- eAP Check Request (eCR) routed to business units regardless of PI Attestation completion
- eCR comments indicate if invoice is FINAL or LATE FINAL
- Follow local business process regarding PI approval of payment
  - *Process may vary for ON-TIME vs. LATE final sub invoices*
- PI Attestation still required by Closeout Docs Due Date, along with Tasklist and ZF114 / Obligations Worksheet *(if applicable)*

**AP Check Request Approval for Subrecipient Final Invoices Quick Reference Guide**
is available at [https://finance.duke.edu/research/training/other.php](https://finance.duke.edu/research/training/other.php)

NCE Requests

**NCE Request Form in SPS Web (anticipated Feb 2016)**

- Consistent, simplified and transparent process linked to SPS Award information
- Eliminates need to submit NCE requests via Admin Action
- Functionality includes email notifications, status tracking and supporting doc attachments
- Differentiates between Duke-approved and Sponsor-approved requests
- Supports consecutive NCEs per project and limits to one pending request
NCE Requests

NCE Checklist and Procedures

- Summarizes items to be reviewed/confirmed when requesting a NCE
- SPS Request Form requires affirmation but checklist not required by ORA (follow local business process)
- Details timeline expectations for all offices
  - NCE requests due to ORA/DOCR 15 business days prior to Sponsor due date or project end date, whichever is earlier
  - REMINDER: NIH accepts NCE Requests as early as 90 days prior to end date
- Additional resources: Video and Quick Reference Guide
  - Links will be available when tool goes live in February

And now, a preview...
Questions?

Sponsor Related News and/or Tidbits
### NIH NCE

#### NIH GPS Sec 8.1.1.3

- **May extend a grant if:**
  - Additional funds are not required by NIH
  - No change in project’s originally approved scope

- **Extension warranted if:**
  - Additional time required to complete original aims
  - Competing continuation application under review
  - Orderly phase-out a project that is ending
  - NOTE: ‘The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds.’

#### Extending an award in eRA Commons

- Allowed for first-time extension
- Link is accessible 90 days before project end date and is removed at midnight of project end date
- Required for first time NCE requests
- Extensions can be requested in 1 month increments up to 12 months
- Required to update human subjects and animal welfare, if applicable
- Additional extensions require prior sponsor approval
**NIH NCE**

**Effort Reduction in NIH NCE**

- Prior sponsor approval is no longer required
  - Unless effort requirement exists
  - Specific terms and conditions may prohibit
- Does that mean sponsor key effort can be reduced to ‘0’?
  - NIH requires that active awards have ‘measurable effort’
- Effort reduction form is required to reflect effort changes in SES
  ([http://research.som.duke.edu/research-administration/grant-administration/forms](http://research.som.duke.edu/research-administration/grant-administration/forms))

**NIH Salary Cap**

**NIH Executive Level II (NOT-OD-16-045)**

- Effective January 10th, 2016
- Annual Rate of $185,100
  - Increased from $183,300
- Provides maximum salary cap rate that can be awarded and charged to NIH grants and contracts
- For the purposes of the salary limitation
  - "direct salary," “salary,” and “institutional base salary” have the same meaning
  - exclusive of fringe benefits and facilities and administrative (F&A) expenses.
Q: Will grantees be permitted to submit revised categorical budgets reflecting higher base salaries?

A: Not as a general rule. NIH policy for categorical budgets states that grantees should always reflect actual base salaries in the requested budgets or provide an explanation indicating that actual institutional base salary exceeds the current salary limitation. As a general rule, NIH will use the information available in the existing application and make adjustments for the salary cap based on information available at the time of award.

Q: Can I rebudget grant funds or charge contracts issued in prior years (see Salary Cap Summary, FY 1990 – FY 2016) funds to allow for the 2016 salary cap increase?

A: Yes, provided funds are available and the increase is warranted. Prorated figures should be used for the applicable months, i.e., the $185,100 level is effective beginning January 10, 2016.
Calculating salary using the NIH Salary Cap Rate

- Max NIH Salary Cap Rate $185,100
- NIH Salary Cap Rate is pro-rated for individuals with less than a full time appointment
- Salary paid to an individual that exceeds the NIH salary cap rate must be covered by other non-federal unrestricted codes on all NIH sponsored grants.

**Example 1**
Individual with Full-Time Appointment (based on grant award/contract issued on or after January 10, 2016 with salary limitation of $185,100)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual's institutional base salary for a FULL-TIME calendar year appointment - <strong>1.0FTE (12 Months)</strong></td>
<td>$200,000</td>
</tr>
<tr>
<td>Research effort requested in application/proposal</td>
<td>6 months</td>
</tr>
<tr>
<td>Direct Salary requested</td>
<td>$100,000</td>
</tr>
<tr>
<td>If a grant/contract is to be funded, the amount included for the above individual will be calculated as follows:</td>
<td></td>
</tr>
<tr>
<td>Direct salary - restricted to a RATE of</td>
<td>$185,100</td>
</tr>
<tr>
<td>Divided by 12 months multiplied by 6 months (50%)</td>
<td>$92,550</td>
</tr>
<tr>
<td>Amount of reduction due to salary limitation and to be covered by unrestricted funds</td>
<td>$7,450</td>
</tr>
</tbody>
</table>
NIH Salary Cap

Example 2
Individual with Half-Time Appointment (based on a grant award/contract issued on or after January 10, 2016 with salary limitation of $185,100)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual's institutional base salary for a HALF-TIME calendar year appointment - 0.5FTE (6 Months)</td>
<td>$100,000</td>
</tr>
<tr>
<td>Research effort requested in application/proposal</td>
<td>1.8 Months (30%)</td>
</tr>
<tr>
<td>Direct Salary requested</td>
<td>$30,000</td>
</tr>
<tr>
<td>If a grant/contract is to be funded, the amount included in the award for the above individual will be calculated as follows:</td>
<td></td>
</tr>
<tr>
<td>Direct salary - restricted to a RATE of</td>
<td>$92,550</td>
</tr>
<tr>
<td>Divided by 6 months multiplied by 1.8 months (30%)</td>
<td>$27,765</td>
</tr>
<tr>
<td>Amount of reduction due to salary limitation and to be covered by unrestricted funds</td>
<td>$2,235</td>
</tr>
</tbody>
</table>

K Award Salary and Research Costs

- K08 and K23 Career Development Awards (NOT-OD-16-032)
  - Effective for New (Type 1) applications due Feb 12, 2016
  - Institutes and Centers (IC) will contribute up to 100K
  - IC discretion to annually increase salary and research cost contributions
  - K08:http://grants.nih.gov/grants/guide/contacts/parent_K08.html
## 2016 NIH Application Changes

**NIH & AHRQ Announce Upcoming Changes to Policies, Instructions and Forms for 2016 Grant Applications (NOT-OD-16-004)**

- **Phase 1:** Implements a subset of the policy changes using existing (FORMS-C) forms and updated instructions and will impact due dates on or after January 25, 2016.
  - Definition of a child
  - Additional rigor and transparency considerations in review process

- **Phase 2:** Completes the implementation with the introduction of new (FORMS-D) forms and instructions and will impact due dates on or after May 25, 2016.
  - Biosketch Clarifications
  - Application Assignment Request Form
  - Changes to Training Grant Tables

## Miscellaneous News and/or Tidbits
The National Weather Service has issued a Winter Storm Warning from Friday, Jan. 22, until 6 p.m. Saturday, Jan. 23.

Gov. Pat McCrory declared a state of emergency Thursday ahead of a winter storm.

Duke officials are closely monitoring forecasts, which include snow, sleet and freezing rain beginning in the early morning hours on Friday and continuing through Saturday.
**Timely Submission of iForms**

- iForms submitted more than 180 days after end of relevant pay period are untimely
  - The effort should always be reported in the code(s) to which it belongs; however,
  - The federal government will not reimburse Duke for untimely costs
    - These costs must be borne by the department
    - Very few exceptions
- Do not wait until the cutoff date to submit untimely iForms and expect them immediately to be processed
  - Notify ORA’s GMT if you expect to submit a large number of iForms in a short period

**Overdraft Process Changes**

**Changes to Metric Process:**

- Unacceptable Institutional Risk (UIR)
  - Overdrafts of $20k+ for more than 3 months
  - Reviewed as of December 31\(^{st}\) and June 30\(^{th}\)
- Departments will have until the end of the next fiscal quarter to obtain central administration approval of the expected UIR
  - Requests for approval are to be sent to the GMT for initial review
  - Untimely requests will count against the department in the metrics report.
**Overdraft Process Changes**

- See SOM Finance and Resource Planning intranet for Guidelines
  - [https://intranet.medschool.duke.edu/depts/admin/finance/Tools/Overdraft](https://intranet.medschool.duke.edu/depts/admin/finance/Tools/Overdraft)
- The monthly review of all overdrafts >$100k (OSS Report) will continue as before

**SPS Web – What’s New?**

- PDF Attachment for Non-competing Renewals
- RAAC-requested changes to assist in Other Support generation, including addition of:
  - Major goals statement
  - Abbreviated aims statement (for DoD OS)
  - Agency contact info (for DoD OS)
- Check to ensure we support required forms for proposals that will be submitted in Grants.Duke (as FOA is added or S2S flag is set to Yes)
## RAD Updates

### SPS Web – Coming Soon!
- Support for No-Cost Extension Requests (Feb 2016)
- Use of Prime Sponsor to drive business rules in the budget (e.g., fringe rates)

### Grants. Duke – What’s New?
- Support for DoD Project Abstract template
- Support for NIH OT1 Pre-applications

## Federal Contracting

### Small Business Subcontracting Plan (SBSP) Performance: Post-Award
- Procurement develops the SBSP with input from PI and Department
- The award recipients (PI and Department) are ultimately responsible for compliance and performance under the Plan.
  - Each April & October, Duke submits to the awarding agency a performance review with respect to small business participation and compliance with the SBSP. This review permanently impacts the ultimate performance of the contract and Duke’s award reliability rating.
  - The awarding agency can request a small business performance report at any time during the contract.
  - Maximum practicable opportunities to small businesses must be proven with demonstrated outreach and communication.
- It is expected, and imperative, that contract spending be monitored *monthly* by Grant Managers to ensure that the vendors identified in the SBSP are utilized as indicated in the plan!
- Questions? Contact Mary Crawford, Procurement mary.b.crawford@duke.edu

"When a contractor fails to make a good faith effort to comply with a subcontracting plan, these objectives are not achieved, and 15 U.S.C. 637(d) (4) (F) directs that liquidated damages shall be paid by the contractor." – HHS SBSP Verbiage
Professional Development Opportunities

• Duke Education & Training Opportunities can be found and registered at:

• Professional Conferences:
  – SRA Southern Section – New York, NY; February 28, 2016
  – NCURA FRA & PRA – New Orleans, LA; March 6-11, 2016
  – NCURA Region III – Miramar, FL; April 29 - May 4, 2016
  – NIH Regional – Baltimore, MD; May 11-13, 2016

• Next RA Quarterly Meeting Dates
  – April 21, 2016 – 1:30p

ORA Personnel Update

• Arrivals
  – Broderick Grady, Assoc. Dir. International
  – Solita Denard
  – Katherine Scott (RAM)
  – TBN (Research Administrator/Contracts)
  – TBN (Research Administrator/Contracts)
  – TBD (Staff Specialist)

• Departures
  – Brittany Painter
  – Jim Lux
  – Seattle Seahawks
  – Arizona Cardinals
  – TBD
LMS Registration & Credit

Patience with the Process, Please

- If you are not on the roster &/or signed up less than 2 business days prior to our meeting, give us 2 business days to add you to the system (remember to sign in legibly & with Net ID)

- Those who did not sign in will be listed as 'no shows' in LMS within 3 business days ($100 fee N/A)

- Note: The credit should be listed in LMS within 14 days after survey is completed

Questions?

Please state your name and department