Quarterly Research Administrators Meeting
Office of Research Administration
July 31, 2014

“What is a Research Administrator?”
VIDEO
http://vimeo.com/5003895
WORLD CUP VIDEO

https://www.youtube.com/watch?v=6WO71e0XLqs

Agenda

- ORA News & Reminders
- SPS Web
- Wavier Request
- Email Correspondence
- Federal Employees as Consultants
- Award Setup
- WBSE Request
- SIR
- Communication
- CAS Rebudgeting
- Buy@Duke
- IRB Approvals
- Relinquishing Statements
- Complex Projects and Grants.Duke
- F&A Rates

- Sponsor Related News and/or Tidbits
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  - eRA Commons
  - PRAM
  - RePORT
  - Development Opportunities
  - Personnel Updates
- General Updates and Closing Remarks
ORA News & Reminders

SPS on the Web

You will be required to begin using SPS Web in October 2014.

- SPS Web Demo sessions will be provided in August.
  a) To register, contact Denise Wynn (denise.wynn@duke.edu)

- 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.
F&A Waiver Requests

Effectively Immediately

- Requests are to be sent to Lisa Varani
  <lisa.varani@duke.edu>
- Requests should include:
  - PI
  - SPS #
  - Sponsor
  - Total Direct Costs
  - Brief description of Project including location of work

Please refer to Memorandum dated July 22, 2014 from Scott Gibson

Help us to help you ...

Effective immediately, at a minimum ORA is requesting all email correspondence sent to ORA personnel or generic email addresses include a subject line containing the following information:

- Applicable SPS Number (if not available use grant number)
- PI Name
- WBSE (if applicable/available)

Example:
- **Subject:** SPS 012345 / Jones, Tom / 301-1234 / Carryover

Suggest disclosing your expectations (i.e., what do you want and when do you want it by. Be realistic!
Engaging Federal Employees as Consultants

- Federal Employees have very strict requirements on outside employment, especially when acting on federal grants/contracts?

Part II, Subpart B, Section 17 of the NIH Grants Policy Statement speaks to payments to federal employees under grants. Please consult Section 17.6 for further information.

If you are interested in using a federal employee on your project, please let ORA know prior to engaging them. Generally, this would need to be disclosed in your proposal.

Award Setup - Verification

Please check the master data and plan (budget) information in SAP/R3 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 assigned ORA RA and/or OSP Liaison of any discrepancies so they may be corrected.
**WBSE (Fund Code) Request Process**

**Who is responsible for Overall management of an Award?**

- **Owning Department**
  - Any additional WBSE/Fund Codes (i.e., Children Codes) as a result of project in other Depts., Campus and/or Subawards are required to be submitted through the Owning Department.

  **EXCEPTION:** This process does not apply to DCRI Duke-As-A-Site (DAAS) Projects.

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**NEW Streamlined Subrecipient Initiation Request (SIR) process!**

On July 1, 2014, ORA implemented a new SIR format on our website. This new format requires less information and is based on the action needed. Choices are:

- **Issue a new agreement** – First time subs and non-competing subs where carry forward is not automatic.
- **Amend an existing agreement** – i.e. provide additional funding during the current budget period, modify a term, etc.
- **Issue a no-cost extension** – for addition of time only.
- **Terminate an agreement** – to end an agreement before the contract end date.

Please contact Erin Thacker if you need assistance with your choice!
Communication, Communication

What your RA Should Know ...

What types of changes should your RA be notified of (not all inclusive)?

- Changes in PI and/or “Duke” key personnel on current research projects
- Changes in departmental organizational status (i.e., mergers, disbanding)
- Changes in Project scope
- Engaging domestic and/or foreign components/institutions as subcontractors (may require Sponsor approval)
- Significant reductions in effort (i.e., for NIH projects, reduction of effort by 25% or more for Key personnel listed within the NOA)
- PI and/or Key personnel (both Duke and/or Sponsor) transferring (i.e., coming or going) or the retirement or passing of
- Significant rebudgeting which requires sponsor approval (refer to terms and conditions of the award)
- Changes to budget and project dates (i.e., NCEs, early terminations)

Communication, Communication

(cont’d)

What your RA Should Know ...

In the event there are sudden changes in PI or key personnel staff that directly affect current projects, full disclosure of this information to ORA is necessary to ensure that terms and conditions of award are adhered to ...

Example #1: PI is working on a current (Duke) research project that has already been awarded by the sponsor. Due to unforeseen circumstances, the PI will be absent (e.g., medical leave, sabbatical) or unable to perform their responsibilities on the project. What should you do?

- Review terms and conditions of applicable the awards
- Inform your RA as soon as possible to help ensure that appropriate action is taken
- Provide your RA with all details of this change (e.g., date of absence, reason(s) for absence, plan of action, Chair’s position)
## Communication, Communication (cont’d)

### What your RA Should Know …

**Example #2**: PI has been awarded a grant from a sponsor (e.g., NIH) and then transfers to another university but still intends to serve as PI during initial transition. **What should you do?**

- Review sponsor guidelines and if applicable, the terms and conditions associated with the sponsor’s submission guidelines (e.g., FOA/RFA/PAR/PA)
- Full disclosure of the PI’s transfer needs to be conveyed to your RA
- The department needs to identify desired course of action (i.e., supportive or not supportive of PI’s intentions):
  - Guidelines and/or terms and conditions should support course of action and shared with ORA
  - ORA in conjunction with department are to agree on how to present issue to sponsor.
    - Elevate issue internally if course of action is not agreed upon.

### Communication, Communication (cont’d)

**How should the sponsor be informed of organizational and/or project changes?**

**Communication to sponsor**

- Review terms and conditions specific to award to ensure compliance (e.g., Contact person, methodology – written or email, with or without Institutional approval)
- Grant Manager or Designee draft’s action plan (i.e., letter)
- Collaborator with ORA to finalize formal communique with sponsor, if applicable
- Include via CC all parties
  - Please utilize ORA’s generic email address (gcmail@mc.duke.edu)
CAS Update

Effective July 1:

- Paper Rebudget Forms (Request for Rebudgeting of Funds document) will no longer be accepted by ORA and ORS. Use of the online form will be the only option.

- RCC will no longer distribute monthly Non-Compliant CAS Alerts to departments. Users will be able to run reports at their discretion. These reports provide “real time” data to support monthly review and remediation of outstanding non-compliant CAS charges.

Reminder: RCC will still issue CAS Final Remediation Write-off Reports on a monthly basis to SOM departments via the Grant Management Team (GMT) and Campus departments via the Associate Deans, per the already established process.

Buy@Duke G/L’s

- 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 GL is used to separately account for outside service agreements with organizations).
  - 622029 – Payments to Individuals (This GL 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).
Permissible Research –Related Activities
PRIOR To IRB Approvals

The following research-related activities may occur prior to IRB approval:

- Reviews Preparatory to Research (RPRs)
- Site qualification visits (SQVs)
- Investigator meetings
- ClinicalTrials.gov registration
- Ascertainment of potential subjects through chart reviews, DEDUCE queries, patient lists, etc.
  - NO recruitment and NO prospective screening
- Site initiation visit (SIV)
- Study-related training without patient contact
- Set-up of regulatory binders
- Set-up of Investigational Device Exemption (IDE) billing framework


Relinquishing Statements - Process

- Relinquishing Statements are generated by Grant Mgr. or designee.
- Utilizing SAP/R3 provide “estimated” unexpended balance as of the termination date
  - Break out amount by direct costs (DC) and F&A
  - Fill in all other information required via the form or sponsor guidelines
- Forward completed form to assigned ORA RA
- ORA’s RA will work with OSP who is responsible for approving the “estimated” unexpended balance
  - Suggestion: Rationale for estimated unexpended balance listed should be provided to aid in the processing, approval and submission of the Relinquishing Stmt.
  - **Example of rationale**: Estimated unexpended balance takes into consideration personnel salary and effort for months of June and July. In addition, Subrecipient will provide a final invoice of ($20k) prior to termination date.
Pilot for Complex Projects via Grants.Duke

- First pilot application was submitted successfully on 7/23/2014
  - Duke is the first institution to submit electronically using their own S2S interface!
  - Culmination of many months of scratching our heads, discovering, and forging ahead
  - MVP honors go to our awesome working group, the pilot group in surgery, and our friends at RAD and NIH

- Lessons learned
  - Expect the unexpected – time of transition for both Duke and NIH - for instance we encountered an issue with the use of an invalid file name which was specified in the FOA
  - Allow time to obtain policy clarifications where needed – several were necessary for pilot submission
  - Submit early to allow time to address issues

- Dependencies – things that cannot go electronically
  - No Program Income, No Human Subject Embryonic Stem Cells, No external projects that are done totally outside of Duke

- Plan for rollout
  - New Grants.Duke server available in mid-August – will include support for electronic submission of complex projects
  - Support for external projects will be provided in 2015

- Please work closely with your RA when setting up your record in SPS
Facilities and Administrative (F&A) Rate

- New Federally Negotiated F&A Rate Agreement (03/07/14)
  - FY15 = 57%
  - FY16 = 59%
  - FY17 = 59%

- For Non-competing applications, applicable F&A rate goes back to the F&A rate agreement in effect at the time the award (i.e., Type 1 or Type 2) was issued
  - 06/27/2013 F&A Rate Agreement
  - 05/15/2012 F&A Rate Agreement
  - 01/10/2011 F&A Rate Agreement
  - 05/10/2010 F&A Rate Agreement

Don’t FORGET!

Sponsor Related News and/or Tidbits
Charging National Science Foundation (NSF) Salary

- Salary for senior personnel charged to all NSF awards cannot exceed two months of the individual’s Institutional Base Salary (IBS) within an annual period.
  - NSF has allowed institutions to determine how they will calculate the “annual” period – either calendar or fiscal year.

- Duke has determined that the “annual period” for charging two months NSF salary will be the University’s fiscal year (July 1 – June 30) in keeping with other effort related practices such as effort certification.


eRA Commons Log-in’s

**eRA Commons User IDs to Graduate and Undergraduate Student Project Roles**

- Over the next year, NIH will start requiring an eRA Commons ID for all individuals in graduate and undergraduate student roles who participate in NIH-funded projects for at least one person month or more.

- Beginning on **October 18, 2013**, a warning will be generated when an RPPR is submitted that lists individuals in a graduate or undergraduate student role who have not established an eRA Commons ID.

- **BY October 2014**, RPPRs lacking the eRA Commons ID for Graduate and Undergraduate Students will receive an ERROR and the RPPR will not be accepted by the NIH without this information.
**eRA Commons Log-in’s (cont’d)**

**Who will create the log-in’s?**

*It is the department’s responsibility to create the log-in’s for the graduate and undergraduate students.*

The following roles can create accounts:
- Signing Official (SO)
- Account Administrator (AA)
- Administrative Official (AO)
- Business Official (BO)

*eRA Commons User Guide – Refer guide for screenshots*


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**PRAM**

**Progress Report Additional Materials**

**What is a PRAM?**

- The PRAM feature is on eRA Commons
- Allows the grantee to enter, review, and submit information in response to a specific NIH request after the RPPR has been submitted
- PRAM button is put in the Action column on the Status Page in Commons when a PI has non-compliant publications or when the GMO/PO requests information
- An PRAM email is sent to the PI and gcmail requesting the additional information
- PRAM needs to be submitted by an SO!

**Example of a PRAM request:**

A Duke PI has a multi PI R01 involving another entity. After processing the 02 yr. RPPR, Duke received a PRAM request from the GMO stating the subaward PI has to submit closing documents on an unrelated R01 (same NIH Institute) before an award would be issued.
Providing access to reports, data and analyses on NIH supported research activities
- Launched in 2008
- New features continually implemented since then!
- Past 25 years of project data available!

On RePORT you can find...

- Success rates
- NIH staff contacts
- Potential collaborators
- NIH-funded workforce data
- NIH grantees in your area
- Organizational funding information
Research Portfolio Online Reporting Tools (RePORT)

- How to find RePORT
  http://report.nih.gov

- Presentation at the June 2014 NIH Regional Seminar by Megan Columbus, Director, Division of Communications and Outreach and Nicole J. Garbarini, Ph.D., Media and Communications Specialist, Division of Communications and Outreach can be found at:
  http://grants.nih.gov/grants/regionalseminars/2014/docs/Presentations2014/Using_NIH%27s_RePORT_to_Your_Advantage.pptx

Professional Development Opportunities

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

- 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:
  – August 10-13, 2014 – NCURA Annual Meeting – Washington, DC
  – October 18-22, 2014 - SRA International Annual Meeting – San Diego, CA

- Next ORA Meeting Dates
  – October 9, 2014
  – January 29, 2015
Arrivals
- Roberta Moore – Research Administrator
- George Curnow – Research Administrator

Departures
- Laurie Henry
- Renita Wiley

On Leave
- Solita Denard

Open Positions
- Associate Director, Research Administration

Questions?
Please state your name and department