Campus Research Administration Meeting

March 2022
Agenda

Preaward: ORS
- Administrative updates
- SPS updates
- Communicating with sponsors

Post-award: CAMT & OPAA
- Recaps & Updates
- Closeout trends
- Future of campus communications
Let’s Talk Preaward

Updates & reminders impacting you
ORS Administrative Updates

- Funding Opportunities moves to the Duke Office of Research Initiatives (DORI)
  - Puts Funding Opportunities closer to the people working to assist with the development of competitive proposals.
  - Website will remain where it is for now and access will not change.
- Upgraded position to International Award Specialist.
  - Offer accepted, position filled.
  - New employee will remain in home state of California.
- Approval for new “contracting” FTE.
  - Still in development.
Intent to Submit: Purpose

- Intent to Submit (I2S) is a process required for all new and competing sponsored research applications.
- To be completed 15 business days prior to intended submission date.
  - Departments may have additional requirements.
- New rollout.
  - Updated form and tools released for institution-wide use.
  - April 2022 - All units will be required to use new I2S form.
Intent to Submit: Purpose

Activate support at the department level

Ensure that ORA/ORS is aware of submissions

myRESEARCHnavigators recommend resources and best practices

Goal: more efficient proposal development process

Increase chances of high quality, compliant application
Intent to Submit: Purpose

- Review 100% of submissions
- Make recommendations (templates, tools, resources, policies) and connections (did you know that...)
- Can do more with optional project planning intake & consultation

social science • basic research
• natural sciences • data science • clinical research
• engineering • environment
An Intent To Submit Form section will display on the Main page of the Main notebook.

An ‘Add Intent To Submit Form’ link will be displayed if the proposal is:

- Not a non-competing renewal or mini AND
- Being viewed by someone with access to edit the proposal AND
- In an editable state AND
- The PI has one or more Intent To Submit forms that have not already been linked to a proposal
SPS - Proposals

Proposal Information

Proposal ID: 263587
PD/PI Name: Jennifer C. Taylor
Sponsor: National Institutes of Health
Owning Duke Org: 6860010403 - Office of Research Informatics
P/PPP Duke Org: 6860010403 - Office of Research Informatics
Short Title: Testing IDS Form Link
Project Dates: 04/06/2022 - 04/05/2027
Initiated By: Jennifer C. Taylor

Proposal Attestations Not Yet Sent

Main Sponsor Admin Activity Clearances Federal Info Summary of Work

* Short Title: Testing IDS Form Link
* Full Title: Testing IDS Form Link
* Date Initialized: 03/16/2022

Intent To Submit Form

<table>
<thead>
<tr>
<th>Intent To Submit ID</th>
<th>Title</th>
<th>Sponsor</th>
<th>FOA</th>
<th>Agency Due Date</th>
</tr>
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<tbody>
<tr>
<td>X 143</td>
<td>Jennifer Testing</td>
<td>NIH</td>
<td>sbiikd-35874985-adjkasdf</td>
<td>03/11/2022</td>
</tr>
</tbody>
</table>
Other SPS Updates

- Previously when an SPS entry was routed for approval, it would first go to units outside of the owning org. The only way for the owning org to know when those approvals are complete was to go in and look.
  - Notifications are now being sent to the final non-central (owning org) approver when all other approvals are complete.
- Similarly when using the salary request tool, there’s been no good way to know when all the requests have been approved except to go in and look.
  - Notifications are now being sent to the PAL when all salary approvals are complete.
- GAs can now run an administrative check against NIH Commons rules prior to routing the SPS entry.
  - Previously only ORA/ORS could run this check.
Communicating with Sponsors

- University encourages communication between faculty and sponsor program officials on matters related to **science and research**.
- Examples: A faculty member and a program officer discuss updates provided in a programmatic progress report.
- A faculty member provides further details on study design, aims and objectives.
- The program officer requests out of cycle updates to discuss future direction in the field.
Communicating with Sponsors

- Communication between the University and external sponsors on matters of administrative matters (funding, procedure or final budget decisions) must flow through an authorized Duke official.
- Examples: Appealing a sponsor’s decision to decrease budget categories for salary and personnel costs.
- Submitting a request for a No Cost Extension.
- Requesting prior approval for adding a foreign component or a change in project personnel (such as PI Disengagement).
- Program officer asks about unobligated balances or reductions in effort.
Communicating with Sponsors

- What should GA do?
  - Communicate with your PI on a regular basis.
  - Monthly, quarterly, annually?
  - Understand what the PI wants to accomplish.
  - Gather information from the PI.

- Contact ORS representative.
  - Provide further information as requested.
  - Share knowledge, don’t hoard it.

- ORS representative will determine:
  - What and how the information needs to be submitted.
  - Who needs to sign what.
Post-award: In case you missed it

Let’s recap FY22
Only 1 attachment required in SPS: Progress Report with justification details
- Lessens administrative burden
- Provides increased efficiency during submission process
- Requires detailed descriptions of accomplishments since last report
  - Similar to RPPR requirements
  - Include tables, charts, images, etc.
- End with description of activities planned during NCE period
  - Similar to previous detail provided in the scientific justification
  - Refer to the original project aims!

Key Elements of the Progress Report
- Complete project related data fields
- Date range for activities described in report (not dates of NCE being requested)
- Describe progress since last submission
- Refer to specific goals & aims of the project
- Include images, graphs, charts, and diagrams as needed
- Detail activities and goals to be achieved during extension period
- Use current version of NIH Form PHS2590
- Insert page numbers

View full QRG via myRESEARCHpath
**myRESEARCHsuite** – multiple resources in a single location

**myRESEARCHpath**

“The institution-wide interactive research roadmap”

**myRESEARCHhome**

“A self-service portal”
Other notable post-award items

- **Ledger reminders:**
  - G/L 690100 = unallowable on sponsored projects
    Review your ZFR1E report for items in this G/L
  - G/L 99650* = balance $0 to -$500 is now allowable at closeout
    *IMPORTANT NOTE: Considerations should be made at parent level to understand the impact of this during the netting process

- Payroll CS Tool using new NIH Salary Cap as of Feb 1

- CAS write-off policy in place
  - Unremediated items outstanding for > 4 accounting periods are subject to escalation and write-off
  - Review CAS Compliance Report monthly to ensure items are managed in a timely manner
## FY22 Closeout Trends: Timeliness & Accuracy

### Timeliness of Submissions
Based on submission of Tasklists with Closeout Docs due 7/1/21 - 2/28/22

<table>
<thead>
<tr>
<th></th>
<th>Tasklists Submitted by Due Date</th>
<th>Untimely Tasklists</th>
<th>Untimely %</th>
<th>Total Tasklists Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>PAMC Total</td>
<td>404</td>
<td>165</td>
<td>29%</td>
<td>569</td>
</tr>
</tbody>
</table>

### Accuracy of Submissions
Based on Tasklists submitted 7/1/21 - 2/28/22

<table>
<thead>
<tr>
<th></th>
<th># Approved Submissions</th>
<th># of Returned Submissions</th>
<th>Return %</th>
<th>Total # of Submissions</th>
</tr>
</thead>
<tbody>
<tr>
<td>PAMC Total</td>
<td>574</td>
<td>120</td>
<td>18%</td>
<td>694</td>
</tr>
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</table>
FY22 Closeout Trends: Late Activity & Transfer off

Late Activity by Category

<table>
<thead>
<tr>
<th>Transaction Category</th>
<th># of Transactions</th>
<th>Total $ Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Share</td>
<td>166</td>
<td>$(19,587.44)</td>
</tr>
<tr>
<td>Ext Sub</td>
<td>60</td>
<td>$215,170.27</td>
</tr>
<tr>
<td>Non-Payroll</td>
<td>246</td>
<td>$24,101.41</td>
</tr>
<tr>
<td>Payroll</td>
<td>413</td>
<td>$85,170.22</td>
</tr>
<tr>
<td>Stipend/TR/non-comp</td>
<td>43</td>
<td>$1,707.12</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>928</strong></td>
<td><strong>$306,561.58</strong></td>
</tr>
</tbody>
</table>

YTD transfer-off impact as of end of Feb = $6,358.27 paid by PI or department
CAMT Virtual Office Hours

A member of our team will be available during the times listed below to provide one-on-one assistance to anyone on campus managing sponsored projects.

<table>
<thead>
<tr>
<th>When:</th>
<th>2nd Tuesday of each month</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time:</td>
<td>10:30am until 12:00pm</td>
</tr>
<tr>
<td>Zoom mtg ID:</td>
<td>932 8074 0584</td>
</tr>
<tr>
<td>Future sessions:</td>
<td>Apr 12, May 10, Jun 14</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>When:</th>
<th>4th Wednesday of each month</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time:</td>
<td>1:00pm until 2:30pm</td>
</tr>
<tr>
<td>Zoom mtg ID:</td>
<td>919 7297 8798</td>
</tr>
<tr>
<td>Future sessions:</td>
<td>Mar 23, Apr 27, May 25, Jun 22</td>
</tr>
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</table>
Post-award: Looking forward

Approaching the end of FY22
Resuming External Subrecipient Management Class
Announcements expected soon, stay tuned!

Closeout for external sub WBSEs with negative balance in 99650
Previously any negative amount in the G/L 99650 at closeout would generate a Tasklist return
Departments would be expected to resolve the negative amount prior to resubmission of the closeout

Effective 4/1/2022,
Balances between -$0.01 and -$500.00 in the G/L 99650 will **not** cause a Closeout Tasklist to be returned.
Impact to the sub’s balance will be netted based on institutional policy

<table>
<thead>
<tr>
<th>Cost elements</th>
<th>ITD Plan</th>
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<tbody>
<tr>
<td>99650</td>
<td>70,809.00-</td>
</tr>
<tr>
<td>* Obligations/Restrictions</td>
<td>70,809.00-</td>
</tr>
<tr>
<td>693541 SUB - SALARIES &amp; WAGES</td>
<td>101,333.00</td>
</tr>
<tr>
<td>693542 SUB - FRINGE BENEFITS</td>
<td>21,913.00</td>
</tr>
<tr>
<td>693558 SUB - INDIRECT COSTS</td>
<td>66,552.00</td>
</tr>
<tr>
<td>* Contractual Costs</td>
<td>189,798.00</td>
</tr>
<tr>
<td>** TOTAL DIRECT COSTS</td>
<td>118,989.00</td>
</tr>
<tr>
<td>694600 INDIRECT COSTS - FULL COST</td>
<td>14,250.00</td>
</tr>
<tr>
<td>** Indirect Expense</td>
<td>14,250.00</td>
</tr>
<tr>
<td>*** TOTAL PROJECT COSTS</td>
<td>133,239.00</td>
</tr>
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Need CE’s? Upcoming OERAF’s Offerings

- Award Management: Where does critical thinking fit in?
- Why can't I charge it to the project? Strategies for Avoiding Costing Issues
- So Many transactions, so little time! Navigating the SAP GUI & Duke@Work to Pick the Report that Best Meets the Needs
- Clear and Authentic Communication with Principle Investigators
- Creating the Cohesive Team Your Office Needs to Thrive
- Communication Across Collaborators: International Perspectives
- Guidance on the Preparation of NIH Research Performance Progress Reports (RPPRs) with COVID-19 Impacts & Other Support
Guidance related to NIH NRSA Childcare Stipend
Quarterly closeout deadline reports going out this week
  What should you be doing now to prepare for these deadlines?
Summer supplement time is coming... Plan now!
OPAA Announcements

- New Hires
  - Sponsored Effort Manager – Dreama Cullipher
  - Associate Director – Michelle Rigsbee
  - Compliance/Monitoring – Christina Jackson
- DHHS Salary Cap Cost Share
  - No amounts will be loaded into SAP plan prospectively, aligned with change in approach in SPS budgets
  - Payroll cost share tool will continue to post credits for salary & FB over the DHHS cap using GL codes 808000/808001
Let us hear from you

Emails + Routine Communications + Town Halls + Misc Meetings

We want to be mindful of your workload and respectful of your time

Help us determine the future of CRAM & other communication mechanisms on campus by providing feedback at the end of this session

- Do you believe quarterly or semi-annual CRAM sessions would be beneficial?
- Are there more efficient ways you’d like to receive communications?
- Any other feedback you’d like to share?
Thank you