Research Administration and Compliance Meeting
Wednesday, April 27, 2016   1:00 – 3:00 p.m.
Larrick Student Center, Court End Ballroom A

Agenda

Special Guest
- Barry Lanneau, Jr. – Records Management: What's New?

Office of Sponsored Programs
- RAMS-SPOT Phase 2 Implementation
- OSP Government/Non-Profit Team Response Time

Clinical Research Updates
- Cerner/OnCore Integration Update

Office of Research Integrity and Ethics
- AIRS Update, Training and COI Status

Office of Research Subjects Protection
- IRB Restructuring

Grants & Contracts Accounting
- Introduction of G&C Team Leaders and Senior Accountants
- Year End Preparation Tips

Office of Research Administration and Compliance
- Change in State Rehire Policy
- New Rigor and Reproducibility Training Requirements
- Restructured and Streamlined Application Guides
- New NIH Biosketch Requirements
- Reporting Instructions for Publications Supported by Shared Resources in Research Performance Progress Reports (RPPR) and Renewal Applications
- Save the Date – Fall Research Conference

Office of Export Compliance – No Report

Records Management:
What's New

Research Administration and Compliance Meeting

Barry Lanneau Jr, Technology Services

last revised April 2016

We Will Cover

- **What's New**
- **Records Management...What? Why?**
- **Record or Not**
- **Records Destruction**

What's New: Policy Requirements

- Records Management Policy:
  - Established December 2015
  - University-wide
  - www.policy.vcu.edu/sites/default/files/Records Management.pdf

- Departments must:
  - **Maintain procedures** for records management
  - **Train its employees** on records management
  - Store all records in a **protected, identifiable and accessible** manner throughout retention period
  - **Receive Records Officer signed, approval** prior to purging records
  - Designate **at least one Record Coordinator**

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What's New: Record Coordinators

- **Record Coordinator** duties:
    - Be familiar with the University records management policy
    - Develop the unit's records management procedures and practices, consistent with this policy
    - Educate staff within the department in understanding proper record management practices
    - Restrict access to confidential records and information
    - Coordinate the destruction of records under the guidance of the University Records Officer

What is Records Management?

"Records management is the economical and effective administrative process for managing information and ensuring access throughout its life cycle, from creation to destruction or preservation." **-- Library of Virginia, 2014**

Why is Records Management important?

- Ensure compliance
  - Federal, state and regulatory
  - Contracts and accreditation
- Minimize litigation risks
- Preserve vital information and University memories
- Support decision making
- Improve efficiency and productivity

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What is a record?

"Public record" or "record" means recorded information that **documents a transaction or activity** by or with any public officer, agency or employee of an agency. **Regardless of physical form or characteristic**, the recorded information is a public record if it is **produced, collected, received or retained in pursuance of law or in connection with the transaction of public business**. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.

Code of Virginia **§ 42.1-77**

What is not a record?
"non-records"

- "Convenience copies" of records
- Copies of policy and procedure manuals
- Stationery, blank forms, and publications for distribution
- Personal correspondence
- Personal materials

Legal Ramifications

Records that are not destroyed according to their retention schedule are subject to discovery during litigation, investigations, and Freedom of Information Act (FOIA) requests.

If you have it, you must produce it.

Record Destruction

Virginia Public Records Act

"C. Each agency shall ensure that records created after July 1, 2006 and authorized to be destroyed or discarded in accordance with subsection A, are destroyed or **discarded in a timely manner** in accordance with the provisions of this chapter; provided, however, such records that contain identifying information as defined in clauses (iii) through (ix), or clause (xii) of subsection C of §18.2-186.3 shall be destroyed **within six months of the expiration of the records retention period**."

Code of Virginia § 42.1-86.1

What does this mean for you?

"Timely manner" means that records scheduled for destruction will be destroyed no later than the *end of the calendar or fiscal year in which the retention period expires* unless there is a hold in place for litigation, audit, investigation or FOIA request.

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Home » Records Management » Retention Schedules

General Schedules for State Agencies

Searchable database for state General Schedules

General Administration
GS-101, Administrative Records (June 2015) *Series added for E-Rate and Service Recognition Programs*
GS-102, Fiscal Records (Aug 2012)
GS-106, General Services (Sep 2000)
GS-113, Information Technology (Mar 2009)
GS-103, Personnel Records (Feb 2015) *Complete revision*

Specific Departments
GS-111, College and University (Dec 2013)
GS-129, Criminal Justice Training Academy (April 2015) *New Schedule*
GS-108, Fire, Safety and Security (Dec 2013)
GS-107, Food Service (May 2001)
GS-120, Health Records (Aug 2015) *Addition of series 200452*
GS-117, Law Enforcement (Aug 2015) *Addition of series 200447, 200448, & 200449*
GS-109, Library and Museum (Aug 2001)
GS-104, Mailroom (Mar 2001)
GS-105, Motor Vehicle (Apr 2001)

Examples

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RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL SCHEDULE NO. GS-102

ALL STATE AGENCIES

Fiscal Records

EFFECTIVE SCHEDULE DATE: 8/9/2012

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
Accounts Payable This series documents moneys to be paid by the agency to its creditors. The series may include, but is not limited to: invoices, receipts, bills, canceled checks, returned checks, check registers, and checking statements.	012082	Retain 3 Years after end of state fiscal year	Non-confidential Destruction
Accounts Receivable This series documents moneys owed to the agency by its debtors. The series may include, but is not limited to: bills, invoices, receipts, deposit slips, and reimbursement documentation.	012083	Retain 3 Years after end of state fiscal year	Non-confidential Destruction
Appropriation and Allotment This series documents the appropriations from the state treasury and other sources.	012084	Retain 3 Years after end of state fiscal year	Non-confidential Destruction
Audit Records: External This series documents the audit of an agency completed by an outside auditor, such as the Auditor of Public Accounts (APA). This series may include, but is not limited to: working papers and prepared audit report.	012085	Retain 5 Years after end of state fiscal year	Non-confidential Destruction
Audit Records: Internal This series documents the audit of the agency's financial affairs by its own internal auditors or staff. This series may include, but is not limited to: working papers and prepared audit report.	012086	Retain 3 Years after end of state fiscal year	Non-confidential Destruction
Budget Records This series documents the agency's work to establish a budget. This series may include, but is not limited to: working papers and forecasts.	200108	Retain 3 Years after end of state fiscal year	Non-confidential Destruction

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EFFECTIVE SCHEDULE DATE: 8/9/2012

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
General Ledger This series documents the assets, liabilities, fund balances, revenues, and expenses of the agency. This series may include, but is not limited to: journals and ledgers.	007026		Permanent, Archives
Grants Files This series documents the financial administration of state and federal grant money. This series may include, but is not limited to: audit reports, budget reivisions, expenditure reports and receipts.	012108	Retain 3 Years after project completion	Confidential Destruction
Insurance Records and Reports This series documents insurance coverage carried by the agency such as unemployment insurance. This series may include, but is not limited to: insurance policies, claims, invoices, and investment files.	012109	Retain 3 Years after end of state fiscal year	Confidential Destruction
Inventory Control System This series documents the tracking and control of agency property, equipment, and supplies. This series may include, but is not limited to: journals and reports.	200112	Retain 3 Years after end of state fiscal year	Non-confidential Destruction
Payroll Records This series documents the payroll activities of the agency. This series may include, but is not limited to: deduction authorizations and registers, leave records, ledgers and reports, compensation files, retirement contributions, time and attendance records, and time sheets.	200113	Retain 5 Years after end of state fiscal year	Confidential Destruction

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RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL SCHEDULE NO. GS-111

ALL STATE AGENCIES

College and University

EFFECTIVE SCHEDULE DATE: 12/12/2013

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
Registration: Program Modification This series documents student requests for changes in programs, major, or degrees sought and actions taken in response. This series may include, but is not limited to: advanced placement records, documentation of transfer credits, request for degree audit, and applications for degrees or graduation.	101157	1 Year after graduation or withdrawal	Confidential Destruction
Registration: Schedule of Classes This series documents the classes offered in each semester. This series may include, but is not limited to: course descriptions and faculty course assignments.	101093		Permanent, In Agency
Registration: Student Record This series documents the history of a student's academic life at the college or university. This series may include, but is not limited to: courses taken, grades, transcripts, and degrees (major and minor) received.	101154		Permanent, In Agency
Registration: Transcript Requests This series documents the receipt of and filling of a transcript request. This series may include, but is not limited to: correspondence.	101163	1 Year after last action	Confidential Destruction
Registration: Withdraw or Leave Authorizations This series documents formal withdrawal or temporary leave by students for reasons such as military orders or medical leaves. This series may include, but is not limited to: documentation, approval of the requests, and reimbursement requests..	101167	10 Years after last action	Confidential Destruction
Research: Accounting Records This series documents the fiscal accountability of funds during the contract or grant period. This series may include, but is not limited to: invoices and grant reports.	101168	5 Years after closed	Confidential Destruction

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RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL SCHEDULE NO. GS-111

ALL STATE AGENCIES

College and University

EFFECTIVE SCHEDULE DATE: 12/12/2013

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
Research: Contract or Grant Administration	101198	5 Years after closed	Confidential Destruction
This series documents the routine administration by the university of a contract or grant. This series may include, but is not limited to: application, award information, and reports.			
Research: Final Reports	101169		Permanent, In Agency
This series documents the completion of research by a college or university employee. This series may include, but is not limited to: final scientific or research report of results.			
Research: Notes, Work Papers, and Technical Data	101170	5 Years after last action	Confidential Destruction
This series documents the data collection for a program/research project conducted by a college or university employee. This series may include, but is not limited to: notes, notebooks, drawings, work papers, technical data, experimental results, statistics, findings, and conclusions. COV 2.2-2822			
Research: Sponsored Programs: Effort Reports	200243	10 Years after end of state fiscal year	Non-confidential Destruction
This series documents the time spent on a research project. This series may include, but is not limited to: timesheets.			
Student Affairs: Hearing or Invesigation Records	101173	3 Years after end of academic year	Confidential Destruction
This series documents the investigation into student disciplinary matters by college or university staff. This series may include, but is not limited to: charges, findings, and recommendations.			
Student Affairs: Judicial/ Disciplinary Records	101174	3 Years after end of academic year	Confidential Destruction
This series documents disciplinary actions taken against students for violations of college or university rules, regulations or student codes. This series may include, but is not limited to: charges, findings, and recommendations.			
Student Affairs: Student Criminal History	200244	3 Years after graduation or withdrawal	Confidential Destruction
This series documents self-reported criminal history done by students. This series may include, but is not limited to: reported criminal history or acknowledgement of nothing to report.			

CERTIFICATE OF RECORDS DESTRUCTION

(Form RM-3 January 2013)

This form documents the destruction of public records in accordance with the *Virginia Public Records Act*, §§ 42.1-76 through 42.1-91 of the *Code of Virginia*.

SUBMIT FILLABLE FORM WITH ORIGINAL SIGNATURES

1. Agency / Locality / Regional Entity	2. Division / Department / Section		3. Person Completing Form
Virginia Commonwealth University	Application Services		Rodney D. Ram
4. Address, City, St, & Zip		**5a. Telephone Number & Extension**	**5b. E-mail Address**
PO BOX 843030			recman@vcu.edu

6. Records to Be Destroyed

a) Schedule and Records Series Number	b) Records Series Title	c) Date Range (mo/yr)	d) Location	e) Volume	f) Destruction Method
GS-111 101170	Research: Notes, Work Papers, and Technical Data	01/06 - 03/11	Network share	50 GB	Delete
GS-102 012084	Accounts Receivable	07/11 - 06/12		2 cu ft	Trash
GS-102 012108	Grants Files	03/08 - 03/13		1 cu ft	Shred
GS-111 101168	Research: Accounting Records	07/10 -12/10	Biotech 1	0.5 cu ft	Shred
GS-111 101168	Research: Accounting Records	07/10 -12/10		5 MB	Delete

DESTRUCTION APPROVALS
NOTE: Public records may not be destroyed without receiving prior authorization from the agency or locality Approving Official and Designated Records Officer.

We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

7. Approving Official (Type)	Rodney D. Ram	Signature		Date	4/26/16
8. Designated Records Officer (Type)	Barry Lanneau Jr	Signature		Date	
9. Records Destruction Affirmed By:		Signature		Date	

(No attachments accepted with the original RM-3)

THANK YOU!

- VCU Records Management website
    - go.vcu.edu/records-management

- Library of Virginia General Schedules
    - www.lva.virginia.gov/agencies/records/sched_state

- Questions and Feedback
    - Email: recman@vcu.edu
    - Google Group: *Records_Management*
      groups.google.com/a/vcu.edu/forum/#!forum/records_management

- Training Sessions
    - *Records Management 101:* training.vcu.edu
    - *ImageNow Basics:* training.vcu.edu

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Appendix

- Record Ownership Drafts
  - Fiscal - https://docs.google.com/a/vcu.edu/spreadsheets/d/1kR7kvnW-Wi3HFFnmmt8DUfD4YjaLsNX3Cl9Tmc8t69Q/edit?usp=sharing
  - Grants and Research - https://docs.google.com/a/vcu.edu/spreadsheets/d/1Xx3WNEIyMaQ61lx3q_-KEV7F5BXRiXOeD29fS4h64K4/edit?usp=sharing
  - Personnel - https://docs.google.com/a/vcu.edu/spreadsheets/d/1mEec0BWzVyxY0tLnyJZcd_Wos5VZqTwwh-esbFGn4RM/edit?usp=sharing
  - Student - https://docs.google.com/a/vcu.edu/spreadsheets/d/1M0MTp72OPwZ6A3BLFePoIVM6SaA75zWL7sHSli6dpKE/edit?usp=sharing
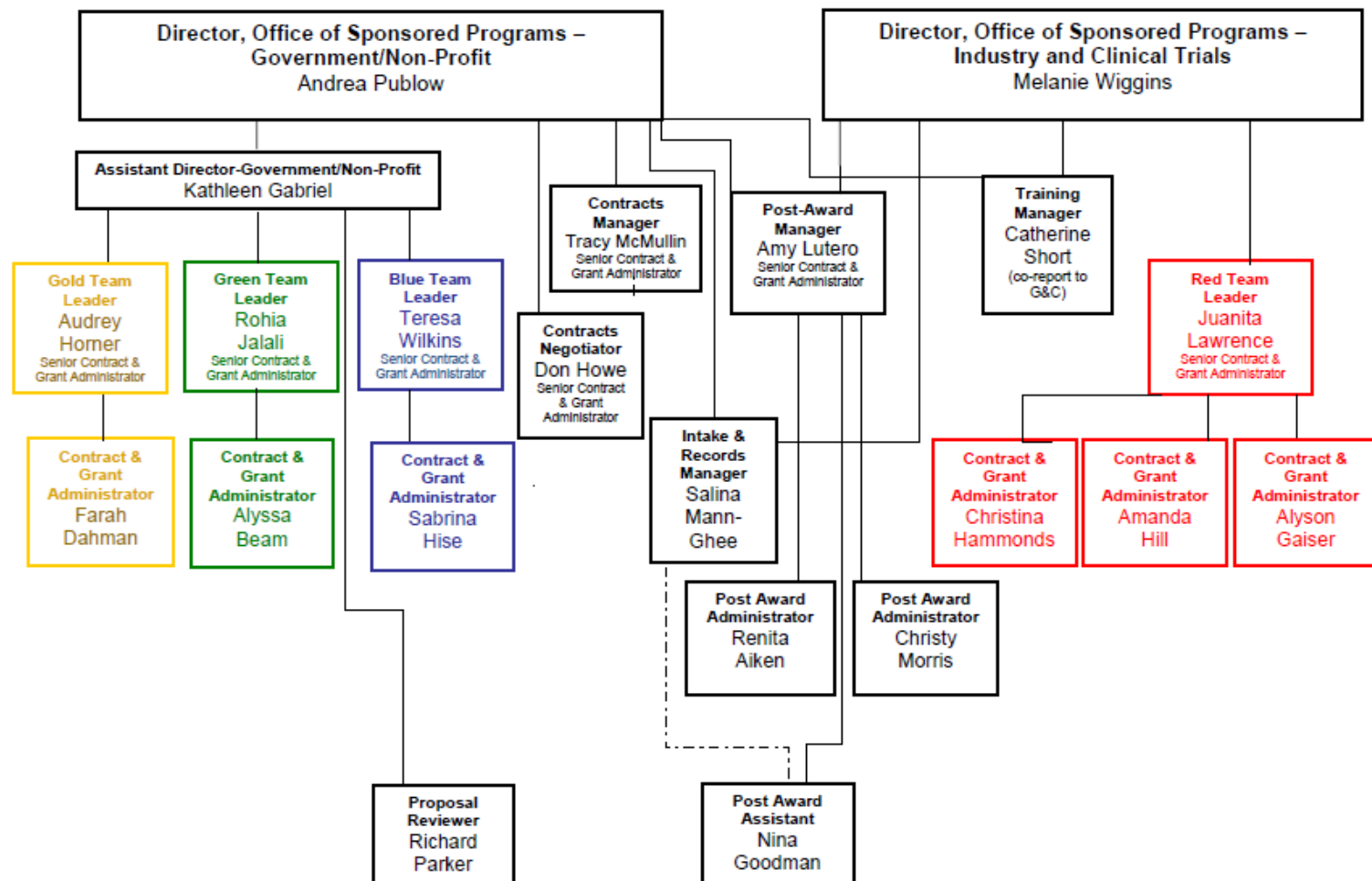
Office of Sponsored Programs (OSP) Updates:

Annie Publow

Director, OSP-Government/NonProfit

RACM, April 27, 2016

OSP Update Topics

- OSP Staffing Update
- RAMS-SPOT—Implementation Update

VCU OFFICE OF SPONSORED PROGRAMS

Director, Office of Sponsored Programs – Government/Non-Profit
Andrea Publow

Director, Office of Sponsored Programs – Industry and Clinical Trials
Melanie Wiggins

Assistant Director-Government/Non-Profit
Kathleen Gabriel

Contracts Manager
Tracy McMullin
Senior Contract & Grant Administrator

Post-Award Manager
Amy Lutero
Senior Contract & Grant Administrator

Training Manager
Catherine Short
(co-report to G&C)

Gold Team Leader
Audrey Horner
Senior Contract & Grant Administrator

Green Team Leader
Rohia Jalali
Senior Contract & Grant Administrator

Blue Team Leader
Teresa Wilkins
Senior Contract & Grant Administrator

Contracts Negotiator
Don Howe
Senior Contract & Grant Administrator

Red Team Leader
Juanita Lawrence
Senior Contract & Grant Administrator

Contract & Grant Administrator
Farah Dahman

Contract & Grant Administrator
Alyssa Beam

Contract & Grant Administrator
Sabrina Hise

Intake & Records Manager
Salina Mann-Ghee

Contract & Grant Administrator
Christina Hammonds

Contract & Grant Administrator
Amanda Hill

Contract & Grant Administrator
Alyson Gaiser

Post Award Administrator
Renita Aiken

Post Award Administrator
Christy Morris

Proposal Reviewer
Richard Parker

Post Award Assistant
Nina Goodman

April 2016

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OSP Staffing Update
Meet the **Blue**, **Green** & **Gold** Team Staff

- We have experienced 100% turnover in the last 5 months

- Everyone is new to their role

- Don't assume an OSP staff member is already familiar with your project

- Turn around time may be affected by staff in training

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VCUeRA RAMS-SPOT

Research **A**dministration **M**anagement **S**ystem-**S**ponsored **P**rograms **O**nline **T**racking

- Database for sponsored projects administration and submission (Vendor= Click Commerce)
- Replaces "VCUeRA InfoEd" (Vendor=InfoEd)
- Development February 2013-present
- Phased Implementation
- All records electronic

Goals of the System include:
- Paperless routing (all major project transactions)
- Paperless record storage
- Budgeting in system
- Communications in system, tied to project record
- Documents scanned directly to record
- Improved task management for all users
- Streamlines processes and reduces need for hard copy forms
- Establishes Office of Research and Innovation Organizational Structure with improved security

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RAMS-SPOT Phased Implementation

Phase 1: Submission new funding proposals

➢ Went Live: May 1, 2015…Included

- All task orders and new proposals including available Grants.gov opportunities

- Pre-proposals/Letters of Intent (LOI) that require OSP signature

- Reviews for Confidentiality Non Disclosure Agreements (CDA), Material Transfer Agreements (MTA), and Data Use Agreements (DUA), Just-in-Time (JIT), Export Control

- Agreements for negotiation including Unilateral/Bilateral/Master agreements

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RAMS-SPOT Phased Implementation

Phase 2: Compliance Data, Awards, Continuation/ Supplement Proposals, and Administrative Actions

➢ Go Live: May 31, 2016…Includes these functions:

- Compliance Data (Subjects Protection, Intellectual Property, Export Control, Hazardous Materials, rDNA, HIPAA, Controlled Substances, Clinical Trial)

- Award processing (initial and subsequent actions)

- Funding Proposal Continuations/Supplements

- Administrative Actions (No Cost Extension, Progress Report, Effort Change, Change to Fiscally Administering Unit (FAU), Change of PI, Grant Relinquishment, etc.)

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RAMS-SPOT Phased Implementation

Phase 3: Closeout, Subrecipients and Reporting

➤Target Go Live: December, 2016…Will Include:

- Subrecipient Actions

- Closeout

- Reporting

RAMS-SPOT Phased Implementation

Reminder:

– Effective with proposal submission in RAMS-SPOT in May 2015, we have been working in two systems (VCUeRA InfoEd and VCUeRA RAMS-SPOT/Click Commerce)

– Effective with RAMS-SPOT Phase II implementation we will once again be working out of a single system

– InfoEd was database of record for FY2015 (ending June 30, 2015)

– RAMS-SPOT is database of record for FY2016 (July 1, 2015-June 30, 2016)

RAMS-SPOT Phased Implementation

- Timeline for Implementation and Important Dates:
  - Wednesday, May 25 (final processing in InfoEd)
  - COB, Wednesday, May 25– InfoEd becomes "read only"
  - Conversion of InfoEd data into RAMS-SPOT will take place between May 26-30, 2016
  - Full day patch in RAMS-SPOT scheduled for Friday, May 27 (final patch before go-live)
  - "Go live" for RAMS-SPOT Phase II functionality is Tuesday, May 31

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RAMS-SPOT Target Implementation Timeline

Implementation Phase	Activity	Feb 2015	Mar 2015	Apr 2015	May 2015	Jun 2015	Jul 2015	Aug 2015	Sep 2015	Oct 2015	Nov 2015	Dec 2015	Jan 2016	Feb 2016	Mar 2016	Apr 2016	May 2016	Jun 2016	Jul 2016	Aug 2016	Sep 2016	Oct 2016	Nov 2016	Dec 2016
InfoEd	Continue InfoEd Use																							
	New Proposals (IAF package)																							
	Continuation Proposals (IAF package)																							
	Awards & Post Award Actions																							
	Data Conversion																							
RAMS-SPOT Phase 1	Funding Proposal (new proposals, pre-proposals and task orders)																							
	Pre-Award Review Projects: Unilateral/Bilateral/Clinical Trial/Master Agreements, CDAs, MTAs, DUAs, JIT, Export Control																							
RAMS-SPOT Phase 2	Compliance Data																							
	Awards-Initial and Subsequent																							
	Continuation and Supplement Funding Proposals																							
	Administrative Actions (prior approval, expanded authority, progress report)																							
	ODS/Dashboard Data Feed																							
RAMS-SPOT Phase 3	Subawards-Initial & Subsequent																							
	Closeout																							
	Reports																							

version 2016-04-26

Legend:
- Design Work (yellow)
- Development (blue)
- Testing (red)
- Pilot Test (green)
- Soft Launch (purple)
- In Production (dark green)
- Training (gray)
- Out of Service (light blue)

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RAMS-SPOT Phased Implementation

- InfoEd- Important Notes
  - Will transition all proposals in **Under Sponsor Review/JIT status** (~725 records)—will create FP/primary budget project in RAMS-SPOT
  - Will transition all awards in **Awarded/NCE status** (~1600 records)—will create FP/primary budget, Compliance and Award project in RAMS-SPOT
  - Will transition all awards in **In Closeout status** (~1100 records)—will create FP/primary budget, Compliance and Award project in RAMS-SPOT

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RAMS-SPOT Phased Implementation

- InfoEd- Important Notes
  - From May 25 COB, InfoEd will be read only until approximately June 30, 2016
  - No documents will be transitioned from InfoEd to RAMS-SPOT shell
  - All documents in InfoEd will be exported to a directory, accessible by OSP on the OSP shared drive

RAMS-SPOT Phased Implementation

- RAMS-SPOT- Important Notes
  - All records brought over from InfoEd will be assigned an FP#
  - The PT, PD and SC numbers from InfoEd will be cross-referenced to the new FP number assigned
  - You will be able to search for your FP record in RAMS-SPOT using the PT, PD and SC
  - Data (not documents) gets transitioned from InfoEd to RAMS-SPOT shell, data where there is a 1:1 correspondence between the two systems

RAMS-SPOT Phased Implementation

- RAMS-SPOT- Important Notes
  - Effective May 31, all continuation/supplement proposals and administrative actions must be initiated from within SPOT
  - Effective May 31, PI PreAward Questionnaire replaced by Compliance Data Project
  - Effective May 31, awards will be distributed to G&C and to Fiscally Administering Unit (FAU) (not based on distribution list from IAF)
    - Reminder, FAU defined in the RAMS-SPOT access list, maintained by school's CAR member

RAMS-SPOT RECORD RELATIONSHIPS

Funding Proposal (FP00000000)
(Contains FP Smart Form, Primary Budget plus Cost Share Budget (if applicable.)

Compliance Data (FP00000000 CD##)
Compliance for subjects protection, IP, export control, controlled substances, hazardous materials, rDNA, HIPAA, clinical trial registration, as applicable. (Initiated by OSP. Can be updated anytime by PI/SS.)

Review Project (RV00000000)

Award (FP00000000_AW##)

Continuation/ Supplement Proposal (FP00000000_CP##)
(Contains Continuation/Supplement FP Smart Form, Primary Budget and Cost Share Budget (if applicable.)

Administrative Actions (FP00000000_AA##)
(Location for prior approval, expanded authority, progress reports, personnel change, FAU change, PI change, grant relinquishment, process award, process closeout, etc., as applicable.)

Subrecipient Actions (FP00000000_SA##)
Phase III Implementation; December 2016

KEY
Completed by PI/SS
Completed by OSP

V.2016-04-27

RAMS-SPOT Phase II Implementation: Proposals

VCUeRA RAMS-SPOT

New pre-proposals, proposals, and task orders

May 26-30, 2016
Unaffected by database conversion timetable

[except May 27, 2016 system down for scheduled full-day patch]

VCUeRA RAMS-SPOT

May 31, 2016

New pre-proposals, proposals, and task orders AND proposal continuations/supplements

RAMS-SPOT Phase II Implementation: Under Sponsor Review

VCUeRA InfoEd

"Under Sponsor Review" records can be updated until COB May 25, 2016

- Search on "Under Sponsor Review" to identify records for your area
- Advise dirospa@vcu.edu of proposals not funded

InfoEd "Under Sponsor Review" records not updated by May 25 will transition to RAMS-SPOT as Funding Proposals

- FP/primary budget project in RAMS-SPOT
- Monthly email "pings" to inquire about status sent to FMU Access list once proposed start date has been reached

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Use InfoEd search to tidy your department's records:
(1) Proposal Status, (2) Primary Department, (3) Locate

RAMS-SPOT Phased Implementation
"Under Sponsor Review" records from InfoEd

RAMS-SPOT RECORD RELATIONSHIPS

**Funding Proposal
(FP00000000)**

*(Contains FP Smart Form, Primary Budget
plus Cost Share Budget (if applicable.)*

RAMS-SPOT Phase II Implementation: Proposal Continuations/Supplements

VCUeRA InfoEd

Use IAF for all proposal continuations; can be processed through until Close of Business

May 20, 2016

Aim for no new proposal continuations between May 23-30, 2016

VCUeRA RAMS-SPOT

Create continuation/supplement Funding Proposals

May 31, 2016-onward

RAMS-SPOT Phase II Implementation: Awarding

VCUeRA InfoEd Awarding ends close of business

May 25, 2016

No new or continuation awards will be processed: May 26-30, 2016

VCUeRA RAMS-SPOT Awarding begins May 31, 2016

RAMS-SPOT Phase II Implementation: Awarded

VCUeRA InfoEd "Awarded" records can be updated until COB May 25, 2016

- As Post Award gets closer to transition date, may delay processing of brand new awards
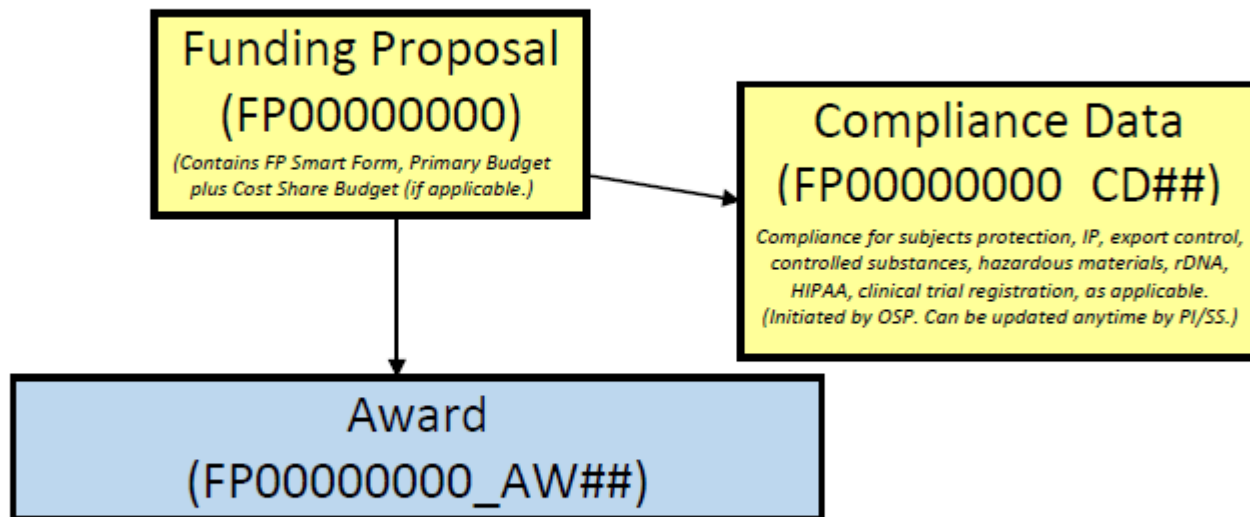
InfoEd "Awarded" records transition to RAMS-SPOT as Funding Proposals

- FP/primary budget, Compliance Data and Award projects in RAMS-SPOT

RAMS-SPOT Phased Implementation
"Awarded" records from InfoEd

RAMS-SPOT RECORD RELATIONSHIPS

Funding Proposal (FP00000000)
(Contains FP Smart Form, Primary Budget plus Cost Share Budget (if applicable.)

Compliance Data (FP00000000 CD##)
Compliance for subjects protection, IP, export control, controlled substances, hazardous materials, rDNA, HIPAA, clinical trial registration, as applicable. (Initiated by OSP. Can be updated anytime by PI/SS.)

Award (FP00000000_AW##)

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RAMS-SPOT Phase II Implementation: Award in Closeout

VCUeRA InfoEd

"Award in Closeout" records can be closed out until COB

May 25, 2016

- Search on "In Closeout" to identify records for your area
- Use OSP e-closeout forms located on OSP website

InfoEd "Award in Closeout" records not closed by May 25 will transition to RAMS-SPOT as Awarded records

- FP/primary budget, Compliance Data and Award projects in RAMS-SPOT
- Monthly email "pings" to inquire about status sent to FMU Access list once project end date has been reached. Starts May 31.

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Use InfoEd search to tidy your department's records:
(1) Proposal Status, (2) Primary Department, (3) Locate

InfoEd

Logged in User: **Ms. Andrea Publow**   Monday, April 25, 2016

$ **Find Funding** 🐿 **CV Database**

Exit Help Portal Support

My Projects

My Proposals
- Show/List
- **Search For**
- Create New Proposal
- Create New PT Record
- Report On
- Help – PD
- Help – PT

My Human Subjects

My Animal Use

My Profile

Administration

Proposals - Search For   Locate | Clear All
Use * for wildcard

Property	Value		Property	Value
Proposal number			Account Number	
Sponsor/Scheme		Set	Proposal Status	Award In Closeout
PI		Set	Primary Assoc Dept	Biomedical Engineering	Set

▼ Show Additional Search Options ▼

Results   Showing Page 1 of 1 (13 Proposals Found)

Institution Number	Title▲ (PI)			
Proposal Type	Account Number/ Award Number	Requested Period Awarded Period	Sponsor Department	Info

PT108947 - **A Minimally Invasive Treatment for Cerebral Palsy Using Engineered Hydrogels** - *Zhang, Ning*   ⓘ

📁 New Proposal   ♡ 5400135ST/MF13-004-LS   15-May-2013-31-Dec-2015   Center for Innovative Technology
15-Jun-2013-31-Dec-2015   Biomedical Engineering

PT108530 - **ACETABULAR LANDMARK STUDY** - *Wayne, Jennifer S*   ⓘ

| PD N/A | PT | Fwd | Del |
| Edit | View | | |

♡ 5400116IN/Mod 1   14-Sep-2012-31-Jan-2013   Orth Align, Incorporated
17-Sep-2012-31-Jan-2014   Biomedical Engineering

...tion of a New Osteotomy Technique for the Tibial Tubercle - *Wayne, Jennifer S*   ⓘ

📁 New Proposal   ♡ 5120272IN   01-May-2009-30-Apr-2010   EB Ortho, Inc
01-May-2009-30-Apr-2010   Biomedical Engineering

PT106191 - **Biomechanical Evaluation of Dual Incision ORIF for Calcaneal Fractures** - *Wayne, Jennifer S*   ⓘ

📁 New Proposal   ♡   01-Oct-2010-30-Sep-2011   Ascension Orthopaedics, Inc.
20-Dec-2010-19-Dec-2011   Biomedical Engineering

PT110028 - **Brain-Computer Interface-based Volition Control Device** - *Bai, Ou*   ⓘ

📁 New Proposal   ♡ 5470537IN   01-Nov-2013-31-Oct-2014   Ladenburg Funding, Inc. (The)
01-Nov-2013-31-Oct-2014   Biomedical Engineering

PT110235 - **Control of Macrophage Polarization by Physical/Chemical Surface Properties of Titanium Implant Materials** - *Olivares-Navarrete, Rene*   ⓘ

📁 New Proposal   ♡ 5470583FN   01-Jun-2014-30-Nov-2015   International Association for Dental Research
01-Jun-2014-30-Nov-2015   Biomedical Engineering

PT107194 - **Development of a Dendrimer-Based dual brain-targeting Carrier** - *Yang, Hu*   ⓘ

📁 New Proposal   ♡ 5470402FN/J-1043   01-Jan-2012-31-Dec-2012   Jeffress
01-Jan-2012-31-Dec-2014   Biomedical Engineering

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RAMS-SPOT Phased Implementation
"In Closeout" records from InfoEd

RAMS-SPOT RECORD RELATIONSHIPS

Funding Proposal (FP00000000)
(Contains FP Smart Form, Primary Budget plus Cost Share Budget (if applicable.)

Compliance Data (FP00000000 CD##)
Compliance for subjects protection, IP, export control, controlled substances, hazardous materials, rDNA, HIPAA, clinical trial registration, as applicable. (Initiated by OSP. Can be updated anytime by PI/SS.)

Award (FP00000000_AW##)
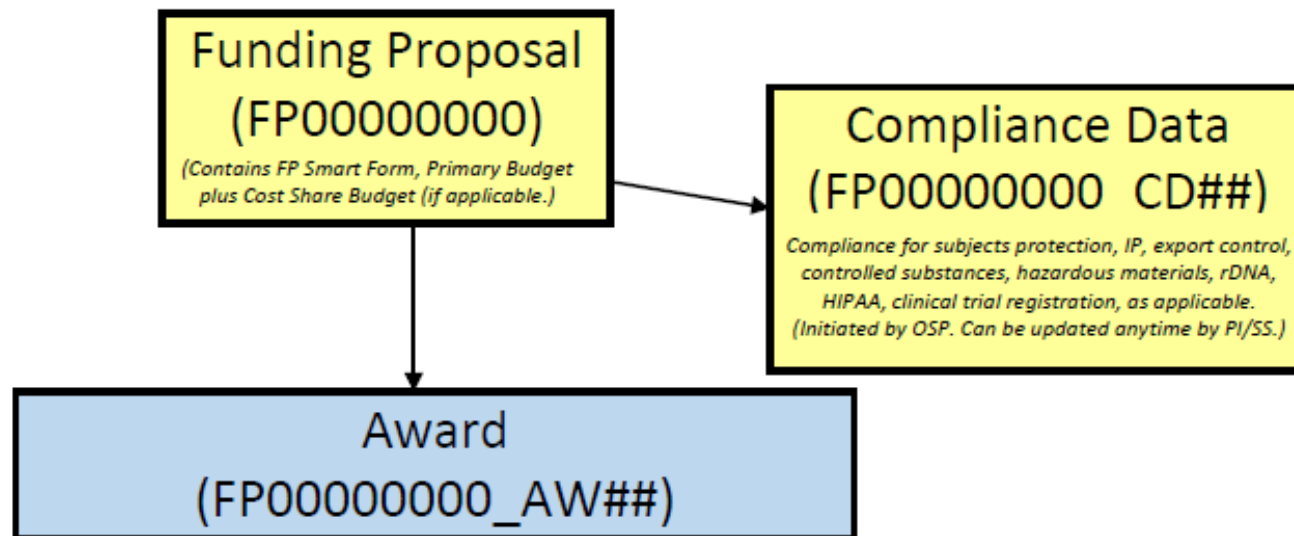
RAMS-SPOT Phased Implementation

- Existing forms that will be retired with Phase II conversion
  - Internal Approval Form (IAF)
  - Internal Approval Budget Detail
  - Transaction Routing Form
  - PI PreAward Questionnaire
  - Intellectual Property Assessment in Connection with a Sponsored Project
  - Effort Change Request Form

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RAMS-SPOT Phased Implementation

- OSP/IT Preparations for Phase II implementation include:
  - Testing functionality for all roles in RAMS-SPOT
  - Fine-tuning Workflow in RAMS-SPOT
  - Developing Notifications in RAMS-SPOT
  - Developing guidelines for Administrative Actions documentation
  - Providing test data to ODS (for PI Dashboard)
  - Status clean up in InfoEd
- Communications
  - Implementation timeline will be updated on OSP website
  - Updates will be communicated via RESADMIN list serve

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RAMS-SPOT Phased Implementation

- Training (no timeframe on these resources at this point)
  - Live Session Demonstration of Compliance Data, Awarding, Continuation/Supplement Funding proposals, and Administrative actions…dates TO BE ANNOUNCED
    - Focus on Navigation
    - Focus on "Work Queues"
  - We will distill the live session training into Camtasia videos to post on our website
  - Get started documents will be developed for Compliance Data, Awarding, and Administrative Actions projects

RAMS-SPOT Phased Implementation

Statistics from the past year:

➢ Proposals

- 1486 new funding proposals delivered to OSP
  - 476 submitted via grants.gov
- 50 preproposals
- 35 task orders

➢ CDA

- 177 Confidentiality Disclosure Agreement Review

➢ Agreements

- 213 Bilateral Agreement Review
- 12 Master Agreement Review

➢ MTA/DUA

- 41 Data Use Agreement (DUA) Review
- 234 Material Transfer Agreement (MTA) Review

RAMS-SPOT Implementation Summary

Top 6 Things to Prepare for RAMS-SPOT

1. Work with OSP Post Award to close out existing sponsored projects (in InfoEd) with completed period of performance

2. Work with OSP Intake & Records to close out "Under Sponsor Review" records that will not be awarded

3. Understand Access Management and how your CAR member updates access to RAMS-SPOT for your Department, College, Center or School

4. Attend RAMS-SPOT Demonstration and Training events and utilize OSP website resources http://www.research.vcu.edu/osp/rams-spot.htm

5. Anticipate continuation proposals and administrative actions due during lead up to system transition: May 23-30, 2016

6. Disseminate information to PIs

Cerner/OnCore Integration Update

Bobby Moulden

rbmoulden@vcu.edu

oncore@vcu.edu

Cerner to OnCore
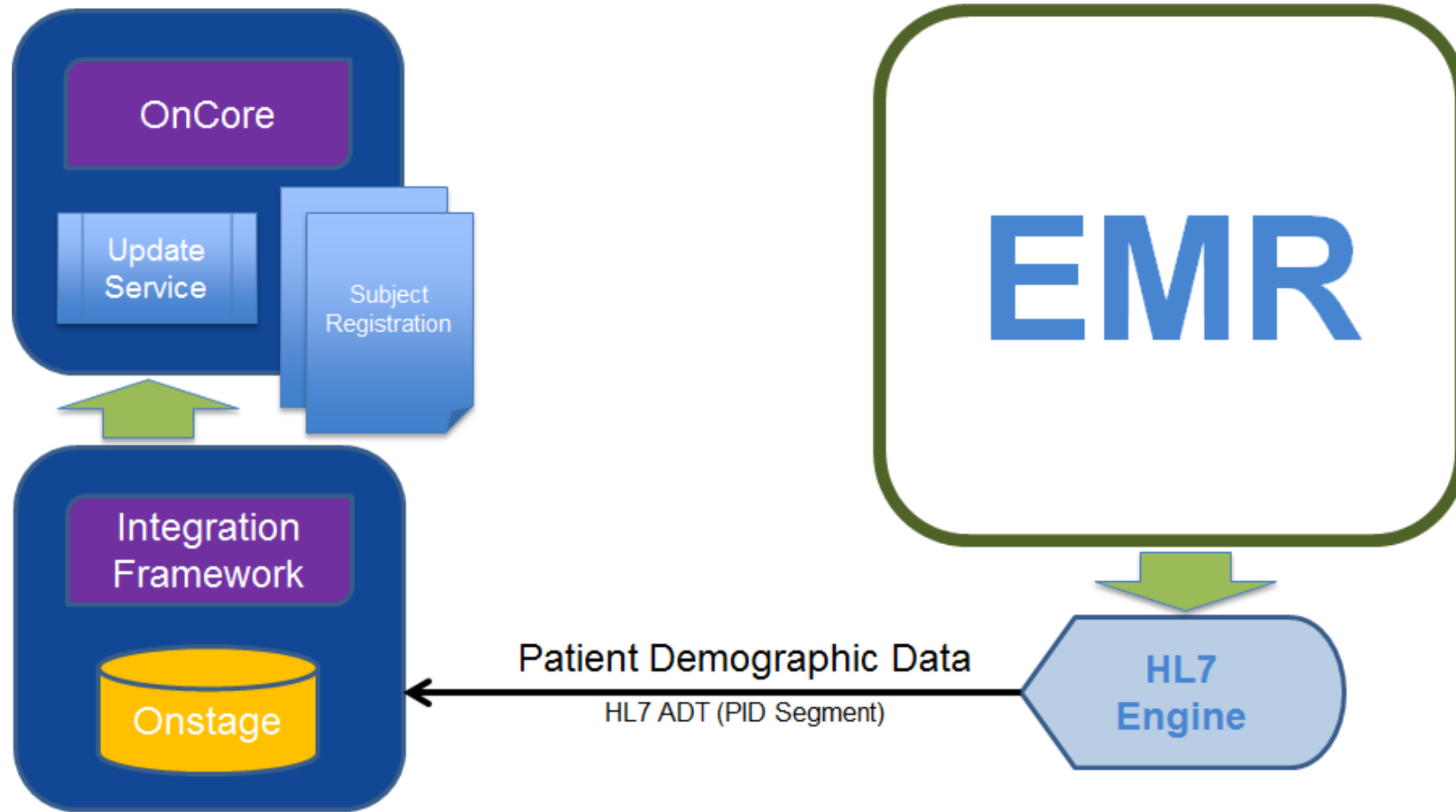
Cerner to OnCore

Benefits

- Replaces manual participant entry, users can search Cerner to copy
  - Name
  - Date of Birth
  - Race
  - Gender
  - Ethnicity
  - Contact Information
- Updates in Cerner will transfer to OnCore automatically
  - Name
  - Date of Birth
  - Contact Information
  - Expired Date

OnCore to Cerner

OnCore

RPE Service

Protocols
Subject Enrollments
Subject Status Updates

SOAP/XML over HTTPS
HL7 v3

EMR
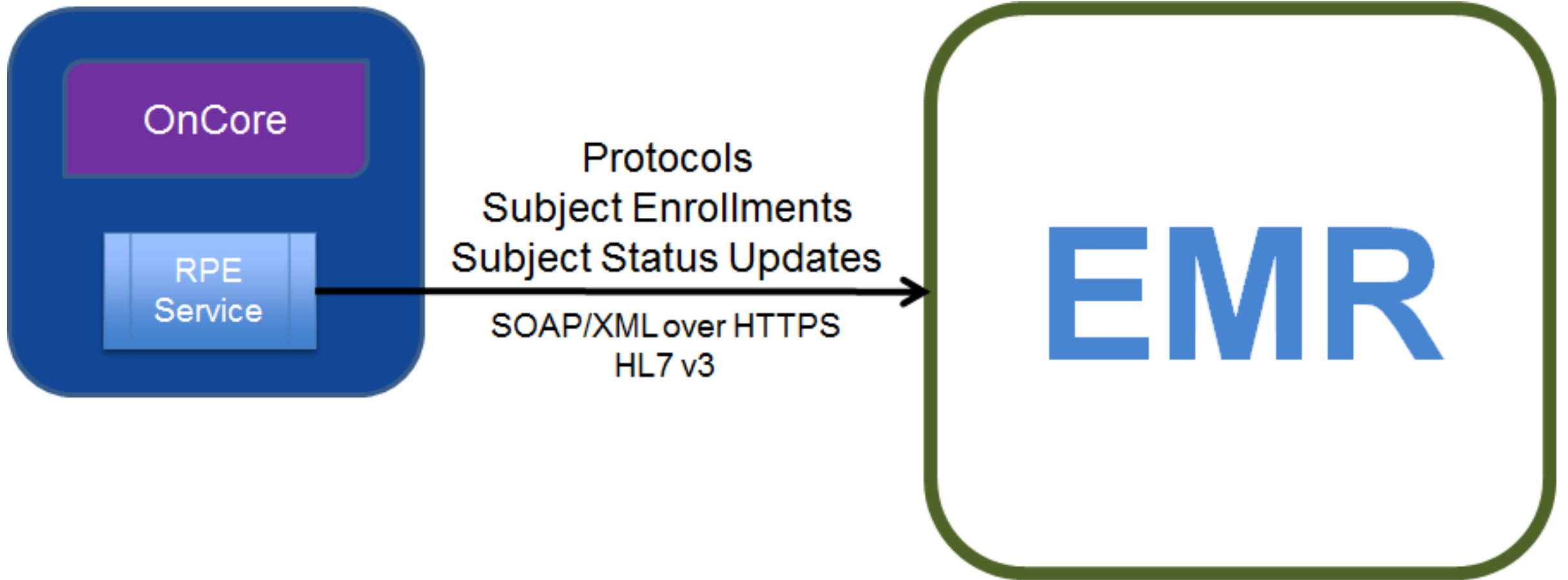
OnCore to Cerner

Benefits

- Patient Participation in Clinical Research will be indicated in new 'Power Trial' Module in Cerner.

- Participant Status on a Study is automatically indicated in Cerner.

- Study Information and Status is automatically indicated in Cerner including:
  - Study Title
  - NCT Number
  - Principal Investigator
  - Study Contact

Timeline

- Cerner to OnCore
  - Testing Complete. Should go Live on May 3rd.
- OnCore to Cerner
  - Testing to start May 6th. Should go Live on July 1st.

Questions?

Research FIR Annual Update in AIRS

- - - - - - - - - -

VCU Research COI Activity 2015

Monika S. Markowitz, PhD
Director, Office of Research Integrity and Ethics
Chair, Conflict of Interests Committee

RACM 4/2016

Reminder: Research FIR Annual Update

- **Due July 1st**–for all PIs and COI investigators on active or pending proposals or protocols

- No proposal/protocol progression until Annual Update completed

- Annual Update required **even if** no changes

- AIRS turned ON for Annual Update.

Research FIR Annual Update Notifications

- First notification about Annual Update from VPRI to all active investigators.

- FIR update period opens on May 10th
  (exact date is subject to change, as needed)

- Subsequent notifications from AIRS@VCU.edu to 'Research FIR' users who have not done the Annual Update

Research FIR and Statement of Economic Interests (SoEI):
both in AIRS, but different purposes

- Some people do BOTH – Research FIR is the first part of the SoEI (long form) in AIRS

- Check the Research FIR box to do the Research FIR only

- The **Research FIR** requires an Annual Update for everyone in the AIRS who is a 'COI investigator' ALSO update within 30 days for new interest or interests now >$5,000.

'COI Investigators' **must** click Research FIR box

1.0   * Which of the following forms were you asked to create or complete?

☑ Research Financial Interest Report

☐ Statement of Economic Interest

airs.research.vcu.edu

Outside of VCU? First connect to VPN

(two-factor authentication required 5/5/2016)

http://wp.vcu.edu/humanresearch/wp-content/uploads/sites/3846/2016/04/VPN-Guide-OVPRI-OIS.pdf

'COI investigator'

'Investigator' describes any individual, regardless of title, role or position, who is <u>**responsible**</u> **for the design, conduct, or reporting of research**. By considering an individual's degree of independence relative to the research, the **Principal Investigator on the proposal or protocol designates the individuals who meet the definition of 'Investigator.'**

Consider: When designating 'COI Investigator,' independence and responsibility should be comparable/near comparable to PI.

At minimum, 'COI investigator' is always the PI and the student/ trainee investigator of a student project

Research FIR and Statement of Economic Interests (SoEI):
both in AIRS, but different purposes - **continued**

- The Research FIR completion is automatically saved in AIRS; no further action needed.

- *[The SoEI is sent to VCU Office of Compliance and Integrity; follow instructions].*

- Full completion moves the FIR to 'Active'

Research FIR successfully updated

1.0   * Which of the following forms were you asked to create or complete?

☑ Research Financial Interest Report

☐ Statement of Economic Interest

Current State

Active

My Financial Interest Report Forms

🔍 View Financial Interest Report

🖨 Printer Version

View Differences

Training renewal this year

- FIR Annual Update automatically preceded by training module for those who last took training between 3 – 4 years ago.

- Research COI Training completion is documented in FIR space.

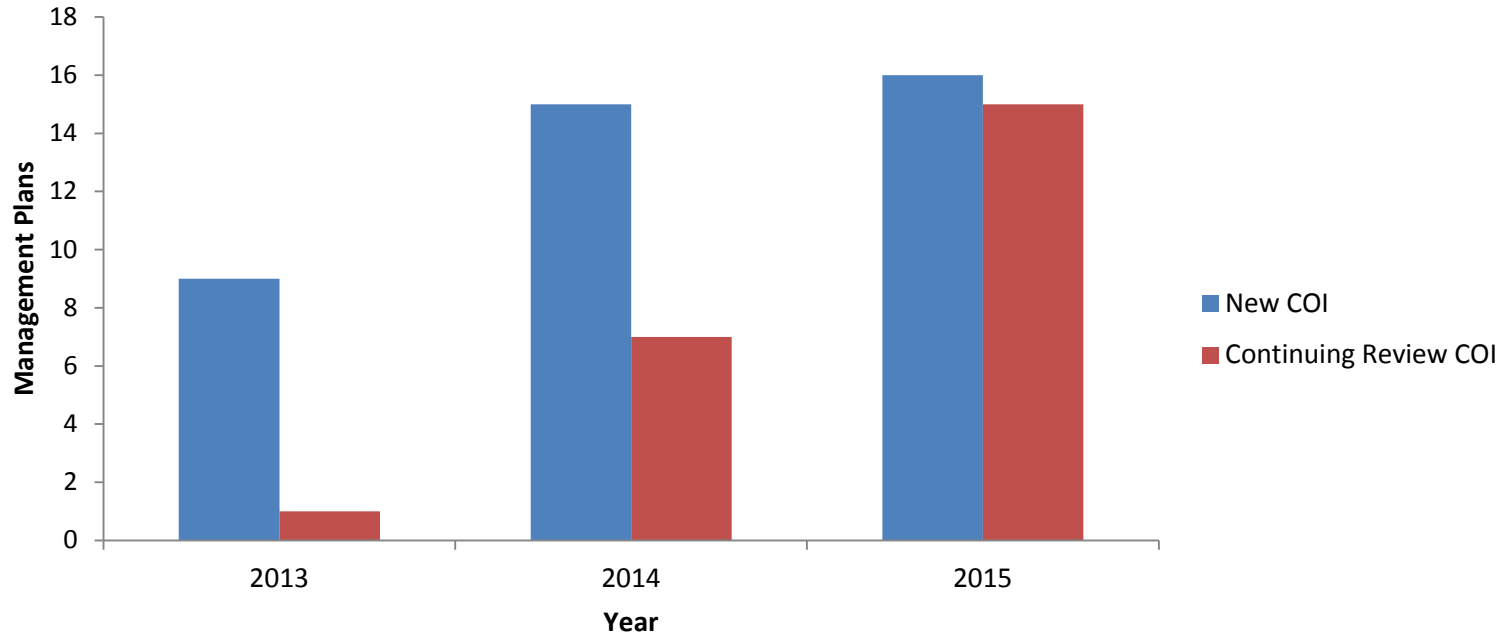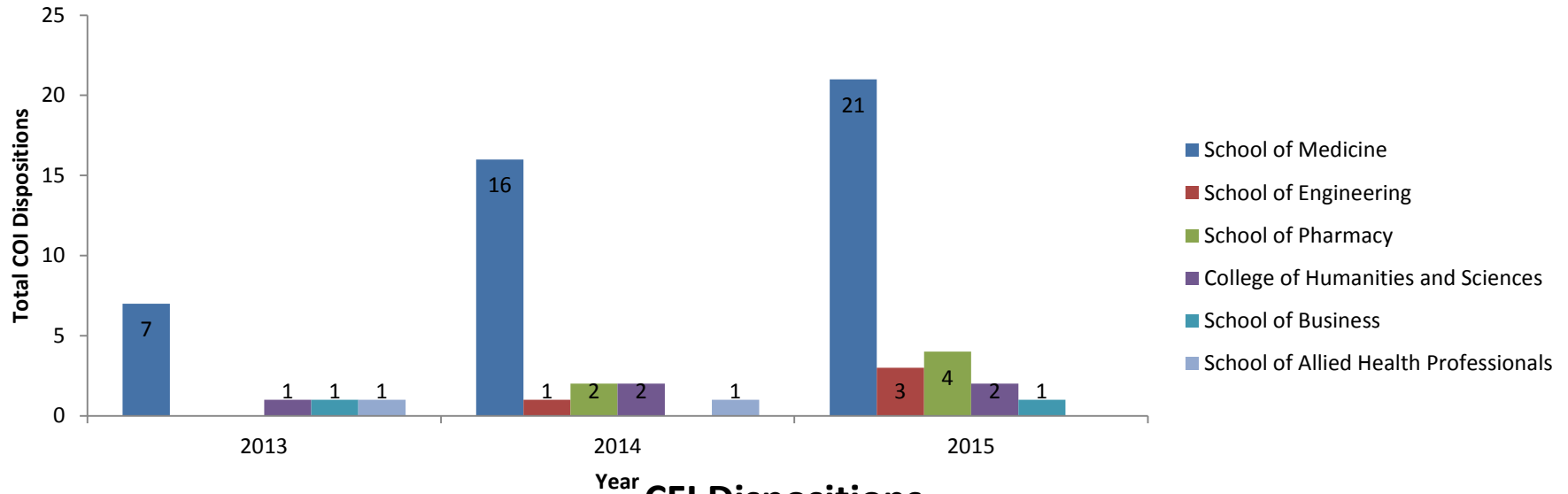|	Activity	Author	Activity Date
	Statement of Economic Interest Received	Dempsey, Jaycee L	1/9/2013 2:23 PM
	Financial Interest Report Updated	Markowitz, Monika S	1/8/2013 11:00 AM
	Financial Interest Report Opened for Editing	Markowitz, Monika S	12/11/2012 10:06 AM
	Financial Interest Report Updated	Markowitz, Monika S	12/11/2012 10:04 AM
	Beginning of Statement of Economic Interest Cycle	Administrator, System	12/6/2012 3:17 AM
	COI Training Completed	Markowitz, Monika S	8/27/2012 12:12 PM

History | Comments | Archive | Documents | Additional Information | Reviews | Management Plans | Snapshot

36 items   page 4 of 4   10 / page

COI status over last 3 years

	2013	2014	2015
Total Dispositions	4924	5646	6752
Total PHS Dispositions	1439	1471	1848
Total Non-PHS Dispositions	3485	4175	4904
Total COI	10 (.20%)	22 (.39%)	31 (0.46%)
New COI	9	15	16
Continuing Review COI	1	7	15
Total CFI	11 (.22%)	9 (.16%)	3 (0.04%)
New CFI	11	2	0
Continuing Review CFI	0	7	3

COI Dispositions

COI Dispositions

Bar chart titled "COI Dispositions" showing Total COI Dispositions by Year (2013, 2014, 2015).

Legend:
- School of Medicine
- School of Engineering
- School of Pharmacy
- College of Humanities and Sciences
- School of Business
- School of Allied Health Professionals

Values:
2013: School of Medicine 7, College of Humanities and Sciences 1, School of Business 1, School of Allied Health Professionals 1
2014: School of Medicine 16, School of Engineering 1, School of Pharmacy 2, College of Humanities and Sciences 2, School of Allied Health Professionals 1
2015: School of Medicine 21, School of Engineering 3, School of Pharmacy 4, College of Humanities and Sciences 2, School of Business 1

CFI Dispositions

Bar chart titled "CFI Dispositions" showing Total CFI Dispositions by Year (2013, 2014, 2015).

Legend:
- School of Medicine
- Wilder School of Government and Public Affairs

Values:
2013: School of Medicine 10, Wilder School of Government and Public Affairs 1
2014: School of Medicine 9
2015: School of Medicine 3

COI 2013 Funding

2, 33%

4, 67%

- NIH
- Industry

COI 2015 Funding

4, 13%

10, 32%

14, 45%

2, 7%

1, 3%

- NIH
- NSF
- US Environmental Protection Agency
- Industry
- Non-Profit

COI 2014 Funding

1, 5%

1, 5%

6, 32%

9, 48%

1, 5%

1, 5%

- NIH
- NSF
- US Environmental Protection Agency
- Industry
- Non-Profit
- Department of Defense

Has Any Interests

48.981% True
51.019% False

Has Business Interests

True 10.93%
False 89.07%

Has Salaries

True 31.03%
False 68.97%

Has Securities

True 10.18%
False 89.82%

Has Consulting

True 15.92%
False 84.08%

Has Gifts

True 3.20%
False 96.80%

Has IP

True 6.57%
False 93.43%

Has Officership

True 9.52%
False 90.48%
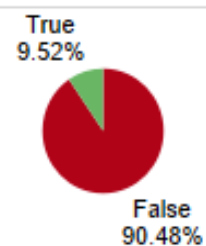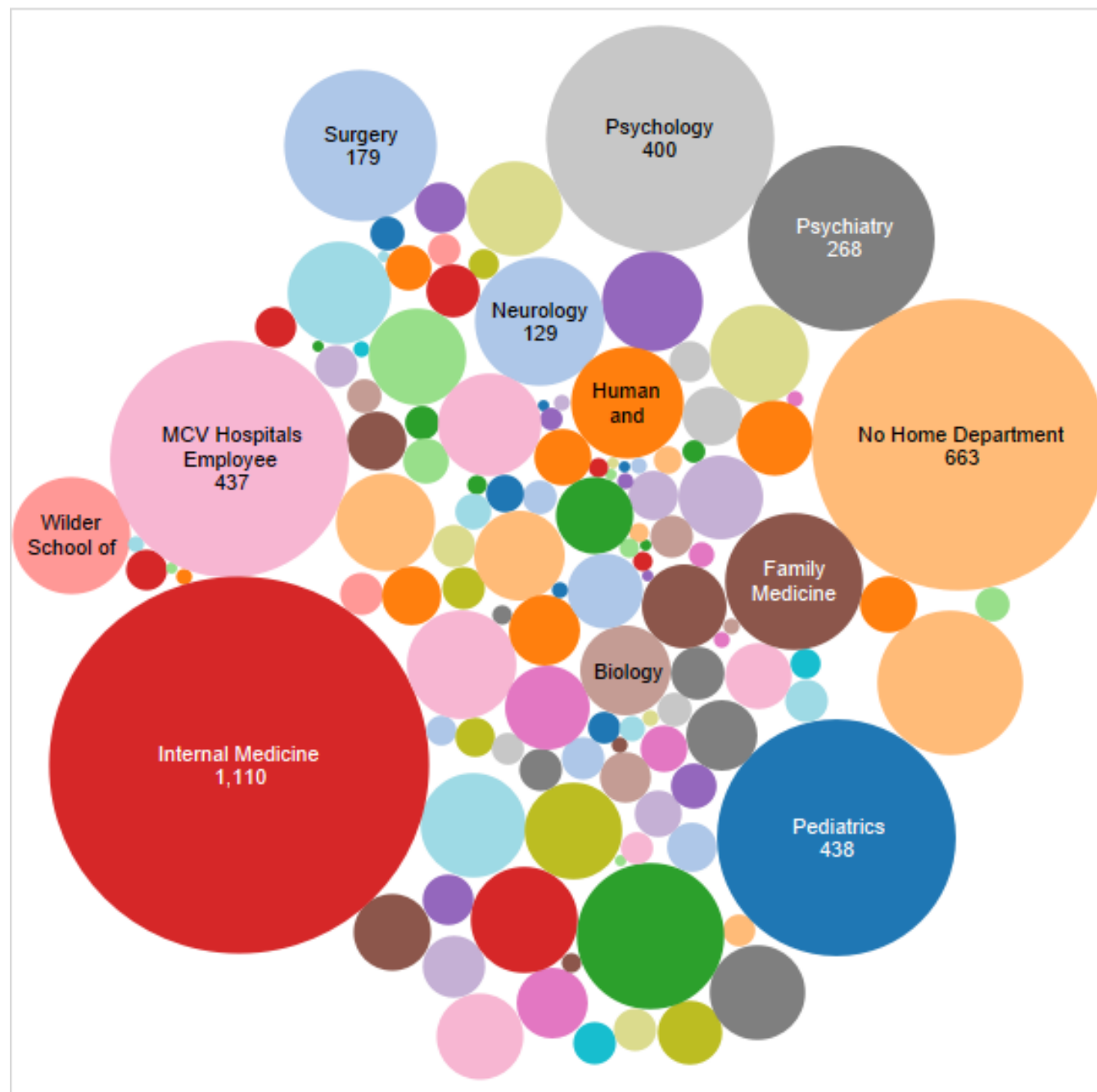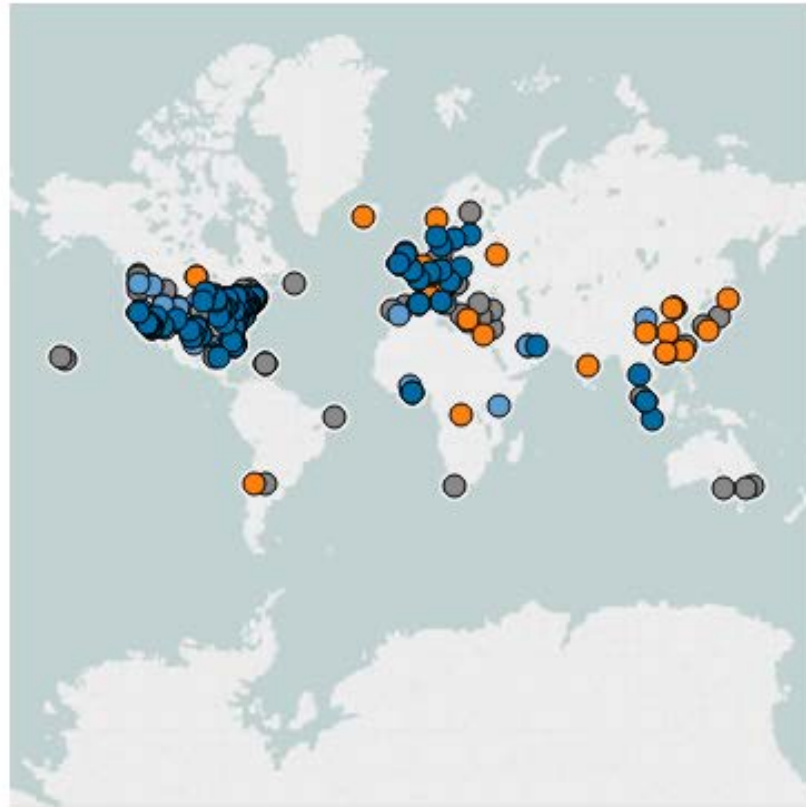
Discloser Departments For Reviews

Travel Map

Payer Type
- For-Profit Organization
- Foreign Entity
- Government (Federal)
- Government (Local)
- Government (State)
- Individual
- Non-Profit Organization

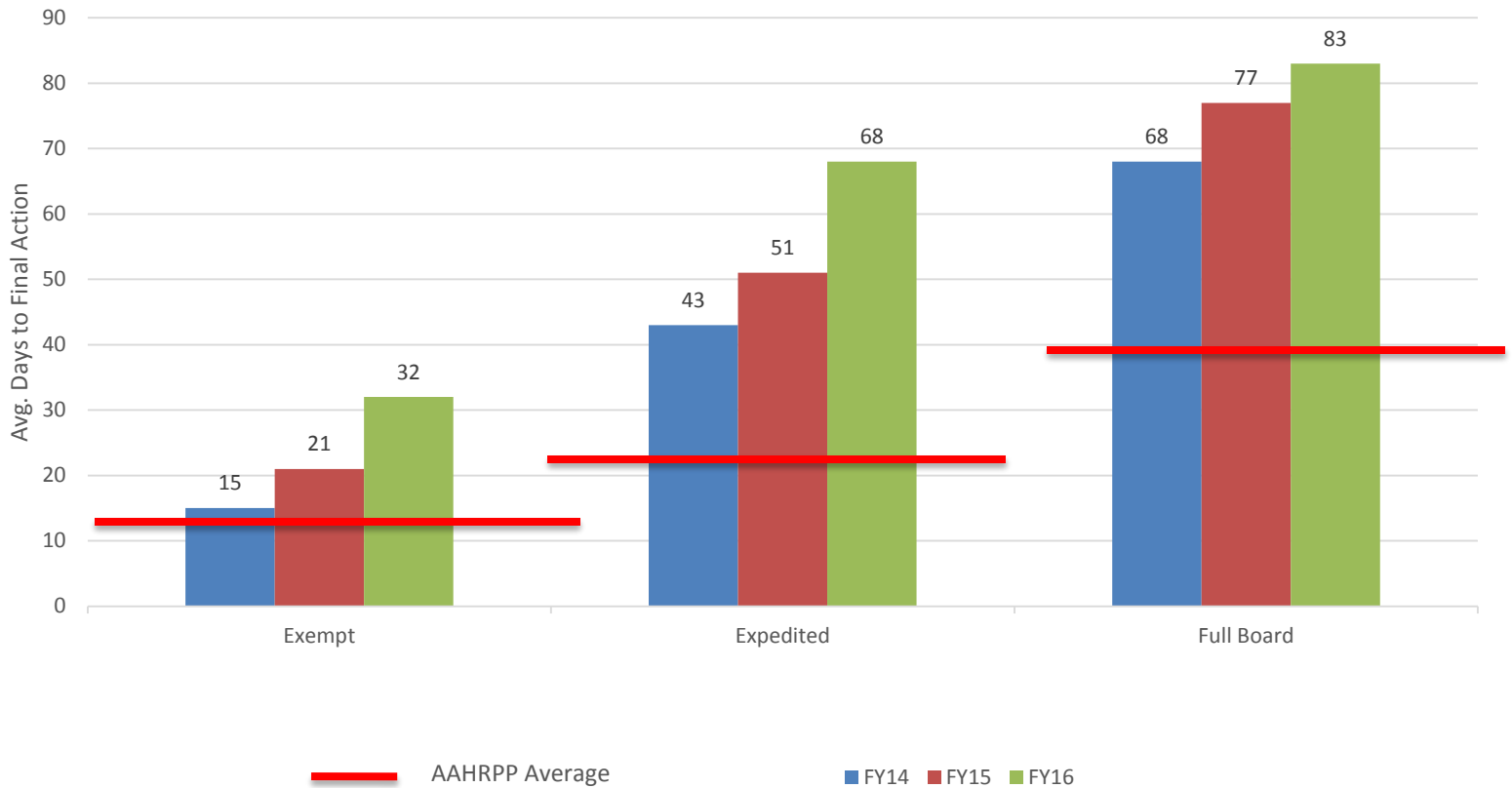# IRB Efficiency Initiative

What is the IRB Efficiency Initiative?

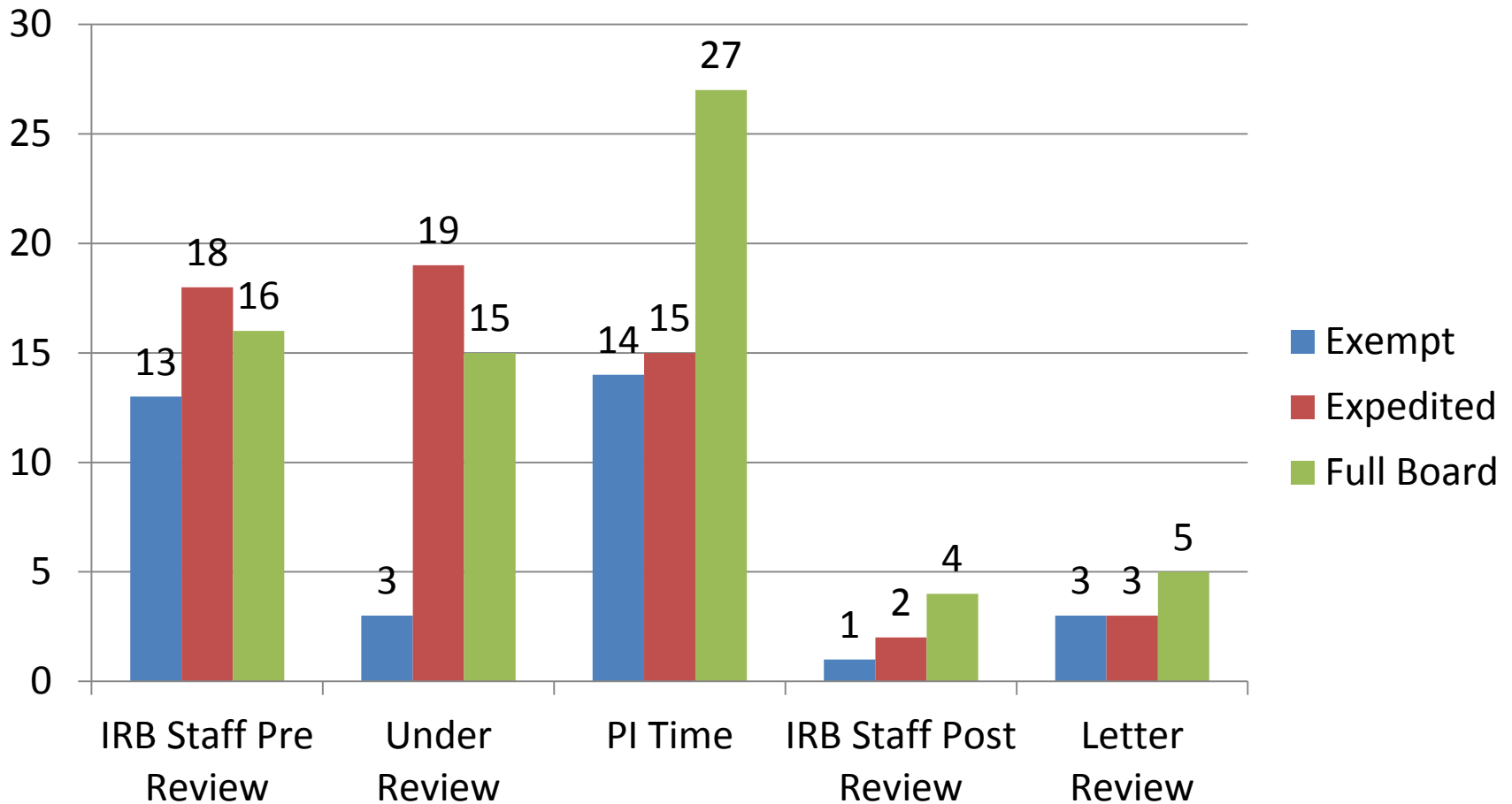Reducing Time to Approval (T2A) without sacrificing quality

Prior Initiatives

- IRB staff pre-review
- Focus review stipulations on criteria for approval
- Ask IRB members to get answers before a meeting

Average Days to Initial Approval

Days Spent in Review State FY16

Days Spent in IRB Review vs PI Time
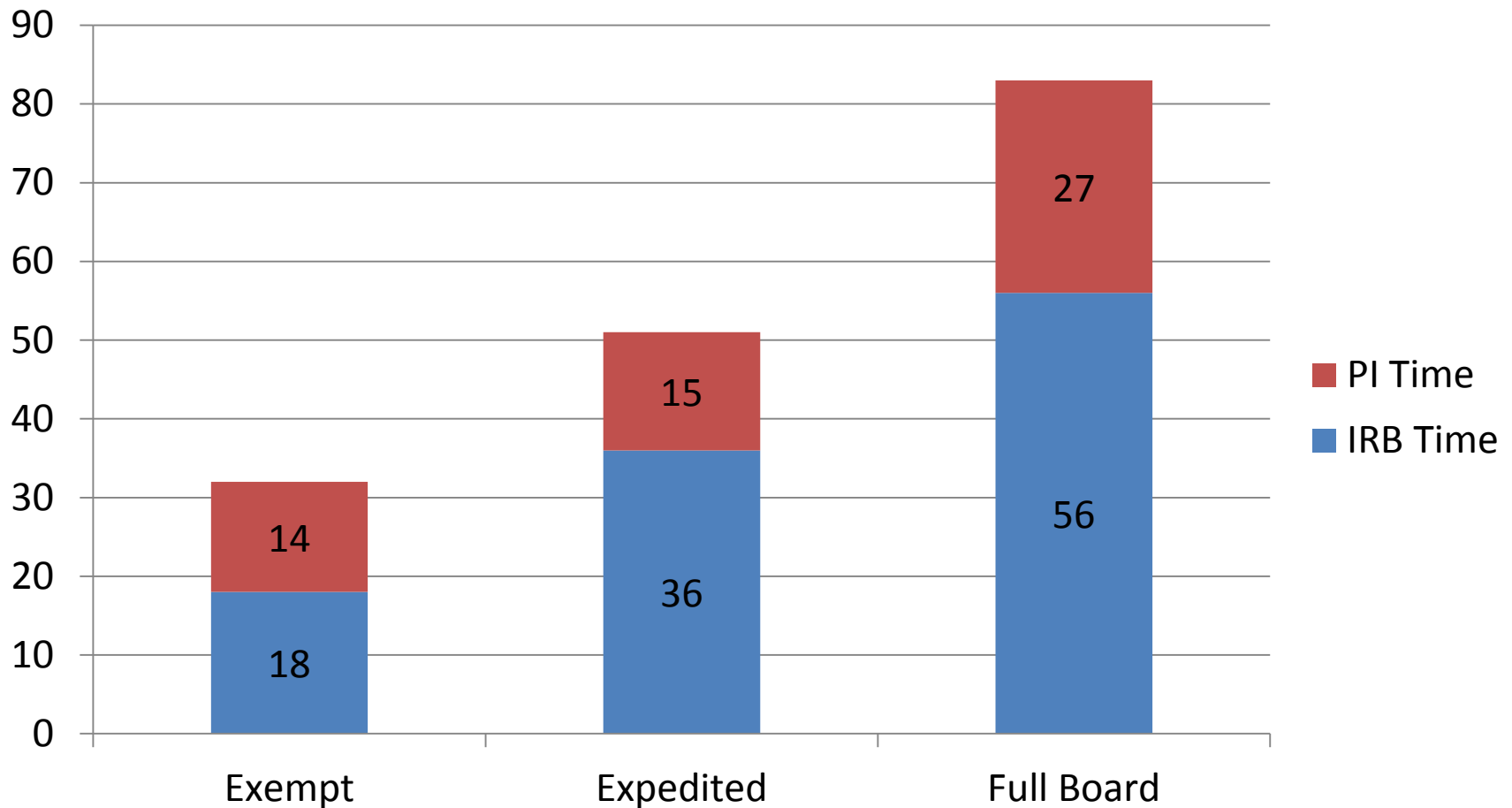
IRB Restructuring – Full Board

- 1 IRB Panel meeting weekly on Tuesdays
- Single IRB Chair & Vice Chair
  - Ron Evans, Health and Human Performance
  - Betsy Ripley, Internal Medicine
- Stipulation letters out by end of the week
- Limited IRB staff pre-review
  - Thorough staff review concurrent with IRB member review
- Stipulations based on IRB Criteria for Approval and VCU Policy

IRB Restructuring – Expedited & Exempt

- IRB staff analysts / members complete most reviews

- Share expedited and exempt reviews across team of 5

- Chair sign off on letters not required

Study Team Collaboration

- Submit thorough, quality applications
  - Request consult prior to submission if complex or new situations
- To have the greatest impact PIs must respond to requests for information quickly!
- FB IRB Administrators will seek critical information the Monday before each meeting

Goals by July 1, 2017

- FB T2A: 83 days ⟶ 53 days
- Expedited T2A: 68 days ⟶ 30 days
- Exempt T2A: 31 days ⟶ 10 days
- Increase IRB's uniform adherence to regulatory requirements
- Increase researchers' uniform adherence to regulatory requirements

Virginia Commonwealth University
Grants and Contracts Accounting
and Effort Reporting

Director
Mark Roberts

Office Manager
Diana McClendon

Training Manager
Catherine Short

(shared with Pre-award)

Associate Director
Presepine Fleming

Manager – Cash Compliance & Systems
Tiffany Mason

Alpha Team
Monroe Park
Joyce Carpenter *
Liana Fino
Charlotte Ross
Priscilla Clayborne

Beta Team
Health Sciences
David Plunkett *
Patricia Dunlap
Danielle Wilson
Vaishali Naphade

Cash Compliance Coordinator
Shavonda Gravely

Effort Reporting Supervisor/ECRT
Vacant

Delta Team
Ctrs/Massey Cancer
Crystal Monroe *
Lynn Boyd
Deborah Adams
Vacant

Gamma Team
Health Sciences
Nancy Nicholson *
Vanessa Byrd
April Henderson
Delois Alexander

Accountant
Vacant

Professional Systems
Robert Wilson

Quarterly Systems
Calcine Harris

*team leaders

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April 7, 2016

Year End Schedule 2016

The University is prohibited from having a cash deficit at the end of the year. Therefore, the year-end expenditure process is managed to ensure that all cash balances remain positive. To accomplish this and provide departments the opportunity to manage their budgets more effectively the following schedule is established. If you have any questions concerning the schedule, please contact the Banner Finance Help Line at 828-0388.

Dates are subject to change to accommodate deadlines established by the Department of Accounts of the Commonwealth of Virginia.

March 31 Close of business	Cut-off for creating the base files for FY 17 budget implementation. Permanent budget reallocations after this date will not be included in FY 17 budget implementation
June 17 Close of business	Invoices submitted to Accounts Payable after this time are at risk of not being processed in FY 16
June 22 Close of business	Decentralized service center billing deadline – No additional FY 16 charges after this date
June 23 Close of business	Final supplemental payroll, if needed, will be posted
June 23 Close of business	BOA Procurement Card transactions for May 14-June 15 will be posted no later than June 23
June 24 Close of business	Deadline to process changes to purchase orders in Eva
June 24 Close of business	Last day to create new funds and orgs
June 27 Close of business	Deadline to create FY2016 purchase orders (PO's) in eVA **Note:** As time permits, PO's and invoices with 3-way match will process for payment through 1:00pm on June 30
June 27 Close of business	Deadline for departments to enter PHAREDS adjustments
June 30 12:00 PM	Cashier closes for FY 16
June 30 12:00 PM	Deadline to enter receiving transactions into Banner
June 30 12:00 PM	FY16 Check processing complete
June 30 3:00 PM	Transaction approval authority for Banner Finance users will be removed at 3:00 PM; inquiry access remains in place **Note:** Journal entries must be approved for the entries to post in FY 16
July 1	Banner Finance system will be available for inquiry only so that year-end processing can be completed
July 2	VP offices should forward significant current budget reallocation entries to the Controller's Office at finsecurity@vcu.edu
July 6-7	VP Offices should forward any additional request for current budget allocations to the Budget Office for approval
July 8	E-print reports will be available

Grants and Contracts Accounting - Year End Preparation Tips

RACM April 27, 2016

Be familiar with the Controller website "Year End Schedule"
http://www.controller.vcu.edu/finreporting/yrendschedule.pdf

Communicate with sub-recipients to submit invoices as timely as possible if needed to be paid in this fiscal year. **Invoices submitted to AP after June 17 are at risk of not being paid.**

BOA Procurement Card transactions **– Transactions for May 14 – June 15 will be posted by June 23**

Service Centers **– No additional FY 16 entries after June 22**

New Funds and Orgs in Banner **– June 24 is the last day that new Funds and Orgs will be able to be created in Banner by the Controller Office or by G&C**

PHAREDS **– June 27 is the last date to process PHAREDS adjustments. Proactively reviewing Effort Statements with certifiers before a budget period or project ends is a great way to ensure accurate reporting and minimize compliance risks.**

Labor encumbrances in Banner are only reflective of periods through June 9. Recalculations will take place on July 1. The Research Dashboard reflects encumbrances for active personnel through the project period.

VCU FERs – Please return forms to Accountants. Often times Banner may not reflect documentable pending salary and non-labor obligations incurred for the award year ending but not encumbered (GA Tuition, Animal Use charges, etc.) Otherwise Banner will be used to meet Sponsor Reporting deadlines.

Research Administration and Compliance Meeting

Wednesday, April 27, 2016

Change in State Rehire Policy

- [Instant HR Announcement – April 18](#)
- Current Interpretation – Applicable Immediately – No exceptions
- Consultants - Can there be any carve-outs?
- Contact your Personnel Administrator or HR Consultant with questions

Rigor and Reproducibility
NIH Guidance

- [NIH Rigor and Reproducibility Webpage](#)

- Goals

- Guidance – Grant Applications

- Institutional Training Grants, Institutional Career Development, and Individual Fellowships ([NOT-OD-16-034](#))

- Resources, News, and References

Restructured and Streamlined Application Guides

- NOT-OD-16-084

- How to Apply – Application Guide Webpage

- Instructions Chart based on Activity Code

- Forms D Changes – Highlights

- Biosketch Changes - Highlights

Reporting Instructions for Publications Supported by Shared Resources

- [NOT-OD-16-079](NOT-OD-16-079)

- NIH continues to encourage awardees to share resources

- Reporting in RPPRs and Renewal Applications
  - Applies to awardees whose only contribution are resources shared
  - Do not list in C.1 or RPPR or publication list in renewal
  - Summarize in B.2, if desire to report

Save the Date!!

- Thursday, October 20, 2016
- Full day conference for VCU faculty and staff covering multiple research administration and compliance topics
- Academic Learning Center – Monroe Park Campus

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