Sponsored by Committee on the Administration of Research January 19, 2011

Research Administration and Compliance Meeting

Agenda January 19, 2011

Welcome

Staff Updates -

- OSP Post-Award Manager Amy Lutero
- OSP Blue Team Reviewer Farah Mirza

General Items/Updates

- Required Training Investigator and Administrator Training Susan Robb/Tricia Perkins
- Research Administration Roles and Responsibilities Matrix Susan Robb
- Post-Award Administration Compliance Fiscal Responsibilities Tricia Perkins

G&C Updates

- Effort Reporting Update Presepine Fleming/Mark Roberts
- Current Initiatives/G&C Close-outs Status

 Mark Roberts

OSP Updates

- Basic, Applied, Developmental classifications- Susan Robb
- IAF Personnel Section Clarifications Susan Robb
- Training Sessions and CAR Library Susan Robb
- VCUeRA Workflow Update Annie Publow
- Transaction Routing Form Susan Robb
- Recent NIH Changes & Announcements Susan Robb
 - X-Train Required 1/1/11 Select Amy Lutero as Business Officer
 - Two-Day Correction Window eliminated effective 1/25/11
- Certification Program Annie Publow

Future RACM dates – Larrick Hall

•May 25, 2011 - 1:00 - 3:00 p.m.

Required Training Update

- CAR members have identified those who are required to complete training
- Two separate training programs one for Faculty and one for Administrators
- Each training program will involve two training sessions (Sponsored Project Administration and Effort Certification) with one final exam.
- Implementation sometime this Spring ~90 days to complete

Faculty Survey on Existing Awards (Basic, Applied, Developmental)

- Survey request sent twice (October & December)
- Received 44% Return
- One more message
 - Marked Research Assume Basic
 - Marked Clinical Trial Assume Applied
 - If they respond, we will change

IAF Personnel Section

PERCENT EFFORT AND PERCENT RESPONSIBILITY ON PROJECT

+	Key F	Personnel and Faculty:								
Γ				CAL	ACAD	SUMR	%	%	COI	
L	Key	Name	Role on Project	Mnths	Mnths	Mnths	EFFORT	RESP	Form	
Γ	_								Signed	Sal Esc
L										
									Signed	Sal Esc
L										
	_								Signed	Sal Esc
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*Please use the Continuation Page for additional Co PI listings (http://www.research.vcu.edu/forms/ContinuationPageNov2010.doc)

NIH Definition - Key Personnel The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. "Zero percent" effort or "as needed" is not an acceptable level of involvement for key personnel.

OSP Comment – NIH program officials use discretion in naming senior/key personnel other than the PD/PI(s) in the NOA. This does not diminish the scientific contribution to the project of the other senior/key personnel; it merely limits the number of individuals who are affected by the prior approval requirement to those specifically named on the NOA.

CAR-Sponsored Training 2011

DVD Sessions (February – October)

- Effort Reporting
- Conflict of Interest: How to Spot and Manage It
- Subawards: A Survivor's Guide of Key Concepts and Principles
- Managing Cost Issues
- Effective Proposal Development
- Complex Agreements
- Good Customer Service for Research Administrators: How to Support the Research Endeavor at Your Institution
- Cost Sharing: Why No Good Deed Goes Unpunished
- Guiding the Principal Investigator through Proposal Development, Submission and Award Management

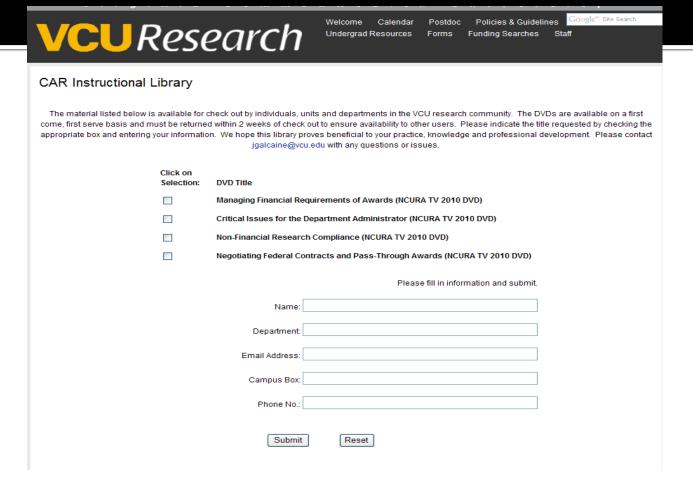
Other Upcoming Training

OSP-conducted sessions

- Budgeting in Proposals and Subcontracts
- VCUeRA 2.0
- VCUeRA Proposal Tracking

Certification Program — Fall 2011

CAR Instructional Library



Go to OSP Website: http://www.research.vcu.edu/osp/index.htm
In the Dropdown, Select "Training"
Click on CAR Instructional Library

Transaction Routing Form



Principal Investigator:

Virginia Commonwealth University Office of Sponsored Programs

Transaction Routing Form

PD/PT#_	
Team_	
For OSP Use Only: Date & Time	

PROPOSAL TRANSACTIONS
New Proposal – Include completed and signed IAF, COI, cost share authorization, line item budget, sponsor program announcement and complete proposal as requested by sponsor Confidentiality Disclosure Agreement (CDA), Non-Disclosure Agreement
Request for Competing Continuation and/or Supplemental Funds – Include completed and signed IAF, COI, cost share authorization, line item budget, etc. Change of Institution Request (transfer in to VCU) – Include completed and signed Grant Transfer Between Institutions Form, IAF, COI, cost share authorization, line item budget as well all sponsor-required documentation

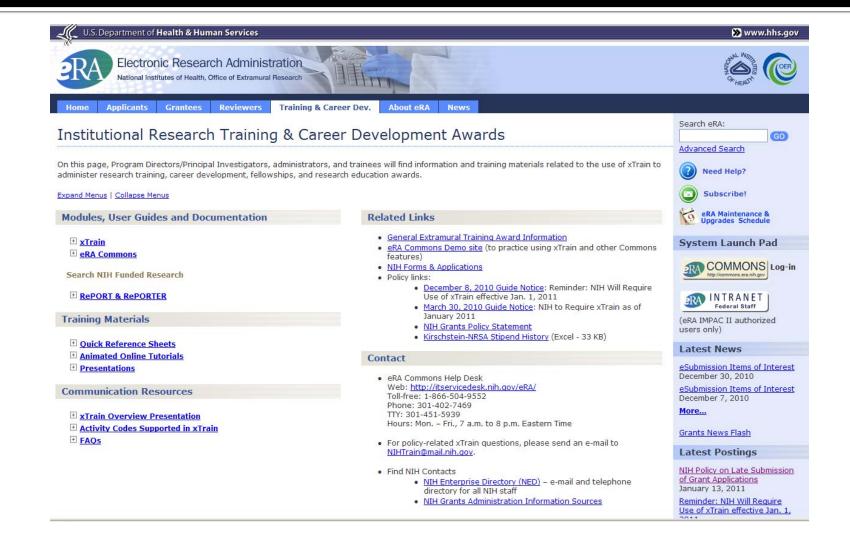
Department:

Transaction Routing Form

PRE-AWARD TRANSACTIONS
Just In Time – Include completed JIT report for review and submission by OSP staff. Check here if JIT documentation has been uploaded to eRACommons. Revised Budget Request – Include revised budget and justification Award for Negotiation/Process – Include award to be reviewed
POST-AWARD TRANSACTIONS
Subaward Request or Subaward Modification Request – Include completed Subaward Request or Subaward Modification Request Form and required attachments Progress Report/Non-Competing Continuation – Include completed Progress Report Routing Form Carryforward Request – Include Carry-forward letter No-Cost Extension Request – Include completed No-Cost Extension Request Form and attachments Change of PI Request – Include completed IAF and COI with PI Change Request letter for sponsor and new PI biosketch Change of Institution Request (Transfer Out of VCU) – Complete Grant Transfer Between Institutions Form as well as all sponsor-required documentation Modification – Decrease of Funds Modification – Increase of Funds not reported on initial IAF – Include completed and signed IAF, COI, cost
share authorization, line item budget, etc. Other Prior Approval Request: Type: Other:

This form should accompany all documents submitted to OSP except those submitted through VCUeRA. For electronic submissions, it can be submitted via e-mail to dirospa@vcu.edu

X-Train Information http://era.nih.gov/training_career/index.cfm



X-Train

Electronic Submission (through eRA Commons) of:

- Statement of Appointment Forms and Termination Notices for
 - Trainees on T32, T34, T35, T90, TL1, TU2, and T15;
 - Scholars on K12, KL2, and KM1;
 - Participants to R25 and R90 Awards

VCU's Business Officer is Amy Lutero

Two-Day Correction Window Eliminated

January 5, 2011 E-Mail Message from Frank Macrina to NIH Proposal Writers

Dear Colleagues:

Beginning with proposals submitted after January 25, 2011, the National Institutes of Health (NIH) will no longer permit a post-deadline correction window. In other words, any open correction windows will be closed by NIH at 5pm local time on the deadline date.

Typical corrections (e.g., grants.gov validation, NIH commons errors) must be completed in advance of the due date to ensure timely and successful submission. The option to correct proposals within 48 hours of electronic submission still exists, but it must be used well in advance of the deadline date. If you were to open a correction window within 48 hours of the submission deadline, all correction would have to be completed and accepted by the 5pm deadline.

Presently the Office of Sponsored Programs (OSP) expects proposals for review 5 days prior to the deadline. I strongly urge you to submit 7 days in advance to accommodate this NIH policy change. OSP initial review of proposals will continue to be based on a first come, first served basis. However, going forward our submission priority will be based on proposals that are reviewed and complete (with all final PDFs) as well as already-submitted proposals that need corrective action. Timely response to OSP review staff questions and requested changes will ensure your place in the submission queue.

Under this new NIH policy, it is unlikely that proposals sent to OSP for review on the due date can be successfully processed given the elimination of the error correction window beyond the submission deadline.

Regretfully, this NIH policy change places additional pressure on you and our OSP staff. However, rest assured that our staff will continue to work with you to ensure that every NIH application gets successfully submitted. I ask you to carefully consider and implement adjustments in your proposal preparation timelines to accommodate this NIH imposed mandate.

Best regards,

Frank

RESPONSIBILITIES																
RESPONSIBILITIES	PI	DEPT ADMIN	DEPT CHAIR		OSP	G&C	ORCE	ORSP/ IRB/ IACUC	DAR	VP RES		TECH TRANS	IBC	COIC	ASSUR SVCS	Others with Roles*
KEY																
P = PRIMARY RESPONSIBILITY																
S = SECONDARY RESPONSIBILITY																
I. GENERAL RESEARCH ADMINISTRATION ACTIVITIES AND SUPPORT																
Strategic																
Direct and guide the University's research mission										Р						
Develop and direct new University research centers				S						Р						
Nurture technology related relationships and partnerships with				_								_				
industry and government.				S						Р		S				
Evaluate individual workloads and staffing levels compared to																
sponsored program growth to determine staffing needs within Unit																
Admin and Central Admin			Р	Р	Р	Р										
Policy																
Participate in policy formulation					S	S		S		Р	Р	S	S	S		
Review, interpret and disseminate policies from federal and non-																
federal funding and regulatory agencies					Р	Р		Р					Р			
Keep current with policies related to compliance activities and assess					_	_		_								
and communicate their effect on the University					Р	Р		Р					Р			
Interpret and implement University policies related to grants and contracts					Р	Р							Р			
Develop standard procedures for research processes					Р	Р		Р					Р			
Oversee Limited Submission Policy/process					Р											
Training																
Develop training strategy for research community										Р	Р					
Develop training curriculum for fiscal compliance						Р										
Develop training curriculum for human and animal subject compliance							Р	Р								
Develop training curriculum for research administration compliance					Р											
Prepare content for individual training sessions or modules and lead													-			
training sessions for assigned topics					Р	Р	Р	Р								
Monitor the delivery of the training and assess the effectiveness					Р	Р	Р	Р								

RESPONSIBILITIES																
								ORSP/								Others
		DEPT	DEPT	DEAN				IRB/		VP	VP	TECH			ASSUR	with
	PI	ADMIN	CHAIR	OFF	OSP	G&C	ORCE		DAR	RES		TRANS	IBC	COIC		Roles*
Monitor compliance requirements and ensure training program is																
modified as necessary					Р	Р	Р	Р		S	S					
Coordinate all administrative aspects of research training -																
communicate training courses, handle training registration, secure																
space for training sessions, review training evaluation forms, etc.					Р	Р	Р	Р								
Attend relevant training courses	Р	Р														1
Encourage, support and attest to appropriate education of university,																
state, and federal policies and regulations.					Р	Р	Р	Р		S	S					
Performance Measures																
Develop key performance measures for central research																
administration units and academic units				Р	Р	Р		Р		S	S					
Establish performance goals for all research units			S	S						Р	Р					
Communicate performance goals throughout research community			S	S						Р	Р					
Monitor performance goals and communicate outcomes			S	S				S		Р	Р					
Build standard performance measurement reports				Р												
Compliance - General																
Disseminate compliance information and new regulations to the																
research community					Р	Р		Р					Р			
Serve as advisor to research administration units on key compliance																
topics					Р	Р		Р					Р			
Comply with University policies on misconduct in research	Р															
Comply with federal, state and University policies and regulations																
governing sponsored programs	Р	Р						Р								
Determine appropriate responses to incidents of non-compliance																
			Р	Р				Р								5
Act as liaison with federal regulatory agencies during external																
compliance reviews					Р	Р		Р								
Serve as expert resource on knowledge of federal and other sponsor																
regulations					Р	Р		Р								
Review current practices to identify research compliance risks					S	S		S							Р	
Communicate and network with peer institutions					Р	Р		Р								5
Monitor federal compliance requirements to develop and implement																
compliance audit workplans						S									Р	
Coordinate the A-133 audit						Р										
Coordinate all financial audits						Р										
Coordinate pre-award audits					Р	Р										
Coordinate site visits	Р															
Core Facilities	\perp															
Identify need for core facility(s)											Р					

RESPONSIBILITIES																
								ORSP/								Others
		DEPT	DEPT	DEAN				IRB/		VP	VP	TECH			ASSUR	with
	PI	ADMIN			OSP	G&C	ORCE		DAR				IBC	COIC		Roles*
Establish "business plan" including resource needs and funding																
sources											Р					
Notify appropriate offices (AVPR, OSP, RCIPM, etc) that core facility																
has been established											Р					
Review and approve plan											Р					
If recharge activity is involved, develop recharge rates in accordance																
with A-21 and University policy			Р													
Review and approve core facility recharge rates																2
Monitor core facility activity for financial compliance																2
Identify need to close core facility and close it										S						3
Cost Reimbursement																
Prepare and negotiate F&A cost rate proposal																2
Prepare and negotiate fringe benefit rate																2
Set up rate template for fringe rate types in VCUeRA					Р											
Communicate changes in fringe rates with OSP																2
Communicate F&A rate to University personnel																2
Pre-Proposal Support																
Identify funding opportunities	Р															
Maintain database of proposal submissions and awards and provide																
information to schools					Р											
Provide reports to administrators for tracking funding trends and																
determining resource allocation					Р											
Assist with implementation of sponsor electronic grant processing																
systems					Р											
Work with the Congressional delegation to promote the University's																
areas of priority for funding																4
Act as liaison with granting agencies, facilitating proposal																
development and promoting interaction with interested faculty					Р					S						
Foster new multidisciplinary research initiatives										Р						
II. PROPOSAL DEVELOPMENT AND BUDGETING																
General																
Identify and communicate required training courses for PI to be																
eligible to submit proposal					Р											5
Attend the required training courses prior to submitting application for																
funding.	Р	Р														
Provide proposal forms and application materials	Р	S														
Verify that there is some level of effort included in proposal per																
regulations	Р	Р	S	S	S											
Ensure that the proposal gets to OSP by internal deadline	Р	S	S	S												

RESPONSIBILITIES																
···								ORSP/								Others
		DEPT	DEPT	DEAN				IRB/		VP	VP	TECH			ASSUR	with
	PI	ADMIN	CHAIR	OFF	OSP	G&C	ORCE	IACUC	DAR	RES	FIN	TRANS	IBC	COIC	SVCS	Roles*
Review and adhere to proposal or application terms and conditions,																
as well as agency rules and regulations	Р	S		S												
Agree and comply with proposal or application terms and conditions,																
as well as agency rules and regulations	Р		S	S												
Confirm that the entire proposal meets administrative requirements																
outlined in the application instructions				Р												
Ensure that the applicant has attended required training courses				S	Р											
Ensure that the applicant is eligible to be a principal investigator			Р	S												
Technical Proposal																
Prepare technical proposal	Р															
Identify the need for subcontracts	Р	S														
Identify and request on- or off-campus space needed in addition to																
that already assigned to the PI	P															
Request modifications or renovations to on-campus or off-campus																
space if necessary	P															
Complete the appropriate forms from the IRB, IACUC, Chemical,																
Radiation, and Bio Safety Committees, etc. (see Section V for more																
detail)	P															
Identify conflicts of interest and commitment and prepare COI																
disclosures (See Section V)	P															
Present proposal for review/approval by appropriate external peer																
review group	Р															
Conduct department or administrative unit review of proposal relative																
to scientific merit, resource utilization or other department-specific																
concerns			Р													
Proposal Budget																
Provide help as needed to PIs and others on preparation of budgets					_											
and other forms		Р		S	S											
Request matching funds or identify in-kind contributions according to																
University policy Request a facilities and administrative cost waiver, if appropriate	P		-													
	P	0	S	S												
Identify and evaluate issues related to program income Verify that budget items are in accordance with A-21 (which also	Р	S														
includes cost accounting standards)																
Select the appropriate facilities and administrative rate and fringe	P	S														
benefit rate	P	s														
Deficill rate	P	5														
III. PROPOSAL REVIEW, APPROVAL AND PROCESSING																
Approve request for additional space or modifications or renovations																
to existing space			Р	s												

RESPONSIBILITIES																
								ORSP/								Others
		DEPT	DEPT	DEAN				IRB/		VP		TECH			ASSUR	with
	PI	ADMIN	CHAIR	OFF	OSP	G&C	ORCE	IACUC	DAR	RES	FIN	TRANS	IBC	COIC	SVCS	Roles*
Approve technical proposal			Р	S												
Approve proposal budget and its justification			S	Р												
Approve department funds to be used for matching funds			Р													
Approve Dean's funds to be used for matching funds				Р												
Evaluate, and approve or deny, request to seek funds from AVP of																
Research to be used for matching funds			Р	Р												
Approve proposals prior to submission to OSP			S	Р												
Confirm that matching funds and cost sharing are documented and																
approved				S	Р											
Oversee (with respect to assurance) that budget items are in																
accordance with A-21 and the cost accounting standards					Р											
Review proposals to ensure that they are consistent with the																
University mission/policies					Р											
Review proposals to ensure that they commit an appropriate level of																
University resources					Р											
Ensure that proposals comply with the policies and procedures of the																
sponsor					Р											
Evaluate requests for F&A rate reductions or waivers					Р					S						
Approve F&A rate and waiver (if necessary)					Р					S						
Determine the appropriateness of the grantor					Р											
Check the final application for completeness					Р											
Sign as the Institutional Official on behalf of the institution assuring																
institutional oversight					Р											
Submit electronic proposal to Sponsor					Р											
Return signed documents to PI for submission to Sponsor					Р											
Mail/submit the proposal to sponsor	Р															
Log proposal into VCUeRA					Р											
IV. AWARD ACCEPTANCE																
Preaward																
1 Request advance preaward accounts, if necessary	S	Р														
2 Approve commitment of department funds if project not funded			Р													
3 Establish advance pre-award account						Р										
Negotiation																
Negotiate and approve the project scope	Р				S											
Assist OSP as needed to obtain information during award					-											
negotiations	Р	S		S												
Negotiate, approve, and notify the PI of the project terms and																
conditions					Р											
Modify the project budget in line with the award budget provided by																
the sponsor	Р	S														

RESPONSIBILITIES															
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	PI	ADMIN	CHAIR	OFF	OSP	G&C	ORCE	IACUC DAR	RES	FIN	TRANS	IBC	COIC	SVCS	Roles*
Notify the department chair, dean's office where applicable, and OSP															
about any changes in project scope and budget	Р	S													1
Notify the appropriate regulatory office if changes to project scope will															
affect approved protocols	Р	S													1
Acceptance and Set-Up															
Receive the Notice of Grant Award					Р										
Evaluate whether award is a gift or grant					Р										
Accept the agreement on behalf of the University					Р										
Review the Notice of Grant Award					Р										
Establish the project record in VCUeRA and distribute the Notice of															
Grant Award to the IAF distribution list					Р										1
Request subcontract	Р	S													
Develop and negotiate subcontracts in response to PI request					Р										
V. PROTOCOL REVIEW, APPROVAL & MONITORING															
Human and Animal Subjects															
Review sponsor rules and regulations as well as applicable contract															
terms and conditions relative to University policies and procedures to															1
ensure they are properly reflected in protocol materials															1
	Р							S							1
Provide proposal forms and protocol application materials and help in															
completing the forms								Р							<u> </u>
Complete the protocol application and submit the application to the															1
appropriate office	Р														
Request waiver of HIPAA authorization (if appropriate)	Р														
Approve waiver of HIPAA authorization (if appropriate)								Р							
Confirm that protocol application is complete and includes all required															1
information								Р							ļ
Ensure that appropriate research personnel have attended required															1
training courses (including HIPAA)								Р							6
Determine the status of reviews performed by other compliance															1
committees								S							<u> </u>
Conduct preliminary review and triage of protocol in preparation for															1
Committee review								Р							<u> </u>
Ensure that all inter-institutional agreements related to 's federal-wide															1
assurance are complete								Р							
Ensure appropriate composition of the Committee membership								Р							
Perform required review (expedited or full-board) and communicate															1
approval decisions to investigators and sponsors								Р							<u> </u>
Review and incorporate Committee required modifications into															1
protocol materials	P														

RESPONSIBILITIES																
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	PI	ADMIN	CHAIR	OFF	OSP	G&C	ORCE	IACUC	DAR	RES	FIN	TRANS	IBC	COIC	SVCS	Role
Evaluate and reconcile other compliance committee																
recommendations into protocol materials	Р															
Ensure that appropriate compliance committees review revised																
protocols prior to final approval and incorporation into research																
proposals or award activities	Р															
Ensure that sponsor terms and conditions are consistent with final																
protocol terms and materials								Р								
Ensure that research activities are performed in accordance with																
reviewed and approved protocol materials	Р															
Ensure that research data involving human subjects is not shared																
unless it is de-identified	Р															
If research data can't be de-identified completely, ensure that it is not																
shared without third party signing data use agreement	Р															
Obtain additional compliance committee approvals as necessary to																
accommodate potential changes in protocol activities	Р															
Evaluate adverse events relative to severity, relatedness and the																
extent to which the adverse event was anticipated as defined in the																
investigator brochure and informed consent documents	Р															
Conduct investigations relative to adverse events to evaluate the																
extent to which the adverse event should be communicated to																
stakeholders such as enrollees in the research protocol, research																
sponsors, federal oversight agencies, etc								Р								
Report adverse events to the Committee, sponsor and federal																
oversight agencies as appropriate								Р								
Suspend or revise research activity as necessary to respond to																
serious, unanticipated adverse events							Р	Р								
Maintain appropriate, current approvals from all compliance																
committees during the life of the research activity	Р															
Maintain appropriate records and documentation to demonstrate																
informed consent, appropriate protocol review, participant and																
protocol status, and other relevant administrative activities	Р															
Report to OHRP, FDA and other appropriate oversight organizations																
significant lapses in compliance procedures that may have exposed																
research participants to unnecessary risks							Р									
Provide access and information for research participants to withdraw																
from research protocols	Р															
Receive and evaluate reports of serious adverse events resulting from																
Committee investigations or PI reports to external oversight agencies																
Drongro and implement recognized to include reject in investinative								Р								-
Prepare and implement responses to issues raised in investigative reports	Р															

RESPONSIBILITIES															
								ORSP/							Others
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	PI	ADMIN	CHAIR		OSP	G&C	ORCE	IACUC DAI	RES			IBC	COIC	SVCS	Roles*
Notify Committee when protocol activity has ended	Р														
Prepare reports of protocols nearing approval expirations								Р							
Notify Investigator that a protocol's approval will soon expire and															
direct Investigator to apply for renewal of the approval								Р							
Prepare reports of expired protocols								Р							
Communicate protocol's expired status to Investigator and require															1
Investigator to stop all protocol activity								Р							
Communicate closeout status to close financial accounts related to]
the expired protocol								S							
Close all financial accounts related to expired protocols															<u> </u>
Prepare and submit renewal application for Committee approval	Р														
Animals Only															
Place order for animals								P							
Confirm that an approved protocol exists								P							
Verify that protocol is linked to account number								Р							
Confirm availability of funds								P							
Enter order into system and send to vendor								Р							
Receive order confirmation from vendor and enter information into															
system								Р							1
Receive order, enter information into system, generate cage cards															
and notify census takers								Р							1
Produce bills to charge against account #								P							
Conflicts of Interest															
Identify conflicts of interest or financial arrangements related to															
research, prepare COI disclosures for review by the COI committee,															1
and propose management plans	Р]
Review proposals to determine whether the potential COI may															
reasonably be thought to directly and significantly affect the design,															1
conduct, or reporting of the sponsored research or educational															1
activities													Р		1
Determine what conditions or restrictions, if any, should be imposed to															
manage, reduce, or eliminate the conflict of interest													Р		
Prepare and obtain approval of COI management plan													Р		
Inform the PI, Dept Chair, and Dean of decisions related to conflicts															
													Р		<u> </u>
Monitor compliance with approved COI management plan													Р		
Safety															

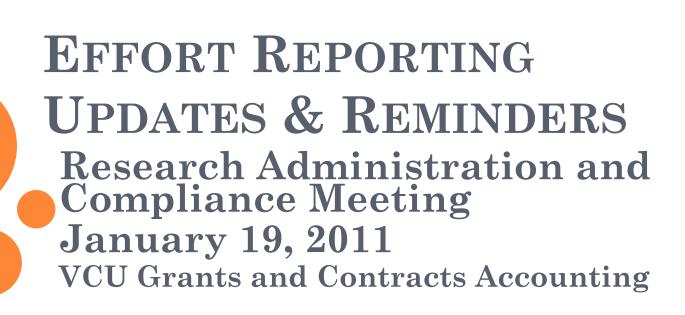
RESPONSIBILITIES																
KEOI ONOIDIEITIEO								ORSP/								Others
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	PI	ADMIN	CHAIR		OSP	G&C	ORCE		DAR				IBC	COIC	SVCS	Roles*
Provide appropriate materials for review by Committee for protocols																
involving recombinant DNA, hazardous chemicals or biological																
materials, or sources of ionizing or nonionizing radiation.																
	Р															
Develop program to meet new biosafety and biosecurity regulations																
													Р			
Complete and submit biosafety security risk assessments to DOJ																
													Р			
Maintain records of biohazardous materials	Р															
Develop safety, security, and emergency plans for biohazardous																
materials for the lab	Р															
Develop safety, security, and emergency plans for biohazardous																
materials for each School/College				Р												
Develop safety, security, and emergency plans for biohazardous																
materials for VCU													Р			
VI. FINANCIAL MANAGEMENT OF AWARDS																
Budget and Cash Management																
Prepare single source justification for purchases, if necessary	Р	S														
Submit Payroll Action Form (PAF) to reduce faculty's budgeted time																
for teaching and encumber salary on research grant		Р														
Verify that expenditures meet A-21 requirements at the time they are																
requested	P	Р														
Prior to approval, review certain types of transactions or expenditures	?															
over a certain threshold (to be established in new policy and																
procedures).																
Monitor grant transactions from various units for appropriateness and																
adherence to federal, state and local regulations.	Р	Р				Р										
Establish policy and procedures that ensure the accuracy and																
timeliness of all financial transactions posting to the general ledger		_														P2
Initiate request for rebudgeting and prepare documentation	Р	S														
Review rebudgeting requests and either approve them or return them					_											
for issue resolution		_			Р											
Receive subcontractor invoice	-	Р														
Approve that work was done by subcontractor Approve and process payment of subcontractor invoices	P	P						 								
Ensure that A-133 reports are received from subcontractes	Р	Ρ Ρ				Р										-
Recommend approval of carry forward of unexpended funds for non-	1					Р										
FDP awards (approval forward on FDP awards done automatically)																
T DE awards (approvariorward on FDE awards done addomatically)	Р															
Initiate the process of documenting cost sharing and/or matching	P	Р														
initiate the process of documenting cost sharing and/or matching	٢	۲		1			1	1	1							

RESPONSIBILITIES																
NEOF ONOIDIEITIES								ORSP/								Others
		DEPT	DEPT	DEAN				IRB/		VP	VP	TECH			ASSUR	with
	PI	ADMIN			OSP	G&C	ORCE		DAR			TRANS	IBC	COIC		Roles*
Report cost sharing on sponsored awards	Р	Р														
Collect money from Schools for cost sharing	Р	Р														
Provide institutional oversight related to documenting cost sharing																
and/or matching						Р										
Prepare documentation/justification for cost transfers	Р	Р														
Process cost transfer requests						Р										
Review and approve cost transfer requests for compliance with																
University policy						Р										
Provide institutional oversight on cost transfers						Р										2
Propose resolution of overdraft	Р															
Review proposed resolution of overdrafts and either approve them or			-													
return them for issue resolution			Р	Р												
Maintain local oversight for the project budget	Р	S														
Prepare and submit invoices to sponsors						Р										
Prepare and process letter of credit draws						Р										
Receive payments from sponsors and deposit them in University																
accounts						Р										
Resolve payment problems with late or non-payment by funding																
agencies						Р										
Financial & Management Reporting																
Provide timely and accurate financial information/reports		Р				Р										
Use monthly reports for financial monitoring and identify and resolve																
errors on the account in a timely manner	Р	Р														
Develop new or ad-hoc management reports for Pls, Unit Admin,																
Deans and Central Admin						Р										2
Provide interim financial reports to the sponsor and notify the principal																
investigator						Р										
Prepare financial report for submission to sponsor						Р										
Certify the financial report before submission to sponsor	Р															
Identify all program income and communicate to OSP	Р															
Identify the use and reportability of program income					Р											
Monitor receipt of program income						Р										
Provide institutional oversight to record and report program income																
						Р										
Deposit program income						Р										
Prepare and send the report of program income to the sponsor						Р										
Provide troubleshooting support for issues related to Grant modules																
						Р										2
VII. NON-FINANCIAL MANAGEMENT OF AWARDS																
Scientific/Program Management																·

RESPONSIBILITIES																
RESI SHOIDIEITIES								ODCD/								Othoro
		DEPT	DEPT	DEAN				ORSP/ IRB/		VD	VP	TECH			ASSUR	Others
	PI	ADMIN			OCD	000	ODOE			VP		TRANS	IDC	0010	SVCS	with
		ADMIN	CHAIR	OFF	05P	G&C	ORCE	IACUC	DAR	KE5	FIIN	TRANS	IBC	COIC	5705	Roles*
Conduct the sponsored project	Р															
Complete and submit interim technical reports	Р															
Initiate material transfer agreements	Р															
Review and approve incoming materials transfer agreements					Р							Р				
Complete the progress report for non-competitive renewals	Р															
Provide oversight for all research activity	Р															
Provide local oversight on implementation of University, state and																
federal policies and regulations	Р															
Provide local oversight over appointment of individuals to the project																
	Р	S														
Initiate programmatic changes to the project	Р															
Review programmatic changes to the project					Р											
Provide institutional endorsement to the sponsor for requests for																
administrative or programmatic changes initiated by the principal																
investigator					Р											
Human Resource Management																
Hire or assign research personnel for project and prepare documents																
for appointment of individuals to project	Р	S														
Approve appointment of students	Р	S														
Approve appointment of researchers	Р	S														
Approve appointment of administrative (non-student and non-																
researchers) positions	Р		S													
Terminate research personnel	Р	S														
Effort Reporting																
Central Effort Reporting Office																
Notify departments when effort reporting cycle is open		S				Р										
Provide information to facilitate compliance with effort reporing policy																
						Р										
Monitor certification status and send notices regarding uncertified																
effort		P				Р										
Collect and maintain official records of effort reporting						P										
Departments and OSP																
Complete effort report	Р	S	S													
Track current and pending effort commitments	P	S	3		Р											
Update and maintain effort commitments	P	P			P											
Provide information to facilitate compliance with effort reporing policy	1	P			P											
Frovide information to facilitate compliance with effort reporting policy	_															
Initiate cost transfers, if necessary	Р	S			S	Р										-
	S	P														
Provide local oversight for completion of effort certification	Р	P				S										

RESPONSIBILITIES	$\overline{}$			1			1								Τ
RESPONSIBILITIES	PI	DEPT ADMIN			OSP	G&C	ORCE	ORSP/ IRB/ IACUC	DAR	VP RES	TECH TRANS	IBC	COIC	ASSUR SVCS	Others with Roles*
Collect and maintain official records of effort reporting for period prior to ECRT															
Ensure compliance with effort reporting policy		Р				Р									
nventions				Р		Р									
Disclose invention information	Р														
Review invention disclosure information											Р				
Evaluate disclosure forms and notify the PI, Dept. Chair and Dean whether invention will be pursued											Р				
Provide invention disclosure and patent application progress reports to sponsors											Р				
Prepare patent applications; and file them with United States Patent Office															P7
Initiate and approve licensing agreements and notify the PI, Dept. Chair and Dean	<u> </u>										Р				
Complete standard invention disclosure form	Р														
VIII. AWARD CLOSE-OUT															<u> </u>
Notify the PI of the need for completion and dispatch of the final technical report					Р										
Prepare and submit final technical reports	Р				Р										
Work with units on delinquent reports when notified by agency					Р										
Resolve overdrafts	Р	Р													
Approve resolution of overdrafts			Р	Р											
Prepare final financial report and send to PI for approval						Р									
Review, certify and accept final financial report	Р														
Request from sponsor that remaining balances be carried forward Provide information on other closing reports, such as for patents and	P	S			Р										
on equipment	Р														
Retain the scientific data	Р														
Maintain the official University record					Р	Р									
Resolve issues related to late payment and problems with collection															
of awarded funds	Р				S	Р									
Review and provide guidance for completion of patent reports					Р										
Establish policies and procedures governing late payments and the removal of uncollectible costs															P2
Implement policies and procedures governing late payments and the removal of uncollectible costs						Р									
Initiate late payment procedures, assist units in identifying uncollectible costs and removes these costs from the account in															
accordance with the uncollectible costs policy						Р									
Delete or inactivate the account						Р									

RESPONSIBILITIES																
								ORSP/								Others
		DEPT	DEPT	DEAN				IRB/		VP	VP	TECH			ASSUR	with
	PI	ADMIN	CHAIR	OFF	OSP	G&C	ORCE	IACUC	DAR	RES	FIN	TRANS	IBC	COIC	SVCS	Roles*
Relinquish the grant					Р	Р										
DEFINITIONS:																
PI: Principal Investigator																
DEPT ADMIN: Fiscal Administrator/Grants Administrator																
DEPT CHAIR: Department Chair																
DEAN OFF: School Dean's Office or Equivalent																
OSP: Office of Sponsored Programs																
G&C: Office of Grants & Contracts Accounting																
ORCE: Office of Research Compliance and Education																
ORSP/IRB/IACUC: Office of Research Subjects																
Protection/Institutional Review Board/Institutional Animal Care and																
Use Committee																
DAR: Department of Animal Resources																
VP RES: Vice President for Research																
FP FIN: Vice President for Finance																
TECH TRANS: Technology Transfer Office																
IBC: Institutional Biosafety Committee																
COIC: Conflict of Interest Committee																
ASSUR SVCS: Office of Assurance Services																
Others with Roles:																
1 - Any VCU personnel who "touch" grants or contracts																
2 - Cost Analysis/Controller																
3 - Director, Core Facilities																
4 - Office of Government Relations																
5 - ReDAC																



IMPORTANT DATES

- Quarterly certifiers
 - ECRT Period 09-10-10 to 12-09-10
 - Released on January 15, 2011
 - o Due by March 14, 2011
- Semester certifiers
 - ECRT Period 08-10-10 to 12-24-10
 - Scheduled to be released on January 22, 2011
 - o Due by March 21, 2011
- Semiannual certifiers
 - ECRT Period 06-10-10 to 12-09-10
 - Scheduled to be released on February 22, 2011
 - Due by April 21, 2011

ECRT REMINDERS

- Certifier's roles
- Clinical population's ECRT statuses
- Department Dashboard
- Certifying In ECRT
- Website Updates

EFFORT REPORTING REMINDERS

- Cost Transfers
- ECRT Certification Period
- Cost sharing
- o Employee's current duties, roles, and responsibilities
- Conduct internal reviews

CURRENT INITIATIVES

- Effort Reporting's Communications
- Reviews
- Others

CONTACTS AND RESOURCES

• Questions?

Contacts

- Mark Roberts (804) 828-0033, mroberts8@vcu.edu
- Presepine Fleming (804) 828-2056, flemingpm@vcu.edu
- Elaine Squire (804) 828-0743, esquire@vcu.edu
- Tricia Kelly (804) 828-5667, takelly@vcu.edu
- Effort Reporting's email: effortreport@vcu.edu

Links

- Effort Reporting's Website:
 - http://www.controller.vcu.edu/grants/effort.htm
- ECRT:
 - https://effort.ts.vcu.edu/ecrt/initLogin.do
- ECRT Schedule:
 - $\verb| o | \underline{http://www.controller.vcu.edu/grants/ECRTschedule.pdf} \\$
- Thank you for your time

SUBJECT: YOUR REVIEW/RESPONSE IS REQUIRED!!!

In mid-September 2010, and again in early December 2010, a short (one-question) survey was sent to you requesting that you provide a category for your research project or clinical trial. You have not yet responded – **your review and input is required**. This information is required for a federal report that VCU is required to submit in just a few weeks.

Given your non-response, we will be automatically categorizing your project as follows:

"Research" projects will be categorized as "basic research."

"Clinical Trial" projects will be categorized as "applied research."

The categories are defined below:

<u>Basic research</u> – Research undertaken primarily to acquire new knowledge without any particular application or use in mind

<u>Applied research</u> – Research conducted to gain the knowledge or understanding to meet a specific, recognized need

<u>Development</u> – The systematic use of the knowledge or understanding gained from research direct toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.

If your project should be categorized differently, please click on the link below and complete the one-question survey to record the correct information.

Click here to begin...

VCU Office of Sponsored Programs Office of Research



Committee on the Administration of Research's
Research Administration and Compliance Meeting
OSP Update: VCUeRA Workflow
Annie Publow, Director of Sponsored Programs,
Government/NonProfit Support
January 19, 2011

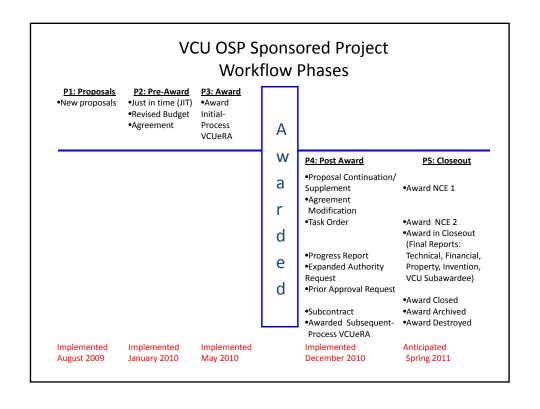
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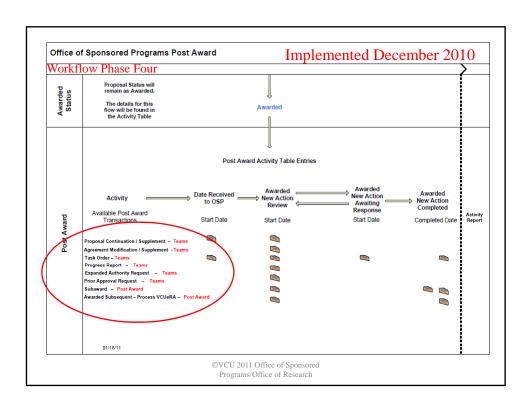
VCUeRA Workflow Updates

Presentation Topics:

- VCUeRA Workflow
 - Progress to date
 - Implementation of Phase Four, the "post award" transactions
 - Updated Phase Four diagram
 - Review of 8 possible post award transactions
 - Notifications: What you Need to Know
 - Associated emails
 - "Status" versus Activity Table: location and use
 - Next Steps

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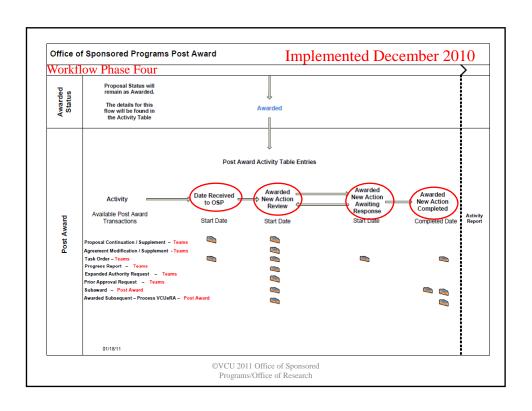


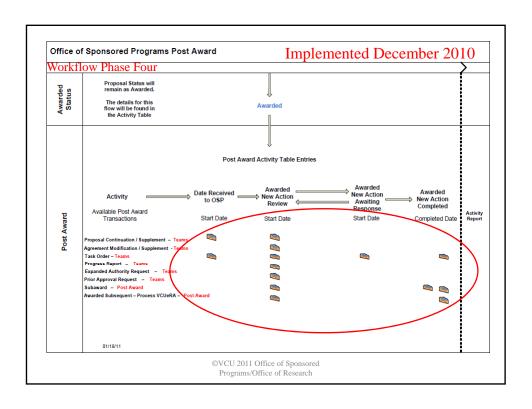


VCU OSP Sponsored Project Workflow Phases

Transaction	Definition	Descriptor
Proposal Continuation or Supplement	typically competitive- additional Scope of Work, \$ and time	Minority supplement, additional year of funding, etc.
Agreement Modification or Supplement	Amendment of an executed agreement (award) between sponsor and VCU, changes agreed upon terms and conditions	Mod 4 (presumes we have already processed Mods 1-3)
Task Order (TO)	Additional Scope of Work, \$ and time for project under a negotiated master agreement	TO#4 (does not presume we bid on or were awarded TO#1-3)
Progress Report	Typically annual report that once submitted will prompt sponsor to award the next year's noncompetitive award \$	Y2 progress report
Expanded Authority Request	Action OSP or G&C is authorized to process without additional sponsor permission	first 12 mo NCE, annual carryforward
Prior Approval Request	Action we must seek approval from sponsor to effect, before we process the change	PI change, PI reduction of effort 25% or more
Subaward Request (initial or continuing)	VCU is prime awardee, we have collaborative partners to whom we need to issue either an initial or additional subaward	Y3 Ohio, or Y3Ohio supplement
Awarded Subsequent- Process VCUeRA	The processing of any of the above 7 actions in VCUeRA which includes data entry, and distribution to G&C, PI, FA, etc.	Y5 NOA, No Cost extension, etc.

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P4 Post Award Sample Emails

VCU Memo

VCU Office of Sponsored Programs (OSP) has received your proposal for continuation.

- Principal Investigator: Spivey, Weston
 Project Trite: Class 11:03:10
 OSP Proposal Development/Tracking number assigned: PD302054
 OSP Team sasjened for review (based on department indicated on IAF for fiscal administration of project): GOLD Team at OSPGOLD@vcu.edu

We thank you for submitting your proposal for university-level review and approval and look forward to assisting you. Your GSP learn will contact you by email/phone with any questions we may have about the proposal. If this a hard copy proposal, we will contact you when the application is ready for pick up.

Intake Specialist - Office of Sponsored Programs Government/Non-Profit Support Virginia Commonwealth University T: 804.828.6772; F: 804.828.2521

VCU Memo

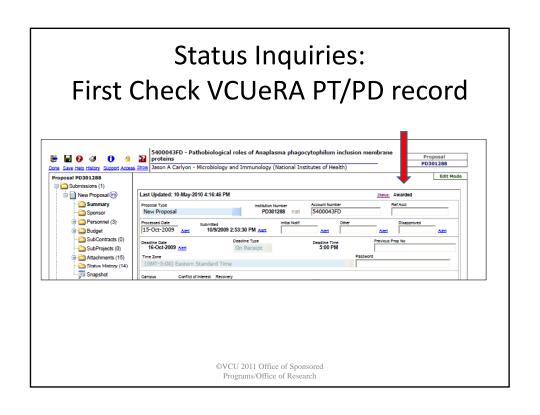
Thank you for forwarding your prior approval request to the Office of Sponsored Programs for review and signature,

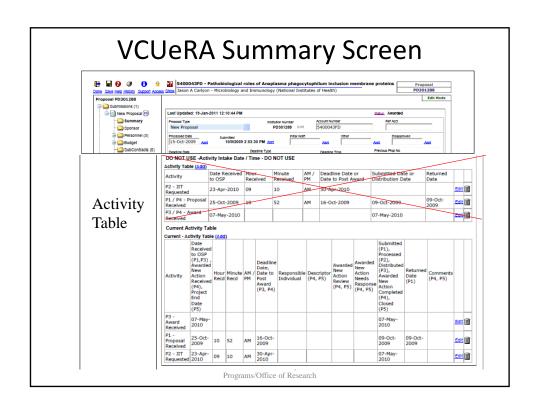
- Principal Investigator: Spivey, Weston
 Project Title: Class 11/03/10
 OSP Proposal Development/Tracking number assigned: PD302054

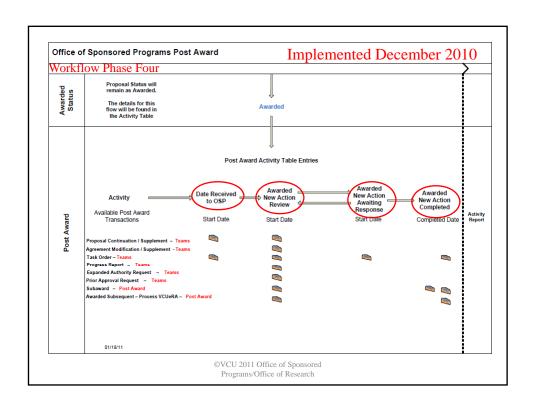
If I have additional questions or comments for you, I will contact you by email or phone. If there is any additional information you need to forward to me in connection with this prior approval request, please obward to me in a single email at this time. Please utilize the OSP team email address GOLD@vcu.edu.

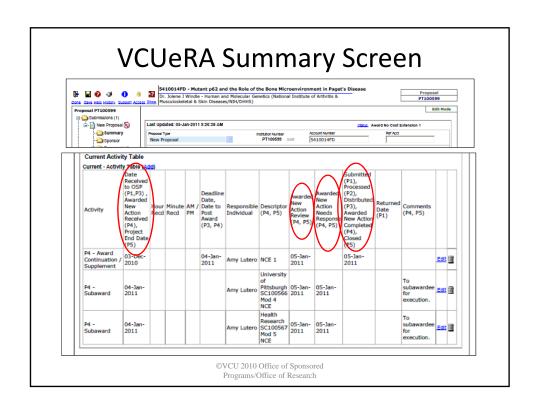
Don Howe Office of Sponsored Programs Governmen/Non-Profit Support Virginia Commonwealth University Ti; 804.828.6772; F: 804.828.2521 Email: OSPGOLD@vcu.edu

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VCU Office of Sponsored Programs Office of Research



Slide from Sponsored Project Administration Certificate Program

Top Ten Things You Now Know About Sponsored Project Administration

1. Prepare the Application

Read the sponsor program announcement Electronic or Paper?

2. Work Toward Compliance

Human Subjects Animal Subjects Bio Safety

3. Utilize Internal Resources

Human Resources
Procurement & Payment
Fixed Assets Management
Controller's Office/G&C Accounting
Department of Assurance Services
Office of Research

Office of Sponsored Programs
Office of Technology Transfer
Office of Research Subjects
Protection
Office of Education and
Compliance Oversight

4. Manage the Award

Contract Negotiations Take Time Grants & Contracts Accounting NOA is reference for post award and closeout terms and conditions Banner: Account Management

5. Partner with Others

Subawardees and Subcontractors Other Departments and Schools Build Relationships, this is where you live

6.Be and Stay Organized

Observe deadlines Keep Appropriate Records

7. Know the Limits

Export Controls
Intellectual Property
Confidential/Proprietary
Information
Publication Restrictions
Bayh-Dole Act
Computer Security
High Risk Audit Areas

8.Consider the Ethics of What We Do

Misconduct in Science Conflict of Interest Manage Money well

9. Monitor Current Trends

Listserve updates
Utilize sponsor websites and
grants.gov
Attend professional conferences

10.Participate: It's All in the Numbers

OMB A-21, A-110, A-133 \$255M in FY10