

Research Administration and Compliance Meeting
May 27, 2010
Agenda

Introduction - Director of Grants & Contracts Accounting, Mark Roberts

Clinical Trial Office Update – Quincy Byrdsong and Melanie Wiggins

Introduction – Director of Clinical Trials Office, Tammy Anderson

IRB Submissions to Clinical Trials Office effective June 10, 2010

Effort Reporting Update – Persephine Fleming and Sharon Dawson

Cost Transfers for ARRA funds – Persephine Fleming

OSP Reorganization – Annie Publow

Gold Team Implementation

Post Award Team Creation

VCUeRA Workflow Update – Annie Publow

Certification Program Update – Jose Alcaine

Closeout Process - Release and Assignment Forms – Erica Lawler

SNAP Reports required Electronically as of 8/1/10 – Sue Robb

<http://www.grants.nih.gov/guide/notice-files/NOT-OD-10-093.html>

All Personnel to be included on Progress Report Personnel Form

ARRA Reporting vs. Annual Progress Reports

X-TRAIN – Required beginning January 1, 2011

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-072.html>

Post-Submission Application Materials Requirements Changing – Sue Robb

Effective with applications due September 25, 2010 or later

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-091.html>

Future RACM dates

September 16, 2010 – MCV Campus (probably Larrick Hall)

CTO Approval Office of Research



CTO Approval on IAF

PI Signature

Date

*The Conflict of Interest Disclosure form is available at <http://www.research.vcu.edu/forms/ConflictOfInterestDisclosureForm.doc>.

REQUIRED SIGNATURES

We, the undersigned, do certify to the best of our knowledge and behalf that 1) the designated faculty will be released for the effort indicated; 2) personnel costs are correctly estimated; 3) adequate and suitable space is/will be provided for completion of the project; 4) no named participant is debarred from this application; and 5) this project is consistent with the educational and research objectives of the University. If applicable, signature of the Dean verifies that all joint VCU/VA appointees have a current Memo of Understanding (MOU) on file in their Dean's office.

[For additional signature areas, please see the Continuation Page.](#)

Principal Investigator/Date

☐

A copy of this proposal has been delivered to my
Department Chair for review.
(Check Box)

Dean/Date

Co-Investigator/Date

☐

A copy of this proposal has been delivered to my
Department Chair for review.
(Check Box)

Dean/Date

Co-Investigator/Date

☐

A copy of this proposal has been delivered to my
Department Chair for review.
(Check Box)

Dean/Date

Services Investigator/Date

Dean/Date

Clinical Trials Office/Date*
(*Only if Clinical Trial)

Appropriate approvals obtained (see above).
Approved on behalf of the University:

University Official/Date

OSP Feb. 2010.

<http://www.research.vcu.edu/forms/InternalApprovalForm.pdf>



Effort Reporting Reminders & Resolving Outstanding Items For Certifiers and Other ECRT Users

Presepine Fleming

Effort Reporting

Virginia Commonwealth University

May 27, 2010

Reminders (Upcoming Dates)

- Upcoming certification periods
 - Quarterly certifiers- 03-09-10 to 06-09-10
 - July 15th
 - Semester certifiers- 12-25-09 to 05-09-10
 - June 15th
 - Semi-Annual certifiers- 12-10-09 to 06-09-10
 - August 22nd

Overview of Resolving Outstanding Items

- Summary of the Five (5) Ws
- Related ECRT's functions
- Assistance/Resources
- Questions

Summary of the Five (5) Ws

Who	Resolve What?	When	Where	How	Why
Primary Effort Coordinator	Department Access and Manage Effort Task Listing	Prior to Exit Interview	Home Department	Notify Effort Reporting	Effort Coordinator update needed
Secondary Effort Coordinator	Department Access	Prior to Exit Interview	Home Department	Notify Effort Reporting	Remove unnecessary access
Certifier	Uncertified ECRT Card(s)	Prior to Exit Interview	Home Department or Grant Department	ECRT-Certify/View Effort	Required by federal government to document payroll towards sponsored awards
Principal Investigator	Uncertified ECRT Card(s), Uncertified ECRT Card(s) for support staff, confirm all associated certifiers are certified	Prior to Exit Interview	Home Department	ECRT - Certify/View Effort, Certify My Researcher-Single View, Notify Effort Reporting	Required by federal government to document payroll towards sponsored awards
Other	ECRT Access	Prior to Exit Interview	Home Department	Notify Effort Reporting	Remove unnecessary access

Related ECRT Screens

- Effort Coordinator
 - Certification Status Report
 - Org Code Summary
 - View the Researchers of a PI
 - Certify/View Effort
- Certifier
 - Certify/View Effort
- Principal Investigator
 - Certify/View Effort
 - Certify My Researcher-Single View
 - Other

Home Page





Current Certification Period
04/15/2010 to 06/14/2010

You are now viewing the effort lifecycle home page. This interactive diagram provides a visual representation of the effort lifecycle, as well as an additional method of navigating the system. If you do not have any options available for a portion of the lifecycle, then you are not responsible for that portion of the lifecycle.



Certifying Options

- ECRT Card (effort certification) Status
 - During a certification period
 - Prior to release of an ECRT Card (effort certification)
- Direct Knowledge
 - Certifier employee type
 - Options based upon employee type

Stage #	Stage Level	Stage Symbol	Stage Color	Stage Description	Action Required By:
1	Cycle Still Active		Blue	Card is updated with current payroll information and cannot be certified	N/A (viewing only)
2	Not Certified, Not Processed		Red	Card is available to be certified	Certifier
3	Certified, Not Processed		Yellow	Card was certified and is now awaiting processing by the primary effort	Primary Effort Coordinator (PEC)
4	Certified, Processed		Green	Card life cycle is complete and is now considered historical effort	N/A (viewing only)

Assistance

- Effort Reporting
 - effortreport@vcu.edu
- Checklist for Separating Faculty and Staff
 - <http://www.hr.vcu.edu/policies/G-separating%20emp.pdf>
- Effort Reporting's website
 - <http://www.controller.vcu.edu/grants/effort.htm>
- Effort Coordinator Frequently Asked Questions (FAQ)
 - <http://www.controller.vcu.edu/grants/ECRTformeremployee.htm>

Resolving Outstanding Items For Certifiers

- Questions?
- Suggestions
- Contacts
 - Mark Roberts (804) 828-0033, mroberts8@vcu.edu
 - Elaine Squire (804) 828-0743, esquire@vcu.edu
 - Patrick Knightly (804) 828-5667, pjknightly@vcu.edu
 - Presepine Fleming (804) 828-2056, flemingpm@vcu.edu
 - Effort Reporting's email: effortreport@vcu.edu
- Links
 - <http://www.controller.vcu.edu/grants/effort.htm>
 - <https://effort.ts.vcu.edu/ecrt/initLogin.do>

VCU
Office of Sponsored Programs
Office of Research



Committee on the Administration of Research's
Research Administration and Compliance Meeting

OSP Updates:

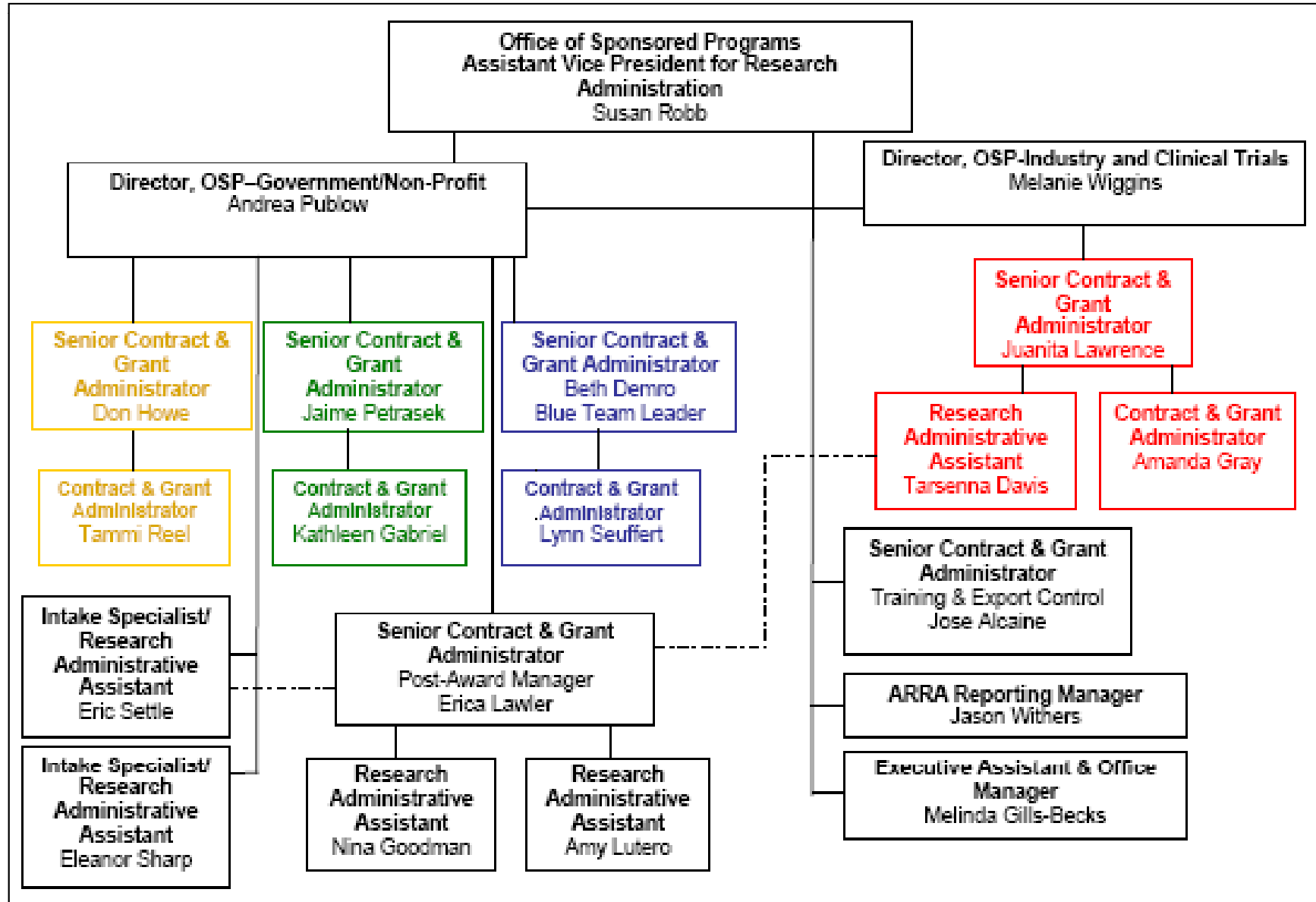
Internal Reorganization and
Electronic Systems including "Workflow"

May 27, 2010

VCUeRA Workflow Updates

Presentation Topics:

- OSP Reorganization
- Workflow Diagrams:
 - Phase One – Proposal Process (implemented August 2009)
 - Phase Two – Pre Award Process (implemented January 2010)
 - Phase Three – Award Process (implemented May 13, 2010)
- Award Workflow
 - Status Definitions
 - Workflow Communications
- Next Steps

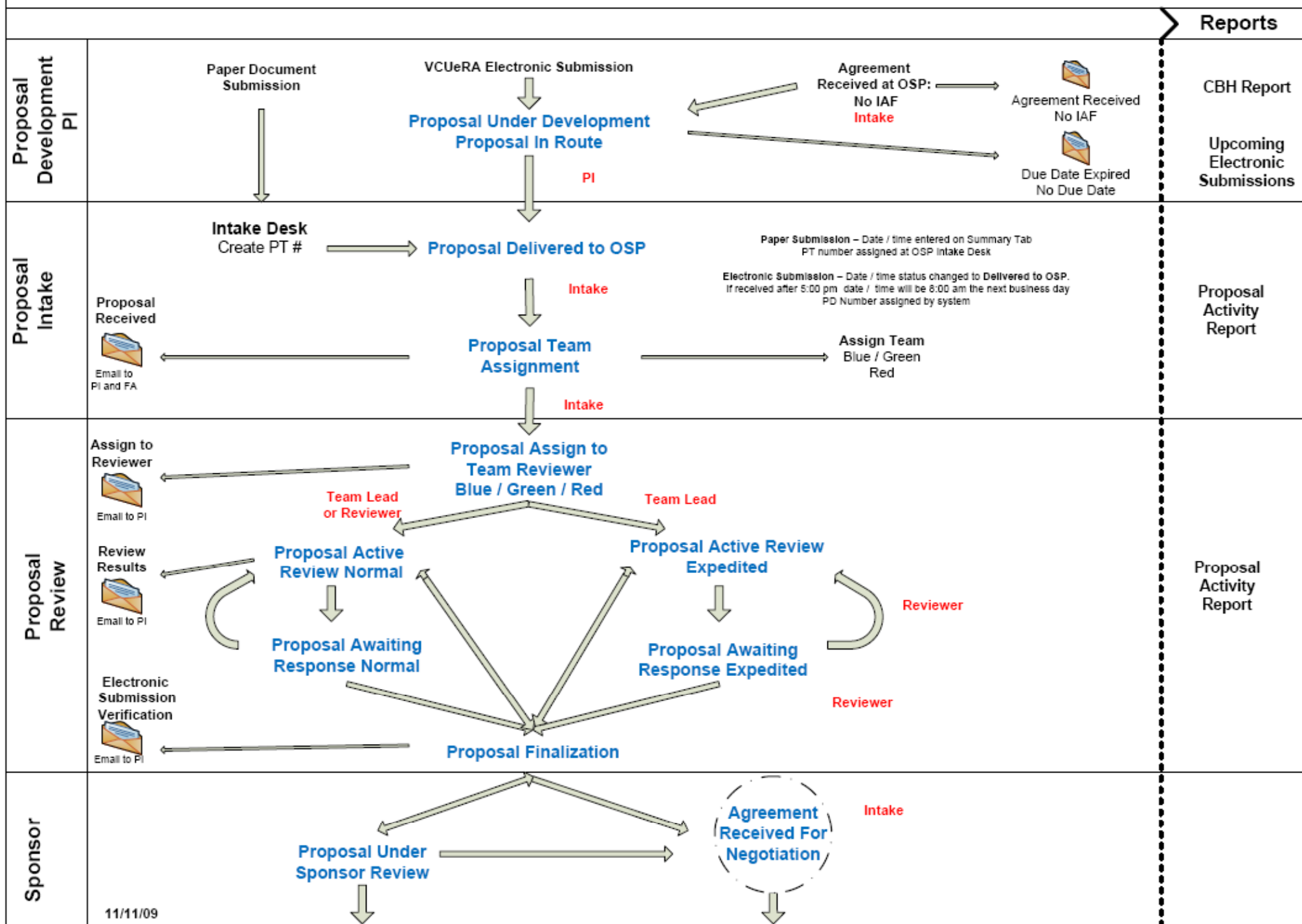


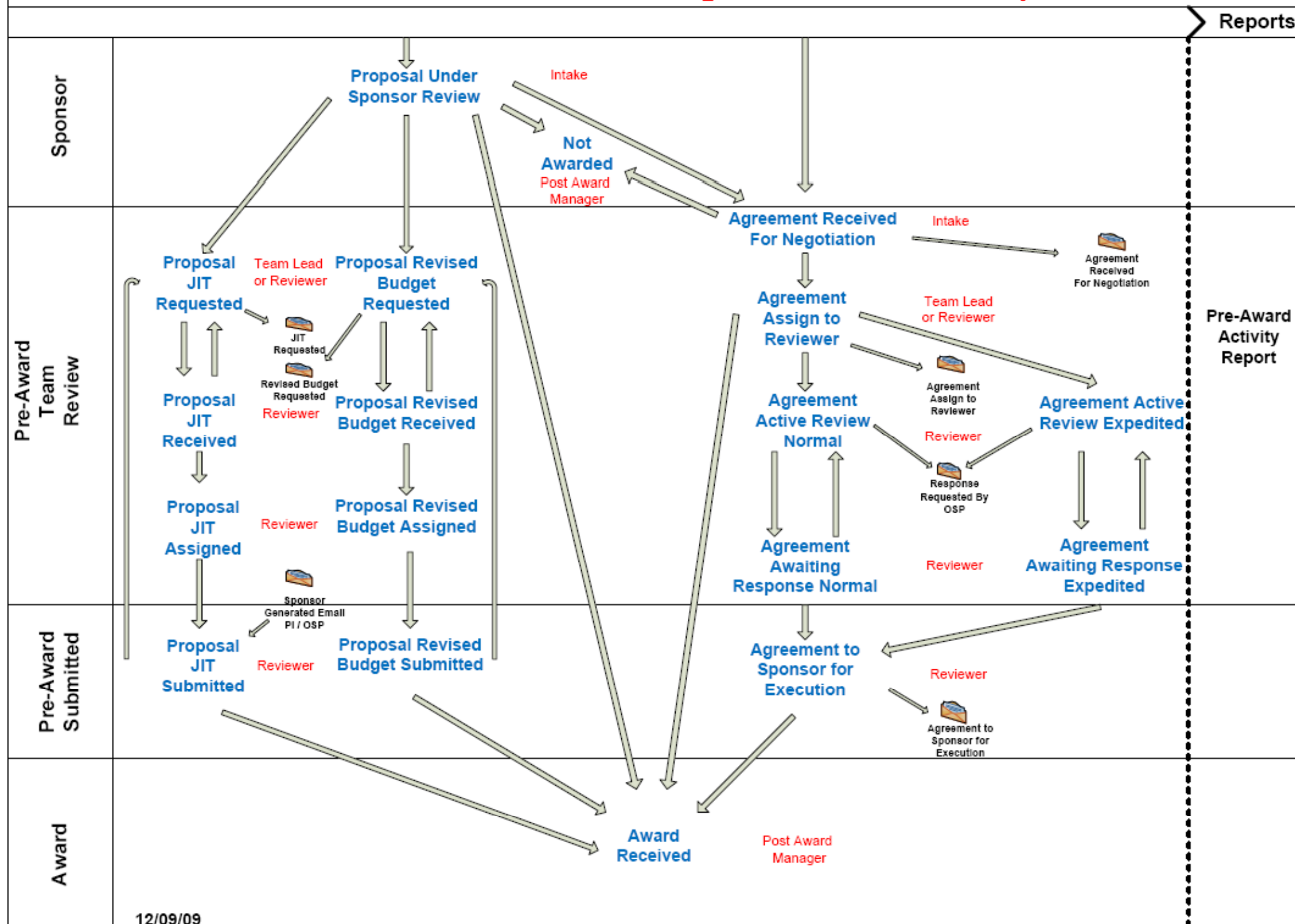
OSP Hard Copy Document Log

[illegible]

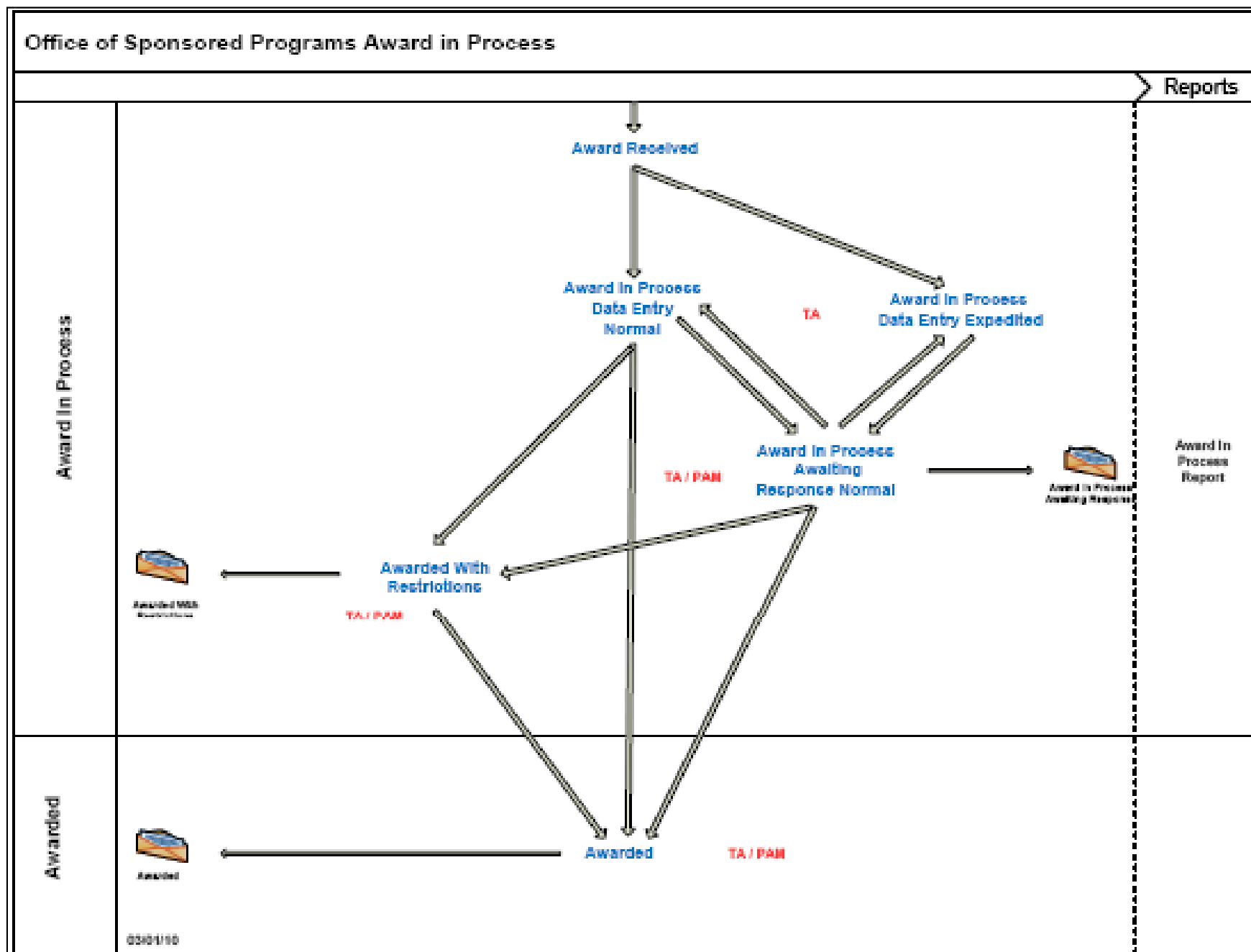
Office of Sponsored Programs Proposal Process

Implemented August 2009





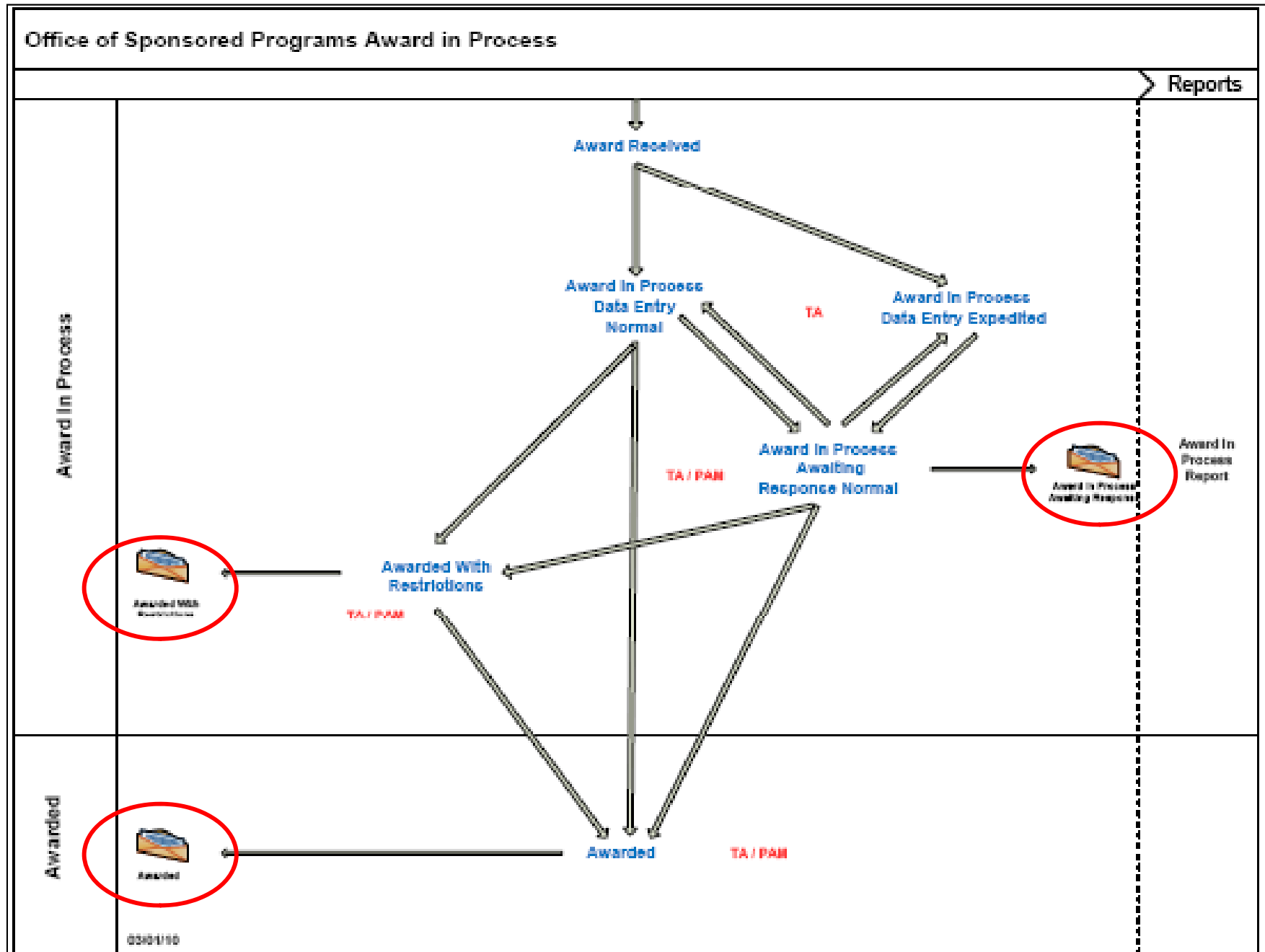
Implemented May 13, 2010



Updated Statuses: OSP Award Workflow

Award Received		Award notification has been received from the sponsor and the award is being processed by OSP.
	Award In Process Data Entry Normal	Award has been assigned to the Post Award Team member responsible for this school/department and data is being entered into VCUeRA database on a normal first come first served basis.
	Award In Process Data Entry Expedited	Award has been assigned to the Post Award Team member responsible for this school/department and data is being entered into VCUeRA database outside of the normal first-come, first-served basis.
	Award In Process Awaiting Response	The Post Award Team member has requested information from someone and is awaiting response. Once a complete response has been received, the award will be processed on a normal first-come, first-served basis.
	Awarded With Restrictions	An award has been processed by OSP; however the award is currently subject to restrictions imposed by the sponsor or OSP. When the restrictions are resolved (including sponsor approval if needed), the status will be updated to Awarded.
Awarded		An award has been processed by OSP and distributed to G&C Accounting, the PI and department designated for fiscal management of the project.

Implemented May 13, 2010



Workflow Communications

Phase 3: Award Process

Award in
Process
Awaiting
Response
Normal

VCU Memo

Virginia Commonwealth University

The Office of Sponsored Programs has received a fully-executed Notice of Award for following project but is unable to release the funds at this time.

- Principal Investigator: **Spivey, Weston**
- Project Title: **Proposal with all tabs completed...**
- OSP Proposal Development/Tracking number assigned: **PD301643**

Your project has been placed In Award in Progress Awaiting Response status and will not be distributed to Grants and Contracts Accounting until the following has/have taken place:

IRB Restriction: Your proposal was marked "Yes" for human subject research but an IRB-approved protocol has not been attached to your record. Please send either your approval letter or an exemption letter so we can update your VCUeRA record.

IACUC Restriction: Your proposal was marked "Yes" for animal subject research but an IACUC-approved protocol has not been attached to your record. Please send either your approval letter or an exemption letter so we can update your VCUeRA record.

You will receive follow-up correspondence regarding these items until they are received from you.

Office of Sponsored Programs
Post Award Team
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: ospaward@vcu.edu

These emails will be stored within the Communications Tab of the VCUera record

Workflow Communications

Phase 3: Award Process

Awarded
with
Restrictions

Award documentation for the above project is attached. Please note that this award has been issued with sponsor-stipulated restrictions as marked below. You will receive follow-up correspondence regarding these items until they are received from you.

Revised Budget: Submit to team e-mail for review. Post Award Manager will submit to sponsor.

IRB protocol required: Submit approval letter to ospaward@vcu.edu and Post Award Manager will send to sponsor

IACUC protocol required: Submit approval letter to ospaward@vcu.edu and Post Award Manager will send to sponsor

Department of State Sub-award Restriction: Funds may not be dispersed until receipt of revised NoA.

Other:

Standard Notifications:

- This documentation is automatically sent to G&C, the individuals identified on the distribution list. If others in your department need these documents, please forward a copy of this e-mail to them.
- Your budget may have been reduced by the sponsor such that the budget supplied at proposal review is no longer accurate. If this is the case, a revised budget will be required for G&C to load your budget (so that you can expend the award) and OSP to correct the direct and F&A amounts awarded. Please prepare a revised budget utilizing one of our worksheets and forward to both G&C and OSP, referencing the above PT number and PI Name in your subject line. Worksheets are available here: <http://www.research.vcu.edu/forms/osp.htm>
- If the committed effort of any key personnel has changed as a result of the budget reduction, please complete and submit an Effort Change Request Form as soon as possible. The form is available here: http://www.research.vcu.edu/forms/effort_change_request_form.htm
- If this award includes a sub-award, please complete a Subaward Request Form found on the sponsored programs website and forward it to ospaward@vcu.edu along with the following items: Sub-award budget, statement of work, indirect cost rate agreement/NIH checklist, consortium letter/sub-recipient proposal face page. (<http://www.research.vcu.edu/forms/SubawardRequestForm.pdf>)

Questions on any of the above should be addressed to your team at ospblue@vcu.edu, ospgold@vcu.edu, ospgreen@vcu.edu, or ospred@vcu.edu.



PI Responsibilities-507.pdf

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Post Award Team

VCU Office of Sponsored Programs

P. O. Box 980568

800 E. Leigh Street, Suite 113

Richmond, VA 23298-0568

Voice: 804-828-6772

Fax: 804-828-2521

OFFICE e-mail: OSPAWARD@VCU.EDU

<http://www.research.vcu.edu/osp/index.htm>

These emails will be stored within the Communications Tab of the VCUera record

Workflow Communications

Phase 3: Award Process

Awarded

VCU Memo

Virginia Commonwealth University

Award documentation for the following project is attached.

- Principal Investigator: **McVoy, Michael**
- Project Title: **Preclinical development of human CMV vaccines**
- OSP Proposal Development/Tracking number assigned: **PD301174**

Please be aware of the following:

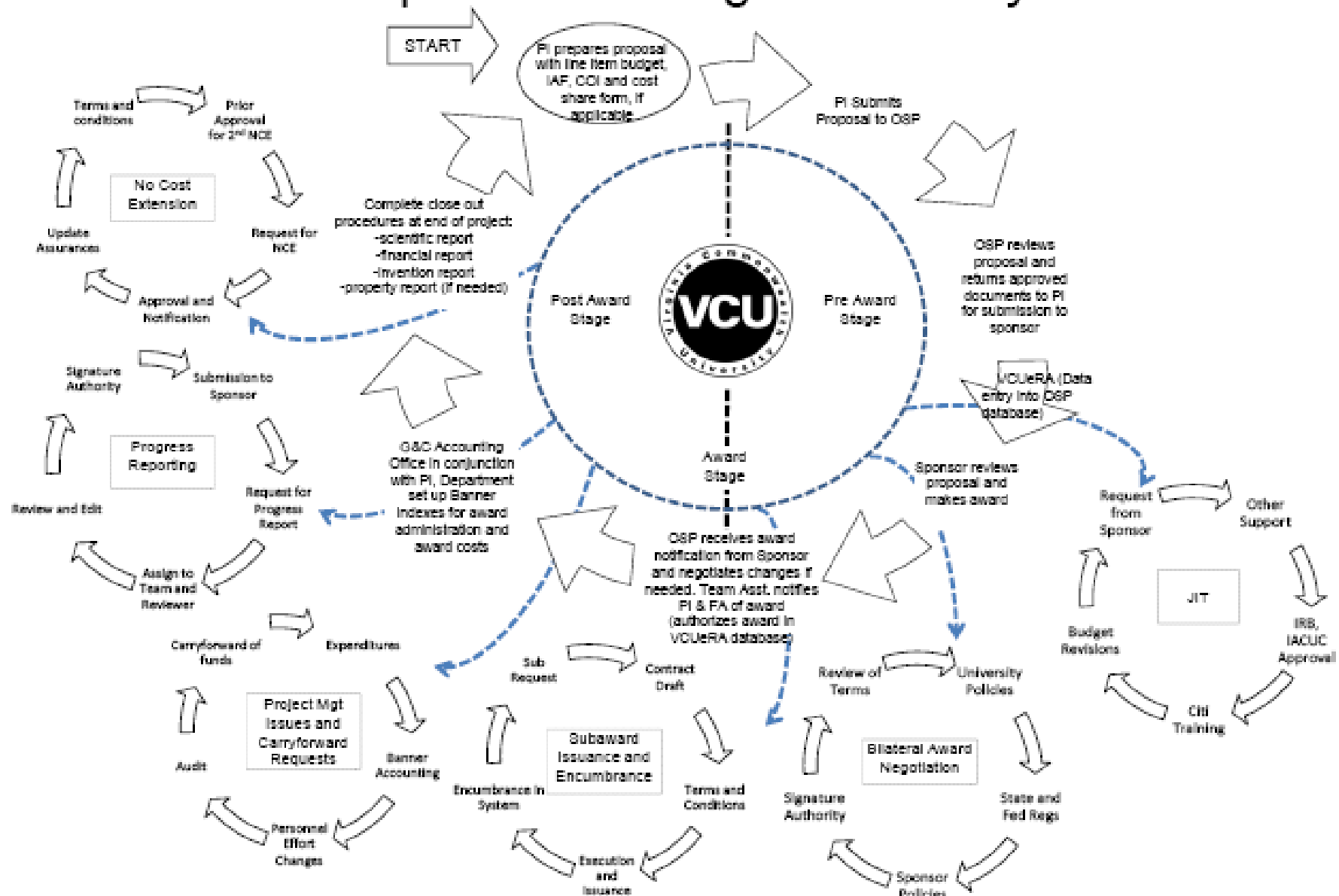
- This documentation is automatically sent to G&C and the individuals identified on the IAF distribution list. If others in your department need these documents, please forward a copy of this e-mail to them. If any updates need to be made to this distribution list please let us know.
- Your budget may have been reduced by the sponsor such that the budget supplied at proposal review is no longer accurate. If this is the case, a revised budget will be required for G&C to load your budget (so that you can expend the award) and OSP to correct the direct and F&A amounts awarded. Please prepare a revised budget utilizing one of our worksheets and forward to both G&C and OSP, referencing the above proposal number and PI Name in your subject line. Worksheets are available on the OSP website at <http://www.research.vcu.edu/forms/osp.htm>
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Post Award Team
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: ospaward@vcu.edu

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Overview of Sponsored Program Life-Cycle at VCU



Sponsored Project Phases

P1: Proposals

- New proposals

P2: Pre-Award

- Just in time (JIT)
- Revised Budget
- Agreement

P3: Award

- New Award

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P4: Post Award

- Subcontract
- Proposal Continuation/
Supplement
- Agreement
Modification
- Award Continuation/
Supplement
- Progress Report
- Expanded Authority
Request
- Prior Approval Request

P5: Closeout

- Award NCE 1
- Award NCE 2
- Award in Closeout
(Final Reports:
Technical, Financial,
Property, Invention,
VCU Subawardee)
- Award Closed
- Award Archived
- Award Destroyed

OSP Certification Program

Office of Research



Program Summary

2008-2009 Summary Statistics

No. of students initially enrolled:	83
No. of students completing program:	70
Percent of students completing:	84%
Possible Exam Points (250*4):	1000
Bonus Points Available (10*4):	40
Required	
Passing Grade for Each Exam (200/250):	80%
Highest Number of Total Points:	1,020
Lowest Number of Total Points :	860
Average Number of Total Points:	930
Highest Final Grade:	102%
Lowest Final Grade:	86%
Average Final Grade:	93%

2009-2010 Summary Statistics

No. of students initially enrolled:	54
No. of students completing program:	35
Percent of students completing:	65%
Possible Exam Points (250*5):	1250
Bonus Points Available (10*5):	50
Required	
Passing Grade for Each Exam (200/250):	80%
Highest Number of Total Points:	1,270
Lowest Number of Total Points:	1,100
Average Number of Total Points:	1,184
Highest Final Grade	102%
Lowest Final Grade	88%
Average Final Grade	95%

2008-2009 Class Roster

Student	Department
Anderson, Samantha	School of Education
Bailey, Keysha	Rehabilitation Counseling
Bohanon, Linda	VA Area Health Education Center
Bremer, Sherry	IM/GCRC
Britt, Suzanne	Pediatrics
Burns, Cheryl	Humanities & Science, Dean's Office
Cash, Patricia	Massey Cancer Center
Coe, Cynthia	Pulmonary Critical Care
Coleman, Avis	Family Medicine
Connors, Gail	Internal Medicine/HIV/AIDS Ctr
Crosby, Terry	Human & Mol Genetics
Debrew, Melinda	SOE Partnership for People with D.
Dery, Adrienne	Physical Medicine
Dilts, Thomas	Pathology
Dodson, Betty	Internal Medicine General Medicine
Draucker, Gerard	Reanimation Engineering Shock Center
Dwyer, Daniel	Biochemistry and Mol Bio
Friday, James	School of Pharmacy
Gabriel, Kathleen	Sponsored Programs
Giles-Larson, Jeanine	Sponsored Programs
Gray, Mary	Gastroenterology
Hall, Dana	Transplant Administration
Highland, Juliette	Hematology/Oncology
Hill, Emily	Mid Atlantic Twin Registry
Horner, Karen	Sponsored Programs
Hutson, Diane	Gastroenterology
Jones, Laniece	Neurosurgery
Joseph, Leena	School of Engineering, Dean's Office
Kammerman, Jennie	Emergency Medicine
Kelley, Charleyne	Perf Mgt Group
Kelly, George	Psychiatry
Key, Leslee	Internal Medicine/Pulmonary
Macon, Malinda	SOE Partnership for People with D.
Martin, Mia	School of Pharmacy
Matthews, Jennifer	OB/GYN
McFail, Brenda	Allied Health Dean's Office
Mitchell, Vinnie	Internal Medicine/ID

Student	Department
Mocny, Rachel	Human & Mol Genetics
Norton, Sally	Social and Behavioral Science
Pantaleo, Gary	School of Pharmacy
Petty, Megan	Sponsored Programs
Pfister, Karen	School of Education
Piercy-Ross, Regina	VISSTA-School of Social Work
Quinn, Megan	Radiology
Redden, Charles	Anatomy and Neurobiology
Rodriguez, Jose	Surgery
Sabo, Cynthia	Biostatistics
Schmidt, Kristin	Family Medicine
Sebring, Amy	School of Medicine, Dean's Office
Sekerak, Shannon	Internal Medicine/QHC
Settle, Seneca	Sponsored Programs
Shannon, Sharlene	Emergency Medicine
Teagarden, Lavonne	Neurology
Terrell, Danielle	Inst. for Drug and Alcohol Studies
Tiba, Mohamad	Reanimation Engineering Shock Center
Treleaven, Thomas	Family Medicine
Utz, Jessica	Internal Medicine
Venable, Jessica	Office of Research
Walker, Phyllis	Radiation Oncology
Webster, Kate	Massey Cancer Center
Wigner, Charles	Emergency Medicine
Williams, Alita	Pathology
Williams, Diane	IM/Infectious Disease
Williams, Susan	Wilder School
Wolfe, Joanna	School of Engineering, Dean's Office
Wooldridge, Charles	Transplant Surgery
Wolf, William	Pathology
Wright, Marcie	Center on Health Disparities
Wytttenbach Lindsey, Mindy	Internal Medicine

2009-2010 Class Roster

Student

Adams, Deborah
 Allen, David
 Dannenbrink, Lisbeth
 Demro, Beth
 DeWitt, Jennifer
 Engram, April
 Fleming, Presepine
 Gibbs, Ivy
 Gravely, Shavonda
 Harris, Felicia
 Hayes, Melissa
 Jackson, Barbara
 Katzen, Judy
 Kelley, Brian
 Klinedinst, Emily
 Lawler, Erica
 Meliagros, Christina
 Miles, Pamela
 Morse, Deborah
 Naphade, Vaishali
 Odell, Tim
 Park, Daniel Stuart
 Petrasek, Jamie
 Poyotte, Andrea
 Seuffert, Lynn
 Shelton, Sheri
 Spivey, James Weston
 Tam, Candice
 Thompson, Tremayne
 Vertuno, Ashley
 Walsh, Tom
 Waters, Leland
 Williams, Joann
 Wilson, Danielle
 Young, Katharine

Department

Grants and Contracts
 Physiology and Biophysics
 IDAS
 Office of Research
 Pathology
 IM-Div of Quality Health
 Grants and Contracts
 Radiation Oncology
 Grants and Contracts
 Grants and Contracts
 Family Medicine
 Epidemiology
 Surgery Trauma
 OR IT
 Radiology
 OSP
 Physiology
 Partnership for People with D
 OR IT
 Grants and Contracts
 Biology
 School of Social Work
 Office of Research
 Pharmacy
 Office of Research
 Gerontology
 OR IT
 School of Social Work
 School of Pharmacy
 School of Social Work
 Physiology and Biophysics
 VA Center on Aging
 Chemistry
 Grants and Contracts
 Epidemiology

2010-2011 Program Dates


Registration Period	June – September 2010
On-line Content Open	August 2010
Module 1 Live Session	September 8, 2010
Module 2 Live Session	September 29, 2010
Module 3 Live Session	October 20, 2010
Module 4 Live Session	November 17, 2010
Module 5 Live Session	December 15, 2010
End/Certificate Presentation	January 2011

Notices via: Res. Admin. Listserv - <http://www.research.vcu.edu/osp/res-adm.htm>

Calendar of events - <http://www.research.vcu.edu/events/osp.htm>

OSP Posts - <http://www.research.vcu.edu/osp/index.htm>





Research Administration and Compliance Meeting
May 27, 2010

FEDERAL UPDATES

NIH eSNAP Changes

- Effective August 1, 2010
 - All eligible grants MUST submit electronically through the NIH Commons
 - Progress Reports are due 45 days prior to next budget start date
 - IRB and IACUC approval dates no longer required (institution remains responsible)
 - Check Section II Terms and Conditions of NOA to determine whether SNAP provisions apply

xTrain


- Effective January 1, 2011
 - All appointment forms (PHS 2271) and termination notices (PHS 416-7) must be submitted via xTrain
 - T 15, T32, T34*, T35, T90, TL1, TU2
 - F30**, F31**, F32**, F33**
 - R25, R90
 - K12, KL2, KM1
- *appointment forms only
- **termination notices only

NIH Post-Submission Application Materials Policy

- Effective for applications submitted on or after September 25, 2010
 - Only for unforeseen administrative issues
 - Revised budget page(s) (change in budget request due to new funding or institution acquisition)
 - Biographical sketches (change in senior/key personnel due to the loss of an investigator)
 - Letters of support or collaboration resulting from a change in senior/key personnel due to the loss of an investigator



Acceptable Post-Submission Materials

- Adjustments resulting from natural disasters (loss of an animal colony)
 - Adjustments resulting from change of institution (PI moved to another university)
 - News of an article accepted for publication
- 

Unacceptable Post-Submission Materials


- Updated Specific Aims or Research Strategy pages
- Late-breaking research findings
- Supplement pages – information not contained in the existing application
- New letters of support or collaboration that do not result from a change in senior/key personnel due to the loss of an investigator

Exceptions

- Applications in response to RFAs with only one due date – follow former policy
- Applications for training grants – guidance forthcoming
- Certain FOAs may allow certain other types of materials to facilitate the goals of the program. Guidance must be included in the FOA



Page Limits


- Font size, margins, and paper size apply
 - Form pages (budget, biosketch, etc.) must follow NIH standards
 - If not on a form page, limited to one page
 - If there are subprojects or cores, each subproject or core is allowed explanations or letters but each is limited to one page
- 

AOR Concurrency

- AOR must send materials directly to the SRO. An e-mail from the PD/PI with only a “cc” to the AOR will no longer be accepted



NSF Data Management Plans

- Implementation expected October 2010
 - All proposals submitted to NSF
 - Two page supplementary document
 - NSF will announce specific information and expectations for the plans in the near future
- 



NIH Proposed Changes to COI Policy

- Proposed changes published Friday, May 21
 - Substantial and significant changes proposed
 - Comments accepted until July 21, 2010
 - Undergoing evaluation by our COI committee
- 