



School of Medicine
Office of Research Administration

SOM Research Administration

Fall Meeting

September 2017



Agenda

- Important NIH/Grants.gov Application Updates
- Guide to Administrative Actions
- Research Dashboard – System update requests
- Department Research Reporting
- **Salary Cap Cost Share: Funding & monitoring process changes**
- Other Updates...

Recent Important NIH/Grants.gov Updates



Grants.gov Retires PDF Application Packages

Grants.gov will retire the downloadable PDF application packages at the end of 2017.

Starting January 1st, all Grants.gov submissions must be submitted one of three ways preferred at VCU:

1. System-to-system via SF-424 forms in RAMS-SPOT
2. NIH's ASSIST system (only when OSP gives the "OK" to use this system or RFP requires it) – *FP still required in SPOT*
3. Grants.gov Workspace system (only when RFP is not supported in RAMS-SPOT) – *FP still required in SPOT*

Changes to NIH-Funded Clinical Research Applications

NEW
FORM!

For NIH application due dates January 25, 2018 and beyond:

PHS Human Subject and Clinical Trial Information form

- Part of the new application forms package **FORMS-E**
- Requests human subject and clinical trials information at the study level

THIS CHANGE REPLACES MANY EXISTING HUMAN SUBJECTS RELATED FORMS

*****New form must be partially filled out even if you are not using human subjects*****

Changes to NIH-Funded Clinical Research Applications

NEW FORM!

The video player displays a slide titled "A Walk-through of the PHS Human Subjects and Clinical Trials Information Form". The slide content includes:

- PHS Human Subjects and Clinical Trials Information** (Form Number: 2017-002)
- Instructions: "The following information is required for the Review of Research & Related Clinical Trial Applications for grant supporting the form. The following are listed for Review of Research & Related Clinical Trial Applications for grant supporting the form. Any changes to these items must be made to the Research & Related Clinical Trial Applications form and not to the separate form or separate application items."
- Form sections: "Are Human Subjects Involved?", "Is the Project Considered Human Subject Research?", "Will it Involve Subjects?", "If Yes to Human Subjects", "Other Required Information", "Study Records", "Support Other Studies".
- NIH logo and "National Institutes of Health Office of Extramural Research" text.
- Date: "July 2017".

The video player interface shows a progress bar at 0:05 / 9:24 and various control icons.

<https://youtu.be/nz9NWFhYOG8>

Changes to NIH-Funded Clinical Research Applications

NEW
FORM!

Important to know (and for your PIs to know):

- The following documents will now be uploaded to this new form:
 - ✓ Protection of Human Subjects
 - ✓ Inclusion of Women, Minorities, and Children
- Much of the information PIs have been putting in the “Protection of Human Subjects” document must be entered onto this new form effective 1/25/18.

New NIH Clinical Research Forms: How You Can Prepare

- **Right now:**
- Study the new forms and provide copies of forms to any PIs that do human subjects research.
- Forms are on pages 11 – 16 of the following PDF document:
- https://grants.nih.gov/grants/ElectronicReceipt/files/Annotated_Forms_General_FORMS-E.pdf

New NIH Clinical Research Forms: How You Can Prepare

- Starting September 25, 2017:
 - Study the new guidelines for these document uploads and provide copies of guidelines to any PIs that do human subjects research:
 - “Protection of Human Subjects”
 - “Recruitment and Retention Plan”
 - “Inclusion of Women, Minorities and Children”
 - “Study Timeline”
 - “Overall Structure of the Study Team”
 - “Statistical Design and Power”
 - “Dissemination Plan”

These new FORMS-E guidelines become available 9/25/17 on this website:
<https://grants.nih.gov/grants/how-to-apply-application-guide.html>

New Guide to Administrative Actions in RAMS-SPOT



New Guide to Administrative Actions in RAMS-SPOT

Who created it: OSP

Where to find it: RAMS-SPOT Updates & Training page

<http://www.research.vcu.edu/osp/rams-spot.htm>

Direct link to guide:

http://www.research.vcu.edu/osp/rams-spot_training/admin_actions_get_started.pdf

[RAMS-SPOT Get Started Guides](#)

[Funding Proposal - Smart Form](#)

[Primary Budget](#)

[Cost Share Budget](#)

[Importing SF424 Subaward Detailed Budget](#)

[Creating an SF424](#)

[Routing for Approval](#)

[Administrative Actions](#)

**** Would it be helpful to see a “SOM annotated” version of this guide? ****
This could include any specific SOM requirements related to Administrative Actions in SPOT



Department Reporting
Needs and Dashboard
Update Requests

Dashboard Improvement/Update Requests

Plan to suggest:

- Function for downloading one PDF of all Monthly Expense Reports (MERs) for PI's in your department, for a given month (would add to RA Dashboard)
- Adding info from the "Personnel Commitments" portlet to the MER – *PI's would see effort commitments and calculated effort %s for all personnel on the index*



- Ability to pull up MER's from prior months for projects that have fallen off Dashboard (may not be possible)
- Interest in a "month by month" expense view downloadable to Excel?
- Other suggestions?

Department Reporting Needs

What types of reporting would Departments like access to out of RAMS-SPOT? Examples:

- All proposals ever submitted by a PI
- Proposals that have faculty or staff from your department named as personnel (regardless of whether you have been given “Unit View Access” or not)
- Others?

Quarterly reporting to you and your department chair

- Currently under development by SOM Research Administration
- Suggestions on what might be helpful information or stats to see each quarter?

Please email
SOMRESADMIN@vcuhealth.org if you
think of any other reporting needs!



Salary Cap Cost Share Process Changes



Salary Cap Cost Share: Funding & Compliance



In FY18 work is underway to make improvements to our salary cap cost share monitoring process.

Clinical departments: Changes coming with how funding (budget) is allocated for this purpose to aid in effective management.

All departments: Updates are being made to reporting and tools available to better aid management and monitoring of DHHS salary cap requirements. SOMRA will update its monitoring process once changes are complete.

Salary Cap Cost Share: Funding & Compliance

Recall updates to the RA Dashboard “Over-The-Cap Salary” Portlet

Goal: Make it easier to spot areas to review to ensure compliance



Select PI: ▼

Grant ID	Project Title	Personnel	Budget Period	% Commit Effort	% Actual Current Effort Based on IBS	% Actual Labor Dist On VCU PAF		% Expected Labor Dist On VCU PAF Using Actual Current Effort Based on IBS		Home Org	Cost Share Indexes
						Federal	Cost Share	Federal	Cost Share		
5110816FD	Altered Growth Factor Pathways in Biliary Cancer	Sirica, Alphonse E.	04/01/2016 03/31/2018	20.00	20.00	17.09	2.91	17.09	2.91	Pathology	145659

Is the actual current effort (based on payroll) accurate according to your records?



If key personnel - Do these match or are within allowable range?



Actual and Expected distributions should always match

Other Topics



FA Newsletter Highlights – August 2017

Cost Transfers on Sponsored Projects

Focus of increased audit review:

Effective immediately, all cost transfers to sponsored programs are subject to be reviewed for detailed documentation.

You should ensure that your department has established written internal controls to minimize questionable cost transfers, as well as other non-compliant post 60-day cost transfers, and that the [internal controls are documented in your department's ARMICS measures](#).

Federal regulations require [additional documentation](#) to support ALL cost transfers to sponsored program indexes. Costs may not be shifted to other research projects or from one budget period to the next period solely to cover cost overruns. Cost transfers based on funding considerations are prohibited (i.e., cannot transfer costs to use up remaining funds).

[G&C Cost Transfer Procedures](#)

FA Newsletter Highlights – August 2017

Cost Transfers on Sponsored Projects SOM Guidance:

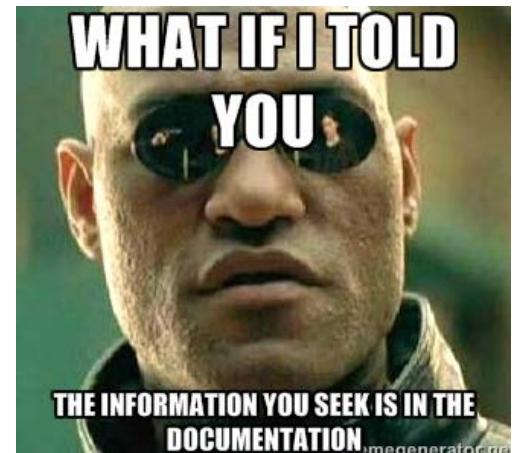
- **Minimize chances of needing a cost transfers**

Have internal procedures in place to ensure expenses are accurately allocated to the correct index up front.

Transfers require a greater level of explanation/justification to explain why the transfer is being made. **Getting it right up front avoids extra work!**

- **When a cost transfer is necessary, justify why and be sure that justification is documented and easily producible if audited.**

Sponsored program fiscal files should contain all the necessary supporting documentation to justify why a transfer was made on a sponsored project index. This should include confirmation emails from Principal Investigators, confirming the justification to support cost transfers.



FA Newsletter Highlights – August 2017

Advance Index Requests

To best assist departments in the post award process, we request department's assistance with completing all of the required fields of the Advance Index Request. This also includes providing all available proposals numbers (PT, PD, SC, and FP numbers) and the VID of the Principal Investigator. It is also helpful if a copy of the RFP or announcement can accompany the advance index request to aid in the grant establishment process.

For clinical trials or other contracts that may not have an RFP, a copy of the draft contract should fulfill G&C's needs for sponsor information.

In SOM, advance indexes should be requested for clinical trials to be reviewed by a central IRB (ex. WIRB) no later than at the point of IRB submission.

FA Newsletter Highlights – June 2017

Communications:

Grants and Contracts Accounting (G&C) uses various communication avenues to provide departments with updates. This includes use of the FA Newsletter and the Research Administration listserv. In order to best partner with departments, we request your assistance with ensuring that your team members with sponsored research responsibilities are also subscribed to the various listservs at the University and/or know where to access the newsletters.

The links below, can be used to either register for the Research Administration Listserv “res-adm” and/ or to locate FA Newsletters. We appreciate your assistance with sharing the links and with registering.

Research Admin Listserv “res-adm”: <http://www.research.vcu.edu/osp/res-adm.htm>

FA Newsletters: <http://www.procurement.vcu.edu/fa-newsletters/>

Questions?



“Not liking the answer is not the same as not understanding the answer.”

- *Research Admin Memes*



Need help?

Proposal Submissions:

SOMPROPOSALS@vcuhealth.org

Research Administration:

SOMRESADMIN@vcuhealth.org