Emory Research A to Z
September 19, 2013
Agenda:

- Announcements
- Service Center Core
- NIH Updates
- The New ASSIST System
- Invoicing Milestones
- RAS Updates
RA Announcements:

• **ERAZ:**
  *November 14, 2013*
  9:30-11:00am
  School of Nursing Auditorium; Rm P01
  1520 Clifton Road

• **Newsletters** are available at:
  
  [http://blogs.emory.edu/ranews](http://blogs.emory.edu/ranews)
Service Center/Core Facility Rates

Josh Rosenberg, Director
Cost Studies
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Josh.rosenberg@emory.edu
Service Center/Core Facility Rates

Examples of Governmental Concerns

- Inadequate policies, procedures and/or oversight.
- Inappropriate billing rates.
- Monitoring of fund balances & treatment of surplus (too large = Fed overpaid).
- Working Capital Reserves not greater than 60 days expenses.
- Do billing rates exclude unallowable costs?
- Are billing rates based on actual or estimates of actual costs?
Service Center/Core Facility Rates

What do we need from you and how can we help?

- Rate calculation support for FY13 and for FY14.
- Service Center Working Group (Trish and Josh)

Next Steps

- Inventory development and list of contact people.
- Simplify SOM rate worksheet template.
- Consider stopping the ability to recharge.
- Trainings:
  - Q&A development
  - What we can and cannot charge
  - How to set rates
  - Individual sessions
NIH Updates
NIH Notice NOT-OD-12-112

Kerry Peluso
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Office of Grants and Contracts Accounting
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Impacts over the Next Year

- Closeouts of all NIH (LOC funded) awards *(approximately 80% mid segment)*
- FFRs for all NIH (LOC funded) awards
- New projects/smartkeys for all of NIH (LOC funded) awards (possibly new Compass awards)
- Requirement for all HR/payroll and feeder systems to be updated with new smartkeys
- Reissuance of subagreements
- Possible loss of some carryover authority
Impacts that go the Beyond Next Year

- New, more complex drawdown process
- Requirement for all final FFRs and drawdowns to be completed within 90 days or less (funding is no longer available on day 91)
Next Steps

• Awaiting further information from NIH, DHHS, DPM and other federal agencies
• Important to note that this is all agencies that fall under DHHS including CDC, HRSA, etc.
• Future communications from NIH and other agencies will be shared as received.
The New ASSIST System

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Office of Sponsored Programs
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hsomme2@emory.edu
What is ASSIST?

• ASSIST is the Application Submission System and Interface for Submission Tracking
• ASSIST is NIH’s new system for the electronic submission of proposals for P01, P20, P50, and U19 applications
When do I need to use ASSIST?

- ASSIST will become required for any P01, P20, P50, or U19 application with a due date on or after September 25, 2013.
- This requirement includes new, resubmission, renewal and revision applications.

(ASSIST was piloted with several FOAs throughout early 2013)
What about other PPG-type proposals?

- NIH will require submission via ASSIST for other mechanisms, as follows:
  - January 25, 2014: G12, P30, P40, P41, P42, P51, P60, R28, S06, U10, U41, U42, U45, U56, UC7
  - May 25, 2014: U54, UM1
But can’t I use Cayuse424?

- Right now – no.
- Evisions (Cayuse’s parent company) is working to accommodate multi-component NIH proposals, but is not yet ready to implement their submission through Cayuse424.
Important Features of ASSIST

- Leverages existing eRA Commons accounts
- Pre-populates data from eRA Commons profiles
- Validates Grants.gov and NIH business rules before an application is submitted
- Provides preview of the NIH application image
- Generates table of contents, headers & footers
- Tracks Grants.gov and eRA Commons submission status
Using ASSIST

• All ASSIST users must have an eRA Commons account with one of the following roles:
  – Assistant (ASST)
  – Principal Investigator (PI)
  – Administrative Official (AO)
  – Signing Official (SO)

• *If you do not already have a Commons account, contact your OSP Grants department representative to request that an account be established.*
Using ASSIST

- OSP will maintain the required registrations for the actual submission of applications via ASSIST including:
  - an eRA Commons Signing Official (SO) role
  - Active Grants.gov Authorized Organization Representative (AOR) credentials
Overview of ASSIST Process

1. Find FOA
2. Plan your application
3. Initiate your application and create the application shell
4. Build your team (and provide application access as necessary)
5. Enter data for all components
Overview of ASSIST Process

6. Finalize all components and prepare for submission
7. OSP will submit your application through Grants.gov to NIH via ASSIST
8. Track the status and view the application image
General Application Structure

All multi-component applications will include:

- Single overall component
  - Provides an overview of whole application
- Varying numbers of additional components, by type (such as Cores and Projects)
  - These will vary by opportunity
  - FOAs will clearly indicate the types of components expected in a responsive application
- Automatically prepared data summaries
  - Based on information from each component
General Application Assembly

- Overall Component presented first
- Additional Components are presented in alphabetical order (e.g., Cores then Projects)
  - Components of the same type are grouped together and *presented in the order created in ASSIST*
  - Components are identified by type and sequential number (Core-001; Project-001), but the system also allows a user-defined short name for each component
Things to Think About

- Who is PD/PI for entire application
- What components are needed
- Organization lead for each component
- Project lead for each component
- Project title for application/components
- Start/End dates for application/components
- Who will work on application and do they have an eRA Commons account?
Access in ASSIST

- Each person who will work on the application must have access to ASSIST via an eRA Commons account.
- Some individuals will be provided automatic access based on their Commons roles:
  - All SOs and AOs at the application institution have edit access for the entire application.
  - All PD/PIs listed on the Overall application have edit access for the entire application.
  - The person who initiates the application has edit access for the entire application.
Access in ASSIST

- Component Project Leads have edit access for their components once their Commons Username is provided on the Senior/Key Persons form

- Application access for other users is granted via their eRA Commons usernames and can be controlled across multiple variables:
  - Entire application vs. specific components
  - Read vs edit
  - Budget vs. Non-budget data
Preparing the actual application

- Once the “shell” is created, completion of the actual application and entry of all data can begin.
- Data and files are entered by selecting the appropriate component from the left menu bar and the appropriate tab from the top of the screen.
## Component Information

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## Application Information

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<tr>
<td>Project Title:</td>
<td>Multi-component test research proposal</td>
</tr>
<tr>
<td>PD/PI Name:</td>
<td>SOMMERS, HOLLY</td>
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<td>Organization:</td>
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### Overall Component

#### Component Information

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</tbody>
</table>
Application Preparation - General

• As you enter data, ASSIST will validate data on a form when you save and provide a list of errors. Tips are also provided by ASSIST:

Overall Component

Tips:
- For the Overall component, complete the entire form. All editable fields marked with "*" must be entered in order to save the form. Gather this data before beginning your data entry.
- For other components, you will only be able to complete a subset of fields (Applicant Information, Type of Applicant - optional, Descriptive Title of Applicant’s Project and Proposed Project Start/End Dates). Expand All will expose fields available for data entry.

- R&R SF424 updates saved but errors exist...
- Is this application being submitted to other agencies is required
- ESTIMATED PROJECT FUNDING -> a. Total Federal Funds Requested is required
- ESTIMATED PROJECT FUNDING -> b. Total Non-Federal Funds is required
- ESTIMATED PROJECT FUNDING -> c. Total Federal & Non-Federal Funds is required
- ESTIMATED PROJECT FUNDING -> d. Estimated Program Income is required
Application Preparation - General

- Components will include the mandatory forms (as tabs across the top).
- Optional forms may be added by component
- Once added, the form will appear as a tab across the top.
Research and Related Subaward Budget

R&R MP Subaward Budget

Complete the subawardee budget(s) in accordance with the R&R Budget instructions.

Add New Subaward | Remove All Subawards

<table>
<thead>
<tr>
<th>Subaward</th>
<th>Organization</th>
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Nothing found to display.
Component Management

As components are completed, users may:

- Validate a component
- Preview a component
- Update component status:
  - Work In Progress – this is the only status that allows editing
  - Complete – component data entry is complete. Once marked complete no further edits may be made.
  - Final – component has been reviewed and incorporated into the application
Validating a Component

Component Errors and Warnings Results

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<td>Organization:</td>
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<td>709-Project</td>
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<td>709-Project</td>
<td>Other Project Information</td>
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<td>709-Project</td>
<td>Sites</td>
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<tr>
<td>709-Project</td>
<td>Sr/Key Person Profile</td>
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<td>RBR Budget</td>
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<tr>
<td>709-Project</td>
<td>Research Plan</td>
<td>Required form is missing. Please complete the required form so that all validations can be performed.</td>
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</tbody>
</table>
Warnings vs Errors

As with other electronic applications:

- Warnings will not stop application submission or processing.
- Errors *will* stop application processing and *must be corrected before the deadline.*
Application Status

- Work In Progress – allows editing
- All Components Final – can only be updated once each component is Final.
- All Components Validated – once Application Validation is error-free
- Ready for Submission – Should be set after internal reviews have taken place
- Submitted – automatic status after submission to NIH via G.g
Application Information

Tip: Some actions (e.g., Preview Application and Validate Application) are only available from this screen. The Application Information link in the breadcrumbs above can be used to return to this screen.

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FOA Information

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<td>Agency Contact:</td>
<td>S2S Support</td>
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<tr>
<td>E-mail:</td>
<td><a href="mailto:S2SSupport@OD.NIH.GOV">S2SSupport@OD.NIH.GOV</a></td>
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</tbody>
</table>
Reminders

• Read the FOA – this will include explicit instructions as to the expected components of an application. Only those component types may be added in ASSIST.

• Only one biosketch should be included for each Senior/Key Person, regardless of how many components they are on. ASSIST will help reconcile and track biosketches.

• The entire application will remain as a Work In Progress while the individual components are being finalized.
Reminders

Applications must be received and error-free in eRA Commons by 5:00pm on the deadline day.

PLEASE DO NOT WAIT UNTIL THE LAST MINUTE TO SUBMIT. ASSIST IS NEW FOR ALL OF US.
Resources and Links

• ASSIST: https://public.era.nih.gov/assist/

• NIH Webinar on ASSIST:
  http://grants.nih.gov/grants/webinar_docs/webinar_20130813.htm

• ASSIST User Guide:
Resources and Links

- NIH has also made available a “play” environment for ASSIST. Instructions for this demo environment may be found at:

(Quick) Questions?
Invoicing Milestones

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Invoice Milestones...

- Is a Compass record
- Stores the basic information regarding invoices due to the Sponsor as defined by the executed agreement
- Shows the status of the invoices
- Migrated into Compass production May, 2013
Purpose

The invoice milestone page was created in Compass to:

1. Track billing progress and completion
2. Assist accountants in answering questions
3. Track and calculate productivity
Contract Types Affected

- Cost Reimbursable_NON_LOCS
- Scheduled Payments
- Scheduled Payments by Task
- Other
- Hybrids-combination of one or more contract types above (including clinical trials)
Contract Types Not Affected

- Clinical Trials
- Auto-Scheduled Payments
- Cost Reimbursable_Letter of Credits
Locating the Invoice in Compass

Two view the invoice attachments in Compass use the steps below:

Navigation:
1. Log into Compass
2. Click Grants
3. Click Awards
4. Click View Contract Attachments < Award Number
5. Hold down the “CTRL” key and Click on the icon

The file should open.
Summary & Q&A

- Viewing Access
- Review status of invoice
- Run Reports
RAS Implementation Update

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Research Administration Services
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RAS Implementation Update

- Assessments were completed by all staff in the following RAS units:
  - **Current units**: Cancer & Imaging, and Public Health
  - **Fast Followers**: Medicine and Pediatrics

- Training for current RAS units:
  - Invoicing training complete
  - FFR training complete by end of September

- Transfer of Award set up activities to RAS units has been postponed
  - Transition will be revisited in six months
  - During this time OSP/DMG/OGCA will conduct comprehensive review of process

- Transform Research Administration website ([tra.emory.edu](http://tra.emory.edu)):
  - Standard Operating Procedures
  - Job Descriptions

- RAS Fast Follower Update (Medicine & Pediatrics)
  - Faculty communication underway
  - Regular staff meetings to answer questions and address concerns
## Research Administration Services Rollout Timeline

**Timeline is preliminary and may be adjusted**

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<th>Jul</th>
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RAS Lessons Learned

• Significant work went into the planning and launch of the RAS pilots; many of the original design elements have demonstrated proof of the concept.

• As expected, we learned a number of things during the pilot that has allowed us to tweak operations to guide future RAS implementations.

• Examples of how future rollouts are being adjusted:
  – Formalizing the original staged approach to launch refined to articulate metrics and criteria that must be met before moving to an official next phase of launch
  – Increased focus on addressing existing backlog of activities including account reconciliation, award clean-up, and effort certifications. While the case now, adding formal metrics before introducing new activities to RAS units
  – Written documentation (versus verbal) of who in departments will perform non-RAS activities currently performed by future RAS staff
Upcoming changes to Emory Proposal Express (EPEX)

• With the implementation of RAS units and the changing research administration structure, there is an opportunity to redefine and streamline roles and responsibilities in the proposal review process.

• Specifically, two primary changes:
  1. Roles and responsibilities definition
  2. EPEX enhancements and workflow routing changes
     - School/unit review skipped unless certain criteria are met
     - Routing changes only apply to RAS originated proposals

• Changes expected in late 2013/early 2014. More details will be forthcoming in the next few months before rollout occurs.
Any Questions?
Reminders:

- **NEXT MEETING:**
  November 14, 2013 – 9:30 am to 11:00 am
  School of Nursing Auditorium; Rm P01
  1520 Clifton Road

- Find information about ERAZ at [http://www.or.emory.edu/eraz/index.html](http://www.or.emory.edu/eraz/index.html)

- Email topics and suggestions for future meetings to [eraz@emory.edu](mailto:eraz@emory.edu).

- Your opinion and thoughts matter. Please complete the survey that will be sent out after this meeting.
See you in November!