This document clarifies the current roles and responsibilities during the life cycle of a DGHI award and provides resources for additional details information in one place. The intent of this document is to capture information for training purposes and as a reference material.

Table of Contents

DGHI Grants and Contract Admin Roles &Responsibilities (Pre-award)…….page 2

DGHI Grants and Contract Admin Roles & Responsibilities (Post-award)…..page 3

DGHI PI Roles & Responsibilities (Pre-award)…………………………………pages 4-5

DGHI PI Roles & Responsibilities (Post-award)…………………………………page 6

Resources………………………………………………………………………....pages 7-12

DGHI Grants and Contracts Administrator (G&C Admin) responsibilities

This document refers only to DGHI grants under our Budget and Financial Report (BFR) structure. Any grants with our affiliate center, CHIPIR, will be supported by their grant and contracts support team.

Pre-award

- Identifies and reviews specific sponsor related materials for the proposal submission process (i.e. forms, electronic submissions, sponsor templates or other information from the solicitation).
- Meets with PI at the beginning of the proposal development process to discuss roles and responsibilities and deadlines required by DGHI, Duke, and the Sponsor.
    - Works with PI to develop and manage the proposal timeline.
    - The standard DGHI checklist is reviewed against the specific RFA and is changed to reflect any specific pieces for submission for the RFA.
    - Includes discussing items to be completed and dates associated with appropriate deadlines, specifying the necessary materials and who is responsible for the completion of each component.
- When meeting with the PI, shares templates or examples of forms so PI understands what the forms look like (e.g. DPAF, FCOI).
    - Shares a budget template in Excel with the PI so PI can draft the proposal budget.
- Per the checklist split of responsibilities, assists PI in preparing grant applications, including the use of the appropriate forms, developing a budget and budget justification, uploading biosketches, other support, and facilities & resources) etc., for consistency, accuracy, and completeness in compliance with sponsor and university guidelines and deadlines.
    - G&C Admin will work with the PI to gather the Other Support information; the final OS document is verified by the PI. For ORA, all other support documents must be certified by ORA central office.
- Provides PI with guidance and appropriate documents to manage sub-agreements as well as deadlines for submitting required documents. Examples of SOW, budget, FCOI can be provided.
- If needed, registers Duke University as an institution in the funder’s electronic submission system as required in the RFA (e.g. for non-NIH grants).
- Obtains appropriate salary information for Duke personnel via SPOC process.
- Helps determine salaries for TBD positions.
- For ORS, obtains Duke collaborating unit(s) signatures on ORS cost-share form.
- Processes and thoroughly reviews sponsored projects through SPS to ORA/ORS to ensure compliance with University procedures and departmental and institutional signatures.
- Monitors compliance with agency and University regulations regarding submission; verifies all financial information to include application of the appropriate overhead rate for the project.
- Submitted materials are available to be viewed by PI at grants.duke.

DGHI G&C Admin responsibilities

Post-award

- Sets up new accounts, revises budgets, reviews invoices and collects amounts due from funding agencies and performs compliance reviews.
- Approves and manages expenditures for grants submitted by PI. Monitors compliance with agency and University regulations.
- Monitors reconciliation and analyzes monthly financial statements. Works with Business Office or SPOC of Duke collaborators to ensure correct salary distribution.
- Submits monthly expense reports to the PIs, providing analysis and advice on spending patterns and alerts to cost overruns.
- Assists investigators in processing financials portions of "just-in-time" information, progress reports, and final reports to sponsoring agencies.
- Interprets information received from funding agencies and distributes to appropriate investigators.
- Ensures proper recording of revenue associated with all awards. Establishes sub-agreement financial and reporting requirements; coordinates issuance of sub-agreements with ORA and ORS.
- Prepares and submits requests for cost accounting standards (CAS) re-budgeting/modifications, no-cost extensions for the funded project budget.
- Provide grant information and coordinates with owning department to prepare summer salary distribution (see Resources).
- For Progress Reports, G&C Admin uploads budget through ORS/ORA and PI uploads report text and answers questions in RPPR, then routes to NIH.
- Reconciles and closes all accounts and sub-agreements and obtains all sponsor-required reports. Works with assigned staff in the Office of Sponsored Programs to closeout all funded projects consistent with university process and timelines.
- Enters DGHI grant or contract into DGHI database for tracking.
- DGHI can accept in advance, review and approve invoices from sub-agreements and remit to the central office for payment with PI approval.

DGHI Principal Investigator responsibilities
(Investigators can delegate to research team as appropriate)

<u>Pre-award</u>

- The PI takes on the primary leadership role for a sponsored research project.
- Reviews and follows the RFA, FOA or proposal instructions. Checks deadlines, confirming date & time (local) for submission.
- PI meets with his/her assigned G&C Admin as soon as the decision to submit a proposal has been made and outlines the work Checklist and timeline.
- Prepares grant applications, (using appropriate forms), including:
  - Develops a budget and budget justification,
  - Uploads biosketches or gives biosketches G&C Admin to upload, depending on the specific guidelines in the funding announcement and as noted in the Checklist,
  - Assists with preparation of and verifies Other Support document,
  - Prepares facilities & resources documents, (example of DGHI Facilities & Resources is available), and
  - Prepares any other items discussed on the DGHI checklist.
- PI signs the Duke Proposal Approval Form (DPAF) provided by the G&C Admin.
- Completes required RCC annual training, COI and CITI trainings, and any other Duke required trainings.
- Identifies the need for sub-agreement. As guided by the G&C Admin collects and submits appropriate documents from identified sub-agreements or consultants to the G&C Admin to upload by required deadlines.
- Prepares own biosketch (including relevant personal statement) for required applications e.g. for United States federal funders.
- Collects biosketches from key personnel.
- Collects Letters of Support and/or Collaboration. Please reference RFA for specific guidelines; examples are available (See Resources).
- Prepares draft budget and budget justification. (Examples are available – see Resources; Budget template in excel is available from the G&C Admin.)
- Selects the appropriate facilities and administrative or indirect cost rate from the negotiated rates, under guidance from the assigned G&C Admin.
- Makes a Facilities & Administrative cost (i.e. Indirect Cost) request waiver, as necessary. (Examples available; See Resources).
- Requests matching funds or identifies in-kind contributions from appropriate sources, when necessary.
- Proposes cost sharing through contributed effort or other approved mechanisms and obtains approvals, as necessary. Discuss with the G&C Admin and see Resources for ORA information. For ORS, G&C Admin obtains Duke collaborating unit(s) signatures for cost share form.
- Prepares the appropriate forms (either at proposal submission time or "Just In Time" in accordance with sponsor requirements) for the IRB, IACUC, the Radiation Safety Office, Export Controls as necessary.

- Determines any changes in scope of work, budget and/or effort according to sponsor guidelines.
- Meets ORS/ORA submissions deadlines; requests waivers from John Bartlett when needed.
- Responsible for final grant submission by required deadline.
    - Includes compiling scientific components of the application (items not provided on DGHI proposal checklist as completed by G&C Admin),
    - For NIH grants, the PI uploads grant application to grants.duke and/or grants.gov, and
    - Grant submission for non-NIH grants should be made as required by Funder. (electronic, mail, etc.).
- Reviews status of application and other notifications through grants.gov.
- Leads contact with sponsor's program officer (written communication – email or mail, as well as telephone).
- Maintains eRA commons profile information. (Application for eRA commons the first time needs to be done by DGHI G&C Admin, but all changes to an existing account must be done by account holder.)

DGHI Principal Investigator responsibilities

***<u>Post Award</u>*:**

- Reviews the Notice of Award (NOA).
- Determines any changes in scope of work, budget and/or effort according to sponsor guidelines.
- Reviews and approves all federal sponsored Cost Accounting Systems (CAS) through Duke's electronic system.
- Requests prior approvals to appropriate program officer, grant management officer.
- In consultation with the G&C Admin, ensures compliance with all applicable financial and administrative regulations and Duke University policies and procedures.
- Establishes and keeps current Research Support Services Agreements (RSSAs) with vendors/consultants to perform work related to the grant. Works directly with assigned G&C Admin to initiate requests and collect appropriate documents to be processed by finance team.
- Initiates and proposes resolution of any cost overruns.
- Approves all financial reports and re-budgets.
- Completes all technical proposal/reports required by the sponsor by the required deadlines.
- Reviews and approves financial and technical reports for award close-out.
- Is in appropriate contact with the sub-recipients regularly through the life cycle of the project to ensure that the programmatic and financial management are conducted appropriately and in a financially responsible manner. Approves sub-agreement invoices and ensures appropriate spending level (e.g. "burn rate").
- Prepares progress reports according to sponsor guidelines and provides a copy of the final progress report to assigned G&C Admin.
- For Progress Reports, G&C Admin uploads budget through ORS/ORA and PI uploads report text and answers questions in RPPR, then routes to NIH.
- Leads contact with sponsor's program officer (written communication – email or mail, as well as telephone).
- Validates own effort certification annually (September) via Duke's Effort Certification and Reporting Technology (ECRT) on the Duke@Work site. As needed, certifies annual effort of staff and trainees that no longer work at Duke. (Every quarter ECRT sends out effort for review only, no action is needed until September).

RESOURCES

Training on Submitting an NIH grant	*NIH websites offer step by step instructions:* https://grants.nih.gov/grants/ElectronicReceipt/training.htm • Electronic Grant Application Basics • Top 10 Tips for Electronic Grant Submission Success • NIH Grant Application Submission Process
eRACommons	eRACommons is an online interface where grant applicants, grantees and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants. public.era.nih.gov
eRA Commons: Accounts, Roles, Profiles & Delegations	A Walk Through the SF424 (R&R) https://grants.nih.gov/grants/ElectronicReceipt/files/A_Walk_Through_The_SF424_RR.ppt This presentation highlights the various sections of the SF424 (R&R) application forms and provides handy tips on filling out the forms. Registering with Grants.gov and eRA Commons Grants.gov: For information about registering as an organization or an individual with Grants.gov, view the Grants.gov Applicant Training Video - Register, Find, and Apply http://www.youtube.com/watch?v=8HLFoOoVGQY&feature=youtu.be (21 min.). eRA Commons: How to Register Your Grantee Institution in the eRA Commons http://era.nih.gov/era_training/tutorials/c101_GranteeRegistrationProcess.htm (Animated online tutorial)
Using ASSIST to Prepare and Submit Multi-Project Applications to NIH	Electronic Submission of Multi-Project Applications https://grants.nih.gov/grants/webinar_docs/webinar_20130813.htm (Slides, transcript, details) This webinar is designed for investigators and administrators who are considering submitting grant applications in response to funding opportunity announcements (FOAs) for multi-project applications that require electronic submission. This webinar will instruct applicants how to develop, submit, and track a multi-project application on-line using the new ASSIST (Application Submission

	System & Interface for Submission Tracking) tool. NIH experts will show applicants how to set up their application; navigate the system; set access controls to allow people to work concurrently on the application; run a check against NIH and Grants.gov business rules to find errors; and view an application image before submitting. Demonstration Resources To get familiar with a multi-project funding opportunity, you can download the Multi-Project Test FOA Sample Text https://grants.nih.gov/grants/ElectronicReceipt/files/multi-proj_test_FOA_sample.pdf Instructions for using the demo environment for ASSIST and Multi-Project Applications: "Playing" with ASSIST – Applicants https://grants.nih.gov/grants/ElectronicReceipt/files/playing_ASSIST_applicants.pdf
Developing NIH Budget & Justification	http://grants.nih.gov/grants/developing_budget.htm • Effort: Effort must be reported in person months. • Materials and Supplies: In the budget justification, indicate general categories such as glassware, chemicals, animal costs, including an amount for each category. Categories that include costs less than $1,000 do not have to be itemized. • Consultant Services: Consultants differ from Consortiums in that they may provide advice, but should not be making decisions for the direction of the research. Typically, consultants will charge a fixed rate for their services that includes both their direct and F&A costs. You do not need to report separate direct and F&A costs for consultants (implying total costs should be reported); however, you should report how much of the total estimated costs will be spent on travel. Consultants are not subject to the salary cap restriction; however, any consultant charges should meet your institution's definition of "reasonableness".
Finding a DUNS	http://fedgov.dnb.com/webform/pages/CCRSearch.jsp
Register to FWA	http://www.thefwa.com/register
Registration SAM	You can register your Entity (business, individual, or government agency) to do business with the Federal

	Government. If you are interested in registering or updating your Entity, you must first create a user account. https://www.sam.gov/portal/public/SAM/
Office for Human Research Protections (OHRP)	Database for Registered IORGs & IRBs, Approved FWAs, and Documents Received in Last 60 Days http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc
Duke ORA eSubmissions	Class Description: The eSubmission class will cover the following: Overview of NIH Transition timeline, Types of electronic submission methods, Specifics for grants.gov submissions, Specifics for grants.duke submissions, SPS entry electronic submission highlights. **http://research.som.duke.edu/resources-training**
Duke Finance	Offers introduction courses such as Grants 101 http://finance.duke.edu/research/training/CourseCatalog.pdf
Duke Summer Salary info	http://finance.duke.edu/research/news/items/2010_12_08_aligneffort.php
Compliance	• COI https://ors.duke.edu/conflict-interest • RCC Training https://finance.duke.edu/resources/training/research/pi/index.php • CITI Training https://ors.duke.edu/researcher/initial-certification Access to the FY 2014 continuing education module can be found here: http://finance.duke.edu/research/training/index.php?crs=307&trn=26
Duke SOM Faculty Development offers trainings & online files of past trainings:	http://medschool.duke.edu/faculty/office-faculty-development/event-materials-and-recordings **Examples** Currently online: Primer on Grant Preparation: Keys to Being Competitive Grant Writing 101: How to Write a Convincing Research Plan http://medschool.duke.edu/faculty/office-faculty-development/event-materials-and-recordings#primer The In's and Out's of Career Development Awards

	http://medschool.duke.edu/faculty/office-faculty-development/event-materials-and-recordings#ins and outs Responding to a Grant Review http://medschool.duke.edu/faculty/office-faculty-development/event-materials-and-recordings#grant review Collaborative Funding Lunch and Learn: Exploring Multi-Investigator Grants http://medschool.duke.edu/faculty/office-faculty-development/event-materials-and-recordings#funding
Duke Office of Clinical Research (DOCR) training	http://docr.som.duke.edu/education/docr-available-training Of interest, Investigator Responsibilities: This course outlines basic information that principal investigators will need for their work in human subjects research at Duke. It provides information about the roles of each administrative office, avoiding research misconduct, reporting requirements, the study approval process, principles of confidentiality and privacy, and regulatory requirements for good clinical practice. Course Objectives: Distinguish between research and standard therapy and the implications of each, Describe requirements around effort reporting, conflict of interest reporting, and posting and publication, Define research misconduct and explain the investigator's responsibility in avoiding research misconduct, Outline the study approval process at Duke, Discuss investigator responsibilities and what an investigator can and cannot delegate to qualified study personnel, Outline HIPAA components and how they relate to sensitive electronic information, Summarize the IRB scope of responsibilities and authority, Explain the key regulatory requirements and good clinical practices that apply in the protection of human subjects during the informed consent process and the

	investigator's responsibilities during the consent process, and Apply the applicable regulations in the investigator's role of identification, documentation, reporting, and determining causality of adverse events and unanticipated problems.
Subrecipients information from Duke Finance	http://finance.duke.edu/accounting/gap/m200-280.php A subrecipient (subcontractor or subawardee) is a third-party organization that receives funding from Duke to collaborate in carrying out an externally funded program. Duke University is responsible for monitoring the programmatic, financial, and conflict of interest (COI) status of its sponsored research award subrecipients. Subrecipient monitoring responsibilities are shared among the department (the PI and the grant administration staff) and the Pre- and Post-award offices.
Duke ORS Grants, Contracts and Compliance Contacts	https://ors.duke.edu/grants-contracts-and-compliance This website provides guidance and information for faculty and G&C administrators to use as a reference for all of their grant and contract needs.
Duke ORS Cost Sharing Policy	https://ors.duke.edu/orsmanual/cost-sharing https://ors.duke.edu/op2/cost-sharing https://ors.duke.edu/orsmanual/cost-sharing-and-matching
ORA Developing A (NIH) Budget	http://research.som.duke.edu/research-administration/grant-administration/nih Detailed budget justifications should include the following: • Narrative explanation for each item for each year matching amounts indicated on the budget, and • Personnel should indicate role, effort level (if Key individual effort level is required), salary caps, and fringe benefits.

	*SAMPLE JUSTIFICATIONS ARE ON FILE WITH THE GRANTS TEAM
Duke ORA Grants, Contracts and Compliance	http://research.som.duke.edu/ This website provides guidance and information for faculty and G&C administrators to use as a reference for all of their grant and contract needs.
ORA Late Waiver Memo	http://research.som.duke.edu/sites/research.som.duke.edu/files/documents
Request for F&A Waiver	An F&A waiver request must receive written prior approval unless it is a published F&A from the sponsor and/or prime funder. If an F&A waiver is required, it must require prior approval from Department Chair or Center/Institute Director. Submit your request to your assigned grants & contracts administrator and they will forward to the appropriate Management Center of Research (SOM/Provost) in order to be approved for submission. The Grants & Contract Administrator would need to work with the PI to include title of project, SPS record#, sponsor, total direct costs and a brief description of project including location and future project plans. The PI must provide a reasonable justification in support of the request for waiver. Once approved, the Grants team will upload the documents into SPS records for ORA/ORS proposal submission. *Please note – proposal cannot be submitted unless F&A waiver has prior approval.
Duke International Travel Registry	https://travel.duke.edu/
Duke Library guidance on NIH Publication Compliance policy	This Guide provides instructions on various steps to take to ensure compliance of the NIH Public Access Policy. To learn more about the overall Policy, please take a look at the NIH Public Access Policy Guide. http://guides.mclibrary.duke.edu/nihpapcompliance