Date: October 15, 2013

To: Department Chairs, Business Managers and Grant Managers

RE: New required FY 2014 continuing education training available for individuals in sponsored project leadership roles

From: Dr. Sally Kornbluth, Vice Dean, Basic Science; Dr. James Siedow, Vice Provost for Research; James Luther, Assistant Vice President, Research Costing Compliance and Federal Reimbursement

We are writing to inform you that a new required continuing education module for all individuals in leadership roles on sponsored research projects and programs is available. Requirements for compliant management of sponsored programs have become increasingly complex in recent years. To assist in the programmatic and financial management of sponsored activities, Duke University has developed an online module that provides guidance and important reference information related to compliance rules and regulations. Per Duke University requirements, all individuals with a leadership role in sponsored projects are required to complete this module and to pass the associated assessment. No new award will be established until these requirements have been met.

Leadership roles are defined as: Principal Investigators, Project Leaders, Core Leaders, Project Directors, multiple Principal Investigators/co-Principal Investigators, and PI Fellows. (Note: These are Sponsored Program System (SPS) terms. Department Grant Managers are familiar with assignment of these roles in SPS and are able to assist in determining if the continuing education module is required.)

We estimate that the module and associated quiz will take approximately twenty minutes to complete. Completion of the module includes passing the assessment at the end of the presentation. The presentation slides will also be accessible as a future reference tool, once the module is successfully completed.

The module is now available. Individuals will have until January 6, 2014 to complete the new FY 2014 module; until that time, individuals who have already completed the 2011 module may still establish new awards. After January 6, 2014, records of the 2011 module will be removed and the new FY 2014 module will be required.

We are asking for your assistance in communicating this required continuing education to those in leadership roles on sponsored projects in your department or center. Prompt completion of
the required module is appreciated. As this is an institutional requirement, we wish to reiterate that no new award will be established after January 6, 2014 until the FY 2014 module has been completed with a passing score on the assessment. We believe that the information provided in this module will be of immediate and long term value to your researchers in managing their sponsored projects or programs.

Access to the FY 2014 continuing education module can be found here:


Thank you for your assistance in communicating this important continuing education opportunity.

Sincerely,

James Luther  
Assistant Vice President, Research Costing Compliance and Federal Reimbursement

Sally Kornbluth, PhD  
Vice Dean, Basic Science

James B. Duke Professor of Pharmacology and Cancer Biology

James Siedow, PhD  
Vice Provost for Research
RCC has released a new PI continuing education module.

**PI Continuing Education Requirement**

Per Duke University requirements, all individuals with a leadership role in sponsored projects are required to complete this module and to pass the associated assessment. *No new award will be established until these requirements have been met.*

Leadership roles are defined as: Principal Investigators, Project Leaders, Core Leaders, Project Directors, multiple Principal Investigators/co-Principal Investigators, and PI Fellows.

Individuals will have until January 6, 2014 to complete the new FY 2014 module; until that time, individuals who have already completed the 2011 module may still establish new awards. After January 6, 2014, records of the 2011 module will be removed and the new FY 2014 module will be required.

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**PI Continuing Education Requirement (cont’d)**

On October 15, 2013, RAD released the updated SPS Web Awards module to support the revised PI Continuing Education Requirement and provide automatic email notifications.

What happens when ORA receives an award and tries to award the SPS record in SPS Web Awards?

ORA *will not* be able to award the SPS record until all required individuals have taken the required RCC training. ORA will set the status of the SPS record to AIP (award in progress).

If an SPS record is set to AIP and one or more Duke personnel who are subject to RCC training have not completed it, an automatic email notification will be triggered.
An email will be sent to each of the following Duke people who have not completed RCC training:

- PI (for regular proposals)
- PPD (for Composite proposals) and Mini PIs (for Mini proposals)
- PI-Fellow (for regular proposals)
- Co-PI/Multiple PIs (for both regular proposals and PPGs)

The Initiator of the proposal will also receive an email notification if RCC training needs to be completed for one or more of the applicable Duke personnel.

ORA is copied on the initiator’s email notification.
How can you know who in your department has not completed their RCC training?

Log into the Research Compliance Tracker (RCT) application located at: https://radapps.duke.edu

You can search by person or proposal

You can search by BFR

Important Compliance Information

http://research.som.duke.edu/administrative-actions-request