RESEARCH QUALITY MANAGEMENT PROGRAM (RQMP) YEAR-3 KICK-OFF & QUARTERLY ROUNDTABLE

Duke Office of Scientific Integrity
September 13, 2021
Agenda

• New Research Policy Requirements
  • Q/A
• RQMP Year 3 Milestones Descriptions
  • Q/A
NEW RESEARCH POLICY REQUIREMENTS
5-DAY DEADLINE, INTENT TO SUBMIT, ONBOARDING

Research Quality Teams
September 2021
Updated research policies announced on August 11th included 4 new/updated requirements:

1. **Final documents** routed 5 business days ahead of sponsor deadline
2. **Research Quality Monitoring Program** implementation institution-wide
3. **Onboarding required** for all new research faculty and all first-time PIs
4. **Intent to Submit** required 15 business days prior to submission date
ONBOARDING: BACKGROUND

- **Goal:** Orient to research landscape, discuss process/resources/policies
- **Conducted by our team since 2017; required for SOM since July 2019**
- **Process:**
  - Meet 1:1 with navigator that best first scientific background – 60-90 min
  - Partner with department (often invite rep) to dovetail processes
  - Completed ~800; satisfaction rating high (98.4% give 4-5 stars; 80% give it 5)
- **Challenges:**
  - Resourcing (in process obtaining more effort)
  - Consequences of completion
## ONBOARDING PLANS

<table>
<thead>
<tr>
<th>Audience</th>
<th>Identification process</th>
<th>Material covered</th>
<th>Deadlines or consequences</th>
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<tbody>
<tr>
<td>New Hire Research Faculty</td>
<td>List provided regularly by school</td>
<td>• Upcoming goals/plans (tailored) with follow-up email</td>
<td>• Deadline: Within 90 days of hire</td>
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<td>• Researcher requirements*</td>
<td>• Consequence: Escalate to unit leader</td>
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<td>• Basics of MRH/MRP</td>
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<td>• Soon: Ensure enrollment in PI comprehensive training courses</td>
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<td>First-time PI at Duke</td>
<td>Regular Rank Faculty: Identify In Intent to Submit: “Are you a first-time PI at Duke?</td>
<td>• Project planning with follow-up email</td>
<td>• Deadline: Prior to submission if possible. Consequence: Hold processing of award</td>
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<td>Non RRF: Identified via approved PI status request</td>
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Goal: Early notification of ITS helps activate proposal support, leads to complete, compliant applications and fewer waivers

Has been recommended process since July 2019 (adopted in most SOM depts and SON); ~2400 completed submissions

Currently a REDCap form accessed via myRESEARCHhome

- Upon submission, sends notification to unit and myRESEARCHnavigators
- Unit activates to support application prep
- MRN team reviews submission to ensure connection to important resources/services
Future State:

- **Required** for applications for external sponsored funding with set submission dates
- Working with units to adjust process to better meet the goal
- Adherence to policy monitored by department (as part of RQMP milestone)
- Shift to MRH, create linkage with SPS
5-DAY DEADLINE BACKGROUND

- Goal: to allow adequate time for institutional review and clearance of externally-funded projects
- Institution-wide 5 business day deadline and “Near Final” requirements communicated in July 2019, SOM implemented a late waiver fee structure beginning July 2021
- “Near Final” had some, but very little, effect
- Some reduction in number of late applications, but ~25% still submitted with < 5 days for review
- Discussions w/ NIH + Review of peer policies and practices = Duke needs to do more
## PLANS AND CHALLENGES

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<td><strong>5 Business Day Deadline</strong></td>
<td>• <strong>Oct 1 effective date = all applications for external funding w/ sponsor due dates on/after Oct 1</strong> (including major Oct 5 NIH deadline)</td>
<td>• Applications that do not meet 5 bus day deadline will be held unless late waiver is approved to be reviewed by IR2</td>
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| Final Documents       | • “Final Documents” = all application contents in final form to be submitted to sponsor (no changes after ORA/S review/approval unless cleared)  
  • This will be challenging because…  
    • Changes can be made in Grants.Duke after ORA/S has set the record to Awaiting Submission/Released for Submission  
    • If submitting via other than Grants.Duke, there is no control of final documents | • If an award is received that deviates significantly from the ORA/S approved version, Duke reserves the right to decline the award |
What will Duke hold submission for?

1. Final documents are not received
2. The internal deadline was not met
3. Proposal attestation is not completed
4. Proposed Principal Investigator is not eligible to serve as PI
5. There is an irreconcilable issue from the required changes list
6. The application (with approved waiver) is received with less than two days for review
Why does the institution need to review the science / final docs?

- All the elements required in the funding opportunity are included
- All proposed work can be conducted by/at Duke
- Adherence to new rules or regulations (ex: new disclosure requirements)
- Institutional review of any project complexities (ex: multiple subawards, international aspects)
- Potential scientific overlap has been identified and addressed
- Etc…
NEXT STEPS

- We are updating business process/implementing new technology features
  - Revisions to Late Waiver Request form (remove reference to “inadequate planning”)
  - Establish review process for Late Waivers (no longer simply processing)
  - No longer charge for late waivers after Oct 2021
  - Standard language to accompany ORA/S review – “this is the version that has been reviewed/approved by Duke and expected to be submitted to the sponsor”
NEXT STEPS

- Content in myRESEARCHpath with implementation details on all policy updates
  - Final documents routed 5 business days ahead of sponsor deadline
  - Research Quality Monitoring Program implementation institution-wide
  - Onboarding required for all new research faculty and all first-time PIs
  - Intent to Submit required 15 business days prior to submission date
NEXT STEPS

- Communication to research community (investigators and administrators) with implementation details
  - What has changed: 5 Day Internal Deadline + Final Documents
  - What to do if a late application can’t be avoided (new late waiver form)
  - What could hold up submission
  - Link to myRESEARCHpath for details, updates, FAQs, etc.
  - Submit questions via myRESEARCHhome
  - September 21 Research Administration Town Hall
RQMP Year 3

Research Quality

- Research Administration
- Accountability
- Data Management
- Best Practice
**RQMP Year 3 Milestones Timeline**

- **December 17, 2021**
  - *Meet with RQMP Central Office*
  - *Submission of SMART Goals*
  - *Review/Update Operational Plan*

- **May 31, 2022**
  - *Attend a Research Quality Training and disseminate to researchers in unit*

- **June 30, 2022**
  - *Reporting of progress on SMART Goals*
  - *Achieve/Maintain RCR training compliance*

**Ongoing** → Increase MRH / MRP usage, Maintain RCR training for faculty and staff, Maintain SCAP relevancy and attestations
Year 3 Milestones

• Meet with RQMP Central Office
• Submission of SMART Goals
• Review/Update Operational Plan
• Attend RQT Training and disseminate materials to unit
• Reporting of progress on SMART Goals
• Achieve/Maintain RCR Compliance

2021-2022 “Year 3” Milestones will be captured in Section T of the RQMP REDCap
Meet with RQMP Central Office

Purpose

• Review Data Management Survey results
• Review SOURCE survey results
• Initial discussion around SMART goals
Review/Update Operational Plan
Due December 17th, 2021

• A general review/update of operational plan
  – Does your SCAP need to be updated?
  – Is your SCAP maintenance plan working well?
  – Recommend assigning a delegate if needed

• Assign a delegate(s) for the following responsibilities in Section T:
  – Tracking RCR Training
  – Promoting MyResearchSuite usage
  – Serve as a resource for financial, administrative and scientific review of grant applications, as needed

• Relevant units should decide if House Staff need to do RCR Training and document in Section T if applicable
RQMP SMART Goal Submission
Due December 17, 2021

• Develop at least 1 unit-level research and/or data quality goal
• Our office will supply a template in the coming weeks that you can use to capture relevant details.
• Submit proposed SMART goals to Section T of the RQMP REDCap by Dec. 17th 2021
Attend RQT Training and disseminate materials to unit
Due May 31, 2022

• Attendance at 1 training by the RQO and LRA will be required

• Evidence of dissemination of materials to unit
  – e.g., Copy of email sent, Meeting minutes with attached materials, Presentation slides.
Achieve/Maintain RCR training Compliance
Due June 30, 2022

• Achieve and maintain compliance with RCR training requirement for faculty and staff engaged in research based on size of academic unit
  <3 researchers out of compliance in units with less than 40 researchers
  <5% researchers out of compliance for units with 40 - 500 researchers
  <26 researchers out of compliance for units with greater than 500 researchers
Report on RQMP SMART Goal Progress
Due June 30, 2022

• Report on progress of SMART goals around data management practices or research quality
• SMART goal reporting due by June 30th 2022 via Section T of RQMP REDCap
RQMP Central Office Personnel Update

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