Electronic ARA/901 Working Group Minutes

Date: April 20, 2004, Tuesday
Time: 1:00–3:00 p.m.
Location: Rockledge 2, Rm 3087
Advocate: Ellen Liberman

Next Meeting: TBA

Action Items

1. (Focus Group participants) Review meeting minutes for the March 2 meeting and send comments to Sara Silver.

2. (Sara Silver, Jim Tucker) Speak about 901 requirements for SQAIB.

3. (Sara Silver, Jim Tucker, Cathy Walker) Find out how changes in grant number are made in post-review and post-council, either before or after award.

4. (Focus Group participants) Think about aspects of the current business process that might be open to change (if not previously discussed), and about ARA/901 topics that have not been discussed; send ideas to Sara Silver.

5. (Suzanne Fisher, Sara Silver) Meet to discuss the business rules for 901s.

6. (Gerald Calderone, Ellen Liberman, Sara Silver, Mark Siegert) Meet to discuss assignment change requirements for other DHHS Operational Divisions who will be using the Electronic ARA-901 system.

7. (Sara Silver) Assemble a scope/vision document with requirements for the Electronic ARA-901 system and develop prototype screens for validation of the system functions reconvene with the group to validate the requirements.

Review of Minutes from Past Meetings

The minutes for the March 2 meeting were sent out on April 20, along with revised minutes from the meetings held on December 9, December 16, January 6, and February 10. Sara asked focus group members to review the meeting minutes during the next month, and to send comments to her.

Action: **(Focus Group participants) Review meeting minutes for the March 2 meeting and send comments to Sara Silver.**

Mass Change 901s

There is occasionally a request to make the same 901 change to multiple applications. Examples of the types of changes requested include the following:

1. For all applications that have been received for a particular RFA, the council date needs to be moved forward (or for all applications for that RFA within a particular study section).

2. For all applications that have been received for a particular RFA, a change needs to be made to the primary IC.

3. All applications that have been assigned to a SEP that doesn't have a quorum need to be changed to a different SEP.

In the current system, the user needs to complete a separate 901 for each application that needs to be changed. Users are requesting that the new system provide the ability to specify the change for a group of applications as one request action.

Any kind of 901 change, as identified earlier, may need to be done as a mass change. The approval and notification chain is the same for mass 901s as it is for the individual 901s, depending on the type of 901 change being requested.

For this function, applications need to be identifiable as part of a group, either by RFA/PA number or by specified study section or SEP.

A "mass 901" request may apply to the same change being requested for *all* applications in a specific group, or the same change being requested for a *subset* of applications in a specific group. For those in the second category, different actions may need to be taken for sequentially identified subsets of the group. For example, a group of applications for an RFA may need to have the primary IC changed, with five applications being reassigned to one IC, five to a second IC, and five to a third IC.

Since a mass 901 change may apply for some or all of the applications in the group, users have requested the ability to select the applications in the group that will have the 901 change applied to them. The function is similar to what exists in the Peer Review Referral screen.

Users will need the option to view details about individual applications on the list of applications in the group.

901s Initiated By PIs

A request for a withdrawal may come from a PI or from an SO. If it comes from a PI, the SO needs to approve the withdrawal; the SO does not need the approval of the PI to process a withdrawal. No internal NIH approvals are required.

In the current system, the SO calls DRR and DRR users enter the withdrawal as a 901. Users are requesting that the Commons be modified to allow an SO or PI to initiate a withdrawal request. Therefore, both the institution and the PI would need an existing Commons account. If a request for a withdrawal is requested in this way, the requirements are as follows:

1. If a request is made after scores have been released and before a Summary Statement has been prepared, the system will display a warning message to the submitter of the request: "If you withdraw the application at this point, you will not receive a Summary Statement. Do you want to proceed?"

2. A PI request would require SO verification (in lieu of a signature) before the 901 processing could occur.

3. Once the PI/SO or the SO have verified, the system would automatically process the withdrawal.

4. The withdrawal would need to be tracked and auditable as a 901 change.

5. Notifications of the change will need to be sent by the system to Review, the IC Program Officer, the IC Referral Liaison, and DRR. No internal authorization is required, however.

6. The 901 withdrawal must be "reversible" through a 901 reinstatement.

901 Changes Made By SQAIB

Some 901 changes are made in the existing 901 module by SQAIB, using a special role. One such change is type 8s. Sara will speak to Jim Tucker about any other changes being done by SQAIB using 901 functionality, and will develop requirements for the SQAIB role for electronic 901s.

Action: **(Sara Silver, Jim Tucker) Speak about 901 requirements for SQAIB.**

Other Types of Changes

Jean Noronha asked about changes in grant number that are made post-review and post-council, before award. She also asked about how grant number changes are handled after award (e.g., for a change in support year or a change in mechanism). Sara will speak to Jim Tucker and Cathy Walker (the Grants Management business analyst) about how these changes are accomplished in the current system. If a 901 is required for these, the GMO will need to approve the change and the Referral Liaison will need to be notified.

Action: **(Sara Silver, Jim Tucker, Cathy Walker) Find out how changes in grant number are made post-review and post-council, either before or after award.**

Next Steps

Sara announced that this is the last meeting for initial gathering of requirements. She said that the next steps that need to be taken are as follows:

1. Focus group members need to think about aspects of the current business process that might be open to change (if not previously discussed) and about ARA/901 topics that have not been discussed. Group members should send topic suggestions to Sara.

2. Sara will meet with Suzanne to discuss the business rules for 901s.

3. Sara, Gerald, Ellen, and Mark Siegert will meet to discuss ways to accommodate the Electronic ARA-901 system to the other Operational Divisions in the Department of Health and Human Services.

4. Sara will assemble a scope/vision document that compiles all of the requirements for the Electronic ARA-901 system and develop some prototype screens for validation of the system functions. She will send these out for review, and the group will then reconvene to validate the requirements. These activities should occur sometime this summer.

Action: **(Focus Group members) Think about aspects of the current business process that might be open to change (if not previously discussed) and about ARA/901 topics that have not been discussed; send ideas to Sara Silver.**

Action: **(Suzanne Fisher, Sara Silver) Meet to discuss the business rules for 901s.**

Action: **(Gerald Calderone, Ellen Liberman, Sara Silver, Mark Siegert) Meet to discuss assignment change requirements for other DHHS Operational Divisions who will be using the Electronic ARA-901 system.**

Action: **(Sara Silver) Assemble a scope/vision document with requirements for the Electronic ARA-901 system and develop prototype screens for validation of the system functions; reconvene with the group to validate the requirements.**

Attendees

Armistead, Allyson (OD/OER)	Melchior, Christine (CSR)
Fisher, Suzanne (CSR)	Noronha, Jean (NIMH)
Faenson, Inna (OD/OER)	Roberts, Luci (CSR)
Goodman, Michael (OD/OER)	Silver, Sara (Z-Tech)
Liberman, Ellen (NEI)	Stesney, JoAnn (NIAID)