Electronic ARA/901 Working Group Minutes

Date:	Tuesday, Dec. 9, 2003
Time:	2:00 p.m.–3:30 p.m.
Location:	Rockledge 2, Room 3087
Chair:	Ellen Liberman

Action Items

1. (Sara Silver) Compile and organize the major functions of the ARA system into a scope document.

2. (Sara Silver) Present categories for the 901s in the new system.

Welcome

Ellen Liberman welcomed new members to the meeting of the Electronic ARA and 901 Working Group.

Corrections to Minutes from Last Meeting

■ Clarifications, item #3, fourth bullet: "CSR has assigned the grant number" (an example of the types of e-mail notifications that might be sent out for ARAs), should be reworded as "CSR has assigned the primary/secondary IC and review locations".

■ Clarifications, item #4: An application number and review assignment will be required for an ARA "if the ARA is acted upon" (instead of "if CSR approves the ARA"). "If CSR disapproves the ARA" instead should be worded "if an ARA request from an IC is matched to an application that is assigned to a different IC".

■ Clarifications, item #7: The status hitlist also should include the prior number for revisions and competing continuations.

■ Clarifications, item #7: The sixth bullet in the list of statuses should be "archived" (not "archived in ARA").

■ Clarifications, item #8, Modifying ARAs: the group decided to provide the user with two options:

1. Create a new ARA.

2. Modify the existing ARA. Consider giving the ARA a status of "revision".

■ Clarifications, item #11: when querying ARAs, the default query should return only ARAs submitted by that IC. For CSR, the default query should return ARAs submitted by all ICs.

■ Clarifications, item #12: this list of eRA modules refers to ARA functionality only, not 901s.

■ ARA Routing Process/Chain of Approvals, item #4: The Receipt and Referral Chief role in CSR will need the authority to "annotate" (instead of "approve/disapprove") ARAs.

Deleting/Storing ARAs

- There was a question about whether there is a legal requirement to store an ARA. Once it's matched, it doesn't really exist as an ARA.

- The group suggested storing ARAs and 901s as Grant Folder documents. Sara will consult with the Grant Folder analyst to find out if this would be a problem.

- ARAs that have not been matched and are not marked as permanent should be stored for two receipt cycles.

- The system will need to clean out permanent ARAs periodically.

Negative ARAs

There is no need for functionality for negative ARAs (for example, when an IC requests that an application *not* be assigned to them). Instead, a separate ARA type will be set up for these.

Blanket Exemptions

- These would be set IC by IC. Examples:

  1. "All P01s can be submitted for up to a certain dollar amount"

  2. "Mechanism A is excluded from the 500K rule"

  3. "A particular PA or PAR is excluded from the 500K rule"

  4. "Mechanism A (or a particular PA or PAR) is okay up to 750K"

- Functionality needs to be developed for this.

- A name other than "blanket exemption" to denote this functionality should be identified.

CSR-generated ARAs

- ARAs can be generated by CSR.

- When a study section is awaiting an ARA for an application, consider setting a flag to route the ARA to the study section when the application comes.

Electronic ARAs

Sara will prepare a scope document that will compile and organize major functions of the ARA system, based on the requirements gathered by the focus group meetings. She also plans to include aspects of the 901s, looking for similar functions to meet requests.

Action: **(Sara Silver) Compile and organize the major functions of the ARA system into a scope document.**

Electronic 901 General Information

- 901s are done after an assignment is made but prior to funding/award. They are initiated from CSR, program staff, or Grants Management.

- Currently, 901s are reviewed and approved by full-time professional staff; then the Project Control staff goes into the eRA System (IMPAC II) to make the changes.

- There are a limited number of changes that can be accomplished with a 901. The most common change for a 901 is changing the application number (i.e., RR to AI) or adding one or more ICs as duals.

- On the 901 form, Suzanne Fisher stated the entry for "RETURN/Delete from IMPAC" should be deleted from the **"PROPOSED CHANGE(S)"** list.

- An application deferred by the IRG or Council is done through a 901 change.

- There are two kinds of 901s:

  1. FROM/TO: e.g., changes to SRG or Council date

  2. ACTION: withdrawal, reinstate, or delete

- CSR checks all submitted 901s for completeness and accuracy before processing.

- There are different chains of approval depending on type of 901.

- Externally-generated 901s:

  - When a withdrawal is requested by a PI.

  - Requires co-signature of the institution official.

  - Sometimes CSR receives notification of a withdrawal after it has taken place and is expected to take action. Suzanne stated that as long as the appropriate authorization has been received, it should be propagated at the NIH rather than to expect an action.

  - It's important to know that an application has been withdrawn. It was suggested that an indicator should be added showing the application has been withdrawn.

  - It was suggested that externally generated 901s be done as an exchange transaction.

- The group agreed that reinstatements should not be a part of the electronic 901s, since the institutes and CSR can use other eRA System functions to process them.

- In the new system, there no longer will be a need for Project Control staff to manually change system data. Once a 901 has gone through the required approvals, the system will automatically update the data.

- DRR will still need to check study section changes against the PI request before approving the change.

- 901s follow the same basic flow as ARAs: a request, a workflow of approvals, and basic status query capabilities.

- There are business rules for 901s, depending on the type. Examples: when primary IC changes, the duals must be carried over as well; when primary IC changes, the amended status (A1, A2, A3) must be carried over; for a Type 9, the year must be carried over. Sara and Suzanne will meet privately to develop a list of business rules, and will bring it back to the group.

- Withdrawals processed by a 901 can be reinstated. "Deletes" in the eRA System remove the entire record from the database.

- There was a discussion of the need for an "IC Withdrawal" status in the eRA System.

- A Deferral change removes the percentiles. This reflects that there has been a review and it is going to be done again, either for the same Council or for a later one.

- There was a question about whether an IC could process a council date change (within that IC) without a 901.

Electronic 901 Issues for Discussion

- Types of status queries needed.

- Action the new system will focus on.

- The categories for the 901s in the new system will be presented at the next meeting.

Action: (Sara Silver) Present categories for the 901s in the new system.

The next meeting will be December 16, 2003. The time will be at 1:00 p.m. Sara will notify the group of the location.

Attendees

Calderone, Jerry (AHRG)

Carter, Anthony (NIGMS)

Czarra, Allan (NIAID)

Fisher, Suzanne (CSR)

Kelty, Miriam (NIA)

Liberman, Ellen (NGI)

Melchior, Christine (CSR)

Noronha, Jean (NIMH)

Ramm, Louise (NCRR)

Ratnanather, Chanath (Z-Tech)

Roberts,Luci (CSR)

Silver, Sara (Z-Tech)

Stesney, JoAnn (NIAID)

Vann, Cecelia (OD/COB)