



Electronic ARA/901 Working Group Minutes

Date: Tuesday, Dec. 16, 2003
Time: 1:00 p.m.–3:00 p.m.
Location: Rockledge 2, Room 3087
Chair: Ellen Liberman

Action Items

1. (Sara Silver) Verify frequency of the different types of 901s from last year.
2. (Sara Silver) Check to see if users can change Council date, IRG, and Grant Number Change (under Administrative Deferral), and IRG and Council Change (under Administrative Deferral) in the Review Module.

901s and Workflow

Sara Silver distributed a list of 901s that were generated and processed last year in the eRA System (IMPAC II) database. She asked the group to define each type of 901, review/suggest a workflow and chain of approval for each 901 in the electronic 901 system, and identify any additional requirements:

1. IRG Change

- *Definition*—An IRG change is a change of study section within or across IRGs. A request to change the IRG can come from an SRA or PI.
- *Current Chain of Approval*—If an SRA requests a study section change within an IRG, a 901 is unnecessary. If the change results in a change in IRG, the IRG Chief(s) must be notified, approve the change, and send the request to Receipt and Referral for approval and action. If a PI is currently in one study section but requests another, the system flags the application and Receipt and Referral must resolve the issue.
- *Suggested Chain of Approval*—
 - a. *IC to CSR*—The 901 requesting an IRG change should be sent (for approval) from the requestor to the Referral Liaison and from the Referral Liaison to CSR. The group agreed that the Referral Liaison should always be the first and last contact when a 901 is entering or leaving the IC. The group was unsure whether the IRG Chief should approve the request or simply be notified in this case. It was suggested that the system be configurable so that users could determine how the IRG Chief is involved.
 - b. *IC to IC*—In many cases, an IC needs to find a more appropriate IC to accept a 901. In most of these cases, a change in IC as a locus of review also entails changing institute assignment and thus, involves a change of grant number. The 901 should be sent from the IC Referral Liaison to the Referral Liaison in the second IC and from that Referral Liaison to the Review personnel within that IC. Users also should have the ability to determine whether or not the IRG Chief and

Program Official should be involved. The system should be configurable. Finally, it is crucial that the system display what IC sent the 901 and what IC finally accepted it.

- c. *CSR to IC Review*—Occasionally, CSR will need to send IC Review a 901 for approval. In this case, the 901 should be sent from CSR to the SRA, from the SRA to the Referral Liaison, and from the Referral Liaison to DRR.
- *Additional Requirements*—The system should allow users to enter a reason for changing the IRG in a freeform option box. The system also should indicate when a PI has been contacted about their requests concerning IRGs.

2. IRG and Council Change

- *Definition*—Rarely, a 901 form will require both an IRG Change (change of study section) and a change of council date. Sara asked whether two requests on the same 901 form count as a single 901 request. The group said that two requests, so long as they appear on the same 901 form, count as a single 901 request.
- *Suggested Chain of Approval*—The workflow/chain of approvals for the IRG and Council Change should follow the same workflow/chain of approval previously suggested for a 901 requiring an IRG Change.

3. IRG and Dual IC Change

- *Definition*—A 901 form can require both an IRG Change (change to study section) and the addition or deletion of dual ICs. The group said that a request for both an IRG Change and a Dual IC Change rarely happens, but can occur from time to time. The group was surprised by the high frequency of IRG and Dual IC Changes recorded on the distributed list of 901s from last year. Sara agreed to verify the numbers by the next workgroup meeting.
- *Suggested Chain of Approval*—The workflow/chain of approval for a 901 requiring both an IRG and Dual IC change should follow the same workflow/chain of approval previously suggested for a 901 requiring an IRG Change.

4. IRG and Grant Number Change

- *Definition*—Sometimes, a 901 will require both an IRG Change (change to study section) and a change to the Grant Number. The group explained that there are two different components of the Grant Number that are subject to change: the *Primary IC* and the *Mechanism*.
- *Suggested Chain of Approval*—
 - a. *IRG and (Primary IC) Grant Number Change*—The 901 should be sent (for approval) from the requestor to the Referral Liaison (requesting IC), to the Referral Liaison (receiving IC), to the Division Chief and the Program Administrator, and finally from the Division Chief/Program to the Referral Liaison to transmit to Receipt and Referral for final approval/disapproval. The group was unsure whether the Program Administrator should be involved in the approval process. It was suggested that the system allow users to determine the Program Administrator's involvement via a checkbox. Finally, the group asked

that the system notify everyone in the chain of approval when Receipt and Referral approves or disapproves a 901. However, users should have the ability to determine whether or not they wish to be notified.

- b. *IRG and (Mechanism) Grant Number Change*—The 901 should be sent (for approval) from the requestor (which is either Program, an SRA, or a Referral Liaison) to the IC Referral Liaison. The Referral Liaison will then send the 901 to CSR.
- c. *IRG and (Primary IC and Mechanism) Grant Number Change*—In the event that a 901 requires an IRG and both a primary IC and mechanism grant number change, the 901 should follow both the suggested workflows/chains of approval for the Primary IC and the mechanism Grant Number Change (above).

5. IRG, Council, Dual IC, and Grant Number Change

- *Suggested Workflow/Chain of Approval*—The suggested workflow/chain of approval for a 901 requiring an IRG, Council, Dual IC, and Grant Number Change should follow the workflow/chain of approval suggested previously for an IRG, Council, Dual IC, and Grant Number Change.

6. Change in Council Date

- *Suggested Chain of Approval*—The group asked whether it was possible to change the Council Date in the Review Module. If the Review Module permits this function, a 901 may be unnecessary. Sara will investigate the matter.

7. Administrative Deferral—IRG Change

- *Definition*—Administrative Deferral grants permission to erase the scores of the previous review and instigate a new review. Under Administrative Deferral, an SRA or IRG Chief can request an IRG Change (change to study section).
- *Suggested Chain of Approval*—A 901 requiring an IRG Change under an administrative deferral should be sent (for approval) from the requestor (an SRA or IRG Chief) to the Referral Liaison and from the Referral Liaison to Receipt and Referral.
- *Additional Requirements*—Once a 901 under Administrative Deferral is approved, the system should automatically delete the scores and summary statements from the previous review. The IRG Chief should be notified when a study section has been changed.

8. Administrative Deferral—Council Change

- *Definition*—Under Administrative Deferral, the 901 can require a change in council date (a new date to re-review the application at Council).
- *Suggested Chain of Approval*—The workflow/chain of approval for a 901 requiring a Council Change under Administrative Deferral should follow the same workflow/chain of approval previously suggested for a 901 requiring an IRG Change under Administrative Deferral.

- *Additional Requirements*—Once a 901 under Administrative Deferral is approved, the system should automatically delete the scores and summary statements from the previous review.

9. Administrative Deferral—IRG, Grant Number Change

- *Suggested Chain of Approval*—This grant number change is for a change in mechanism. The group wondered if users could change the grant number and IRG under Administrative Deferral in the Review Module. Sara said she would look into this.

10. Administrative Deferral—IRG, Council Change

- *Suggested Chain of Approval*—The group wondered if users could change the council and IRG under Administrative Deferral in the Review Module; also whether this was for a later or an earlier council change. Sara said she would look into this.

11. Administrative Deferral—IRG, Dual IC Change

- *Definition*—The group agreed that this was an odd combination, but that it could occur.

12. Administrative Deferral—Council Date, Grant Number, Dual IC Change

- *Definition*—The group agreed that this was an odd combination, but that it could occur.

13. Grant Number—Retain Score

- *Definition*—The group agreed that this category of 901 should be eliminated because a 901 requiring a change in grant number would automatically retain scores from the review.

Action: (Sara Silver) Verify frequency of the different types of 901s from last year.

Action: (Sara Silver) Check to see if users can change Council date, IRG and Grant Number Change (under Administrative Deferral), and IRG and Council Change (under Administrative Deferral) in the Review Module.

Future Meetings

The group decided to meet Tuesday, January 6 at 1–3 p.m. This meeting will wrap up discussion of the different types of 901s, and begin discussion of other 901 requirements.

Attendees

Armistead, Allyson (LTS)	Melchior, Christine (CSR)	Roberts, Luci (CSR)
Fisher, Suzanne (CSR)	Noronha, Jean (NIMH)	Silver, Sara (Z-Tech)
Hagan, Ann (NIGMS)	Ratnanather, Chanath (Z-Tech)	Stesney, JoAnn (NIAID)
Liberman, Ellen (NEI)		Vann, Cecelia (NIH/OD)