Welcome to training for the VCU Research Administration Management System (RAMS)-Sponsor Program Online Tracking (SPOT) database. These slides will review the functionality of the Compliance Data project.
This training will draw on images from both the workflow diagrams (above left) and the system interface (above right).

Each project (Funding Proposal, Review, Compliance Data, Award, Administrative Actions) has an associated workflow diagram. Think of this as a map.

The system interface that you see when you log into the system provides different views based on role.
• This is a top level view of the RAMS-SPOT projects and their relationship to one another.
• Please notice the numbering convention for the projects which is based on the initial funding proposal.
• Reminder as we look at the workflow diagrams that you need to understand what the symbols mean.
• In RAMS-SPOT, we use the term “state” to refer to status; these ovals are states. Pay attention to the type of line around the oval because it tells you who and whether or not editing is possible: Green dotted line, can be edited by Principal Investigator/Study Staff (PI/SS) or OSP. Black dotted line, can be edited only by OSP. Solid line, no editing.
• Also note the Security Roles. The workflow diagram uses these symbols.
Let’s look at the Funding Proposal workflow diagram at the point in the process it intersects with the Compliance Data project workflow. Keep in mind that one project’s workflow can occur simultaneously with that of another project. For example, OSP can be negotiating a bilateral agreement simultaneous to requesting that PI/SS update the Compliance Data project.

Every funding proposal must run through the states “Proposal Under Sponsor Review”, “Agreement Received for Negotiation.” The Compliance Data project will be completed at this point in the pre-award process (JIT, Agreement Negotiation.)
• The “Award Received” received state indicates that we have a notice of award (NOA) or fully executed agreement. When the award is processed in the Award project, the Funding Proposal will show as “Funded.”
• OSP initially creates the Compliance Data (CD) project typically during the preaward phase.
• Both OSP and PI/SS can reopen the CD project during the course of the sponsored project as needed.
The Compliance Data workflow is simple. OSP creates this project initially which triggers an email to the PI/study staff to review and complete the questions. PI/SS submits the compliance data back to OSP.
• The responsible OSP team reviews the Compliance Data information provided by the PI/Study Staff. OSP either verifies it or sends it back for further input.
• For funding proposals that originated in RAMS-SPOT, OSP initiates the “Preaward Compliance Data Needed” request.

• For all awarded records that migrated from InfoEd, a compliance data record was created and completed based on available InfoEd data.

• Subsequent compliance updates in RAMS-SPOT can be initiated by OSP or the Principal Investigator/Study Staff.

• Reminder that the Compliance Data Record replaces the PI Preaward Questionnaire.

• The Compliance Data project capability eliminates previous means of requesting this data.
• PI/SS can update the Compliance Data by clicking “Edit Compliance Data.” Once finished, the Compliance Data should be returned to OSP using the “Send Compliance Data for Review” action.
• Here are the Compliance Data sections; they mirror the data points listed in the Funding Proposal.
• The Compliance Data Record is based on branching logic, i.e. many sections will branch only if “yes” was chosen for the area on the Compliance Data Setup.
• One exception to this rule is Human Subject and Lab Animal Details—all Compliance Data Records will branch to these questions even if “no” was chosen in the setup questions. Data reporting from RAMS-IRB and IACUC could reflect that the FP in question is linked to an existing protocol.

• OSP will complete information in the Compliance Data project that can be gleaned from an NIH Just-in-Time report.
This concludes this training unit.