



The monthly newsletter provides timely information on agency updates; sponsor and University policy and procedural information; and guidance in all aspects of sponsored project administration for Researchers and Research Administrators. Content for the newsletter is contributed from the offices under the Vice President for Research:

- [Office of Research Administration Information Systems \(RAIS\)](#)
- [Office of Research Development](#)
- [Office of Research Integrity \(ORI\)](#)
- [Office of Sponsored Projects \(OSP\)](#)

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	<b>Office of Sponsored Projects</b>
	➤ <b>Proposal Submission Practices at Brown</b>
<a href="#">Research Administration Updates</a>	The Office of the Vice President for Research (OVPR) Customer Service Survey conducted earlier this year revealed many interesting findings. Among the most common misconception proposal dues dates for internal review. The University policy requires that all proposals be submitted to OSP or BioMed Research Administration (BMRA) <b>five</b> days in advance of the sponsor's deadline including a <i>next to final</i> draft of the science and programmatic sections of the proposal. The very final science/ programmatic sections of the proposal application may be submitted <b>three</b> days prior to the sponsor's due date. Many faculty wrote that they were not aware additional time is available for the final 'polishing' and edits of these sections of the proposal. The full policy statement is published <a href="#">here</a> for your reference.
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<a href="#">Sponsor/Agency Updates</a> 7	As always, we recommend that faculty work closely with their assigned departmental research administrators to coordinate proposal development and submission calendars.
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OSP & RAIS Fall Training 9	<ul style="list-style-type: none"> <li>• <u>Incoming Subcontract Advance Account</u>: OSP will request written confirmation from the Pass-Through Entity that indicates a subaward is anticipated. This communication can take the form of an e-mail or memo, and should include the anticipated start date of the subcontract.</li> <li>• <u>Federal Award (National Institute of Health (NIH), National Science Foundation (NSF), Department of Defense (DoD), National Aeronautics and Space Administration (NASA), Department of Energy (DOE), etc.) Advance Account</u>: OSP will request that any substantiating information, such as an e-mail from a Program Officer indicating an award is forthcoming, be included as part of the Advance Account Request.</li> </ul>
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In requesting and accepting an Advance Account on behalf of a PI, the department, school, or center assumes the total financial risk in the event the award is not made, not accepted, or if the terms of the award deem certain expenditures to be unallowable. OSP will use its best efforts to finalize an award, but cannot guarantee a successful outcome of any award negotiation.

It is anticipated that Advance Accounts will be created for short-term purposes, and therefore all Advance Accounts will be converted to Active awards within a reasonable timeframe. As such, accounts that remain in Advance Status for an extended period of time will need to be re-approved by OSP **after 6 months** have elapsed. A rationale for extending the Advance Account will be requested as part of this evaluation, and OSP will then determine whether it is reasonable to extend the period of the Advance Account and communicate its decision to the department. If the extension is not approved, the Advance Account must be closed and all charges will be transferred by OSP to the cost center or other preferable worktags provided by the department/center or institute. The further details can be found on our website at [here](#).

### ➤ **Acknowledgment of Federal Funding**

At the start of the academic year we're sending this policy reminder of a federal legislative mandate:

- "When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds included in this Act, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state – (1) the percentage of the total costs of the program or project which will be financed with Federal money; (2) the dollar amount of Federal funds for the project or program; and (3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources."

### ➤ **OSP New Hire**

OSP Pre-Award Services is pleased to welcome Brenda Figueroa as a Grant & Contract Administrator. Brenda joins us from the Gordon Research Conferences office where she organized national and international scientific conferences for various fields of study. She was solely responsible for managing an average of 40 conferences per year, funded by federal, corporate and non-federal sponsors. Prior to that position, Brenda worked at QualityMetric where she assisted in developing user guides for products in biomedicine and research.

### ➤ **Goodbye College Hill**

OVPR Offices (OSP, RAIS, ORI, Research Development (RD), Industry Engagement and Commercial Venturing (IECV)) are relocating to South Street Landing on November 10th). We are working to provide services without disruption throughout this time period. Your patience is appreciated as we open our moving boxes on Monday November 13th and settle into the new space. Our phone numbers will remain the same.

## Office of Research Integrity

### ➤ **New Team member in the Human Research Protection Program (HRPP)**

HRPP is pleased to announce the creation of a new position, "Institutional Review Board (IRB) Specialist," and the arrival of Katharine ("Kate") Menke to the Office of Research Integrity. Kate joins us from the University of Texas at Austin where she has served for the past year and a half as the IRB Compliance Program Coordinator in the Office of Research Support & Compliance. Prior to that role, Kate worked for many years in various research positions in labs conducting human subject research, and she has an admirable track record of publication from her work conducted while in the University of Texas' Adolescent Health and Development Lab. In this new role, Kate will:

- Manage single IRB (sIRB) review and reliance agreement procedures, including provision of Streamlined, Multisite, Accelerated Resources for Trials (SMART) IRB and Clinical Translational Research (CTR) awardee support.
- Manage IRB protocol review (including progress reports) and ClinicalTrials.gov registration processes.
- Develop and implement educational offerings to the research community related to changes in the human subject research regulatory framework and ongoing compliance.

The HRPP is sad to say goodbye to the former Research Protections Manager, Lynn Menatian, who left the office in late September to pursue other opportunities. Lynn spent nearly a decade in the HRPP supporting the Brown research community and her contributions will be missed by all who had the pleasure of working with her.

### ➤ **Export Control Brown Bags**

#### Introduction to Export Controls

This session serves as an introduction to export control regulations and how they apply in a university setting. What are the major regulatory schemes? Why do we need to comply? What types of activities conducted at a university might be subject to export controls? What exceptions can we use to conduct our everyday work without worrying about export controls? To RSVP, please email Jules Blyth (Juliane\_Blyth@brown.edu).

This session will be offered once in the fall and again in the spring:

- October 24, 2017 | 12 noon - 1 pm | Horace Mann, Room 102
- March 14, 2018 | 12 noon - 1 pm | Horace Mann, Room 102

### ➤ **Export Control Open Hours**

The Office of Research Integrity (ORI) is piloting Export Control Open Hours this winter and spring. These drop-in sessions, held between **8:30 – 10:30 am**, provide an unstructured opportunity to learn more about export control regulations and compliance specific to your academic area and/or project. The Export Control Officer and Research Integrity Manager will give tutorials, answer questions, and discuss cases and hypotheticals. You can also learn about additional resources available to the Brown community and pick up informational materials.

Export Control Open Hours are offered on the following dates (or by appointment):

- Tuesday November 7, 2017 | Horace Mann, Room 102
- Tuesday February 6, 2018 | Horace Mann, Room 102
- Wednesday May 16, 2018 | Horace Mann, Room 102

### ➤ **\*NEW\* Export Control Online Training for Researchers**

Every faculty member, student, and staff member at Brown should have a basic understanding of export control compliance. This is particularly important in export control “high risk” areas, such as engineering, earth and planetary sciences, physics and math. ORI staff offers Brown Bags and group trainings as well as individually tailored in-person training sessions. However, for researchers who cannot attend any of the in-person sessions, ORI has developed a new online training module. The training, which is specifically geared towards faculty and other researchers, takes approximately 25 minutes to complete. It can be taken anytime, anywhere, and covers key export control information. The module is available via Brown’s online training system, TrainCaster. If you or a faculty member require access to TrainCaster please contact Rebecca Haworth (rebecca\_haworth@brown.edu). Other available training modules include [Export Controls Basics for Administrators](#) and [International Travel/Research](#).

### ➤ **Changes to the Human Subjects Research Regulations**

After several years of discussion, proposals and public comment, the final revisions to the Federal Policy for the Protection of Human Subjects were issued on January 19, 2017, with an effective date of January 19, 2018. As the date of implementation approaches, the Human Research Protection Program (HRPP) is busy revising university procedures and preparing educational materials for the Brown research community.

In order to focus on outreach and to allow a more seamless transition from one set of regulations to the next, the HRPP will be instituting a freeze on new IRB submissions as of December 20, 2017.

During this freeze period:

- We ask that investigators work with HRPP staff to finalize any submissions that are currently under review – failure to obtain approval for existing submissions prior to January 20, 2018 will unfortunately result in closure of the submission and required re-submission under the revised regulations.
- The HRPP will be evaluating currently active protocols to determine if they meet new exemption or expedited criteria under the revised regulations (and, therefore, may be subject to reduced administrative burden for investigators!)

- The HRPP intends to complete all continuation reviews for current studies that expire in January 2018 in late December/very early January, which may result in a slight change in anniversary date moving forward.
- The HRPP will consider exceptions to the freeze period for urgent situations, such as just-in-time requests, to be evaluated on a case-by-case basis.

The HRPP will provide additional information and educational opportunities about the revised regulations during the next several months. Informational sessions will be announced on our web site, in Morning Mail, and in LearningPoint. Stay tuned!

### ➤ **NIH Definition of Clinical Trial**

In 2016, NIH launched a multi-faceted effort to enhance its stewardship over clinical trials. The goal of this effort is to encourage advances in the design, conduct, and oversight of clinical trials while elevating the biomedical research enterprise to a new level of transparency and accountability. The NIH definition of a clinical trial was revised in 2014 in anticipation of these stewardship reforms to ensure a clear and responsive definition of a clinical trial.

In August 2017, the NIH released additional resources to clarify the definition and help investigators understand whether there existing or proposed research falls under the definition of a clinical trial. While the intent of these resources, including [FAQs](#), [Case Studies](#), and a [decision tool](#) for using Four Questions to identify clinical trials, was not to expand the definition to cover a broader subset of research studies, the way the resources were worded seemed to do just that. On September 8, in response to outcry from the research community NIH revised the resources, most notably Case Study #18, which has somewhat assuaged concerns, although some confusion remains. While the NIH has stated that additional guidance will be forthcoming as needed, Brown is moving ahead with implementation of the new interpretation of the definition and ensuring that affected PIs and studies are in compliance with the requirements for clinical trials that are effective or will become effective in January of 2018 (Good Clinical Practice training, registration on CT.gov, single IRB review, specific funding opportunities and new proposal forms).

The HRPP, RAIS and OSP will team up for an informational session on **Thursday, October 19, 2017, 1-2pm**, to assist investigators / research teams with determining whether their research is considered an NIH Clinical Trial. We will also clearly lay out what investigators must do to comply with new requirements and how we can help with compliance moving forward. Register for the session on [LearningPoint](#).

### ➤ **Certificates of Confidentiality (CoC)**

CoC help researchers protect privacy and confidentiality of human subjects enrolled in sensitive, health-related research by allowing them to refuse to disclose names or other identifying characteristics of research subjects in response to legal demands. Traditionally, investigators conducting sensitive research with human subjects were required to apply to their funding agency for a CoC, and the process was often confusing and lengthy. As part of the 21st Century Cures Act, NIH released a revised policy related to CoC that went into effect on **October 1, 2017**.

Under the new policy, all biomedical, behavioral, clinical, or other research that commenced or ongoing on or after December 13, 2016, funded wholly or in part by the NIH, that collects or uses identifiable, sensitive information is deemed to be issued a CoC and is therefore required to protect the privacy of individuals who are subjects of such research. Going forward, CoCs will be granted automatically to all applicable studies as a part of the regular terms and conditions of award.

All studies that have a CoC are required to include specific language in all consent documents to inform participants of the protections provided by the CoC as well as the limits of those protections. HRPP staff are assessing currently active studies that are deemed to have a CoC under this new policy (and hadn't previously requested a CoC), and will be reaching out individually to investigators to guide them in making the appropriate changes to their [consent documents](#).

Additional information about the new policy can be found on the [NIH website](#). Please call the HRPP office with any questions or concerns about this new rule.

## Research Development

### ➤ **OVPR Internal Funding Opportunities**

#### [OVPR Salomon Faculty Research Awards](#)

- Deadline: **Monday, November 20, 2017, 5 p.m.** (via [UFunds](#))
- Supports excellence in scholarly work by providing **up to \$15,000** for one year for selected faculty research projects deemed to be of exceptional merit.
- Any Brown faculty member whose research is administered through Brown is eligible. Emeritus, adjunct, and visiting faculty, as well as post docs, are not eligible to apply. Faculty who have received a Salomon grant in 2015 or later are not eligible to apply. Preference will be given to junior faculty who are in the process of building their research portfolio.
- Proposal: 250-word abstract, **3-page** project description, CV, budget, chair's letter

#### [Grant Resubmission Awards](#)

- Deadline: **Rolling** (via [UFunds](#))
- Provide up to \$15,000 for investigators to improve an already highly-rated proposal for re-submission.
- Any Brown faculty member whose research is administered through Brown is eligible. Emeritus, adjunct, and visiting faculty, as well as post docs, are not eligible to lead projects, but may be included on the research team.

Complete guidelines on these and other opportunities are available on the [Internal Funding Opportunities](#) page of the OVPR website. Questions? Please contact Margaret Manning at [Research\\_Opps@brown.edu](mailto:Research_Opps@brown.edu) or 863-5145.

### ➤ **Research Development and Grant Writing Newsletter**

The [October](#) issue is available online; this newsletter offers strategies on how to compete successfully for research funding and highlights new funding opportunities.

### ➤ **Advance-Clinical Transactional Research (CTR) Pilot Projects Program**

The deadline to submit a Preliminary Application for Advance-CTR's 2018 Pilot Projects Program is Thursday, October 19, 2017. Advance-CTR will award five to eight research grants in the following categories:

- **Category 1:** Proposals with a single PI may apply for up to \$37,500 direct costs.
- **Category 2:** Proposals involving at least two PIs (e.g., Multi-PI's) from different disciplines may apply for up to \$75,000 direct costs. A Contact PI who is a junior investigator must be designated.

The awards are for a one-year duration with the option of applying for a second year. Indirect costs associated with the direct costs of each budget will be provided to the home institution(s). The anticipated performance period is May 1, 2018 to April 30, 2019. [Click here for more information and to view the Request For Applications.](#)

### ➤ **The Biannual Brown University – Naval Underwater Warfare Center (NUWC) Research Exchange**

The Fall 2017 Brown-NUWC research exchange topic is Energy, in particular harvesting, storage and conversion. The format will be a day long series of presentations and round table discussions. This year we will be including staff scientists from other federal laboratories for the first time. [Registration Details.](#)

- Friday, October 27<sup>th</sup> | 9:30am - 4:00pm | Institute for Computational and Experimental Research (121 S. Main Street, 11th Floor.

**Research Administration Information Systems**

➤ **New Team Member Joining RAIS**

RAIS is excited to welcome Martha Hagopian as a Research Services Business Analyst. She will be joining us on October 30<sup>th</sup>, coming from Dealertrack Technologies where she served as a Product Manager for an Automotive Online Registration system. Martha brings a wide-range of experiences in business analysis, project management, application development and quality assurance and we are pleased to welcome her to the RAIS team.

➤ **Reminder – Departmental Sponsored Projects Reports Are Available**

A suite of proposal, award and expense activity reports are available to all departments. A listing of reports is noted in table below. Please contact [RAIS](#) if you would like to meet and review the reports.

- **Running Sponsored Projects Reports requires access to both Coeus and Cognos**  
If you do not have access, go to the [CIS IT Service Center](#) to complete Account/Access request.
  - For Coeus, you will need to have the role of “**Brown Department Viewer**” for your department
  - For Cognos, you will need access to the “**Sponsored Projects Reports for Departments**” folder.

To complete the Coeus or Cognos form, navigate to the [CIS IT Service Center](#) to complete an Account/Access request.

- **Sponsored Projects Reports Available to Departments**

The Sponsored Projects Reports for Departments folder in Cognos contains the following reports:

Proposal	Award	Proposal/Award/Expenditure Activity
<ul style="list-style-type: none"> <li>• Monthly Proposal Activity Report</li> <li>• Proposals by Sponsor</li> <li>• Report of Proposals by Agency Type</li> <li>• Summary Report of Proposals by Department</li> <li>• Custom Proposal Activity Report</li> </ul>	<ul style="list-style-type: none"> <li>• Monthly Award Activity Report</li> <li>• Report of Awards by Agency Type</li> <li>• Report of Opens Award</li> <li>• Summary Report of Awards by Department</li> </ul>	<ul style="list-style-type: none"> <li>• Standard Award, Proposal, WD Expense Activity (By Lead Department or Investigator Home Department)</li> <li>• Award &amp; Proposal Activity by Investigator (By Investigator Home Department)</li> </ul>

## Sponsor /Agency Updates

### AGENCY UPDATE

#### ➤ Updates to Agency Specific Requirements to the *Research Terms and Conditions*

The implementation of the Research Terms and Conditions (RTCs) has been posted to the [NSF RTC website](#) for the following agencies:

- [Department of Commerce \(DOC\)](#) – Effective November 1, 2017
- [National Aeronautics and Space Administration \(NASA\)](#) – Effective October 1, 2017

In addition, [NSF’s Agency Specific Requirements to the Research Terms and Conditions](#) were updated with technical corrections and are **effective October 11, 2017**.

As part of this implementation, the following documents have been revised:

- [Appendix A \(Prior Approval Matrix\)](#);
- [Appendix B \(Subaward Requirements\)](#);
- [Appendix C \(National Policy Requirements Matrix\)](#)

Any questions regarding an individual agency’s implementation of the RTCs should be directed to the Office of Sponsored Projects.

#### ➤ Department of Defense/Office of Naval Research Updated Terms & Conditions

- Department of Defense (DOD) issued a revised Research & Development General Terms and Conditions (T&C’s) – **Effective September 1, 2017**
- Office of Naval Research (ONR) Addendum to the T&C’s is also available, including information about ONR RPPR submission using the Army Research Office system.

See [ONR’s Webpage to access Grant Terms and Conditions documents](#).

### NIH UPDATE

#### ➤ eRA Enhancement: Ability to Request Additional Materials for Interim Research Performance Progress Report (RPPR)

On September 20, 2017 an enhancement was implemented to allow awarding agencies to request additional materials for an Interim RPPR from the principal investigator (PI) and signing official (SO) via eRA Commons.

The SO and PI will receive an email request from the program official at the awarding agency. They will also see the Interim Report Additional Materials (IRAM) link requesting the information on the *Status Results* screen, in the Available Actions column. As with the RPPR, a Project Director (PD)/PI (or Contact PI, in the case of multiple PIs) can enter the IRAM. However, only the SO can submit an IRAM to the agency.

For detailed information and screenshots, please see the [Latest News section](#) in the [eRA Commons online help](#).

## Coeus Update

### ➤ Grants.gov Forms-D to Forms-E Transition Period

Beginning October 25<sup>th</sup>, NIH will begin to issue funding opportunities with Forms-E packages. Between October 25<sup>th</sup> and January 24<sup>th</sup> NIH Funding Opportunities may list 2 application packages for the same opportunity.

#### FORMS-D package

- Competition ID – FORMS-D
- Competition Title – change to “Use for due dates on or before January 24, 2018”
- Close date – January 24, 2018

#### FORMS-E package

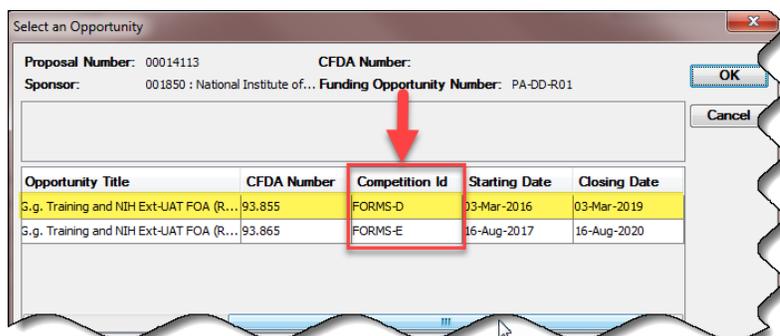
- Competition ID – FORMS-E
- Competition Title – “Use for due dates on or after January 25, 2018”
- Close date – original close date of FOA

**\*In Coeus, during the transition period of October 25<sup>th</sup> to January 24<sup>th</sup>, you Must only use FORMS-D packages.**

- You will NOT be able to connect to FORMS-E packages.

#### Selecting the Correct Opportunity Package in Coeus

- When you connect to a Grants.gov opportunity in Coeus, if there is more than one application package, they will be listed in the “Select an Opportunity” window.
- To ensure you are selecting the FORMS-D package, slide the “Select an Opportunity” window to the right to view the **Competition ID** field for which Form set is being used.



### ➤ Updated NIH & NSF Additional Investigator Questionnaires

The Additional Investigator(s) questionnaires are used to identify any additional individuals, other than the PI, who are responsible for the design, conduct, or reporting of research on the project. This identification is necessary to meet NIH or NSF *conflict of interest policies*.

**RAIS has updated the questionnaires to be able to accommodate entering up to 25 Brown individuals who meet the definition of Investigator.** *Investigator* means the project director or principal investigator and any other person regardless of title or position (e.g. a full or part-time faculty member, staff member, student, trainee, collaborator, or consultant) who is *responsible* for the design, conduct, or reporting of sponsored research.

For more information on the University’s Conflict of Interest Policy, visit <https://www.brown.edu/research/conducting-research-brown/preparing-proposal/research-integrity/ori-staff-directory/coi-policy>

## Training & Conferences

### OSP & RAIS Fall Training

The Office of Sponsored Projects offers a variety of research administration training opportunities in order to provide staff with the knowledge base to support faculty and researchers in the management of their research.

Fall Training Schedule		
Track	Class	Date
Coeus	Coeus Lite Proposal Development	11/03/2017
Pre Award	Cost Sharing	12/04/2017
Coeus	Coeus Premium Advanced Budgeting	12/05/2017
Post Award	Effort Certification	12/13/2017

To register for classes, please navigate to the Brown Learning Point Page and log in. The training classes can be found by clicking on the “Sponsored Research Related Training” from your homepage.

Visit the [Sponsored Projects Training and Outreach Webpage](#) or the [Coeus Training Classes](#) page to learn more about the classes.

### UPCOMING CONFERENCES & PROGRAMS

#### **NIH Regional Fall Seminar**

- **Seminar: October 25 – 27 | Baltimore, MD**

For more details, see [NOT-OD-17-026](#)

#### **NCURA Region I Professional Development Opportunities**

NCURA Region I is offering two initiatives to connect its members and promote professional growth:

- Executive Shadow Program

For more information about the program, see: <http://ncuraregioni.org/executive-shadow-program.html>

To apply, please click here: <https://ncuraregioni.wufoo.com/forms/w1ozxuw11fu8yj5/>

- Mentoring Program

For more information about the program, see: <http://ncuraregioni.org/mentor-program.html>

To apply, please click here: <https://ncuraregioni.wufoo.com/forms/z1lbu2a71f1r30n/>

Application deadline for both programs is October 31, 2017.

#### **National Science Foundation (NSF) Fall Grants Conference**

- **Conference: November 13-14 | Phoenix, AZ**

For more details, see <https://nsfgrantsconferences.com/fall-17-conf/>

\*This year you may experience the Fall Grants Conference Virtually! NSF will live stream the plenary sessions of the conference. There is no cost or limit to participants to view the live stream. For more information see [NSF Virtual Grants Conference](#) site.

*Questions or comments about the Newsletter should be directed to  
the Office of Research Administration Information Systems – [RAIS@brown.edu](mailto:RAIS@brown.edu)*