

RESEARCH ADMINISTRATION NEWSLETTER

JANUARY 2018

http://www.brown.edu/research/research-administration-newsletters



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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Research Administration Updates Office of Sponsored Projects Office of Research Integrity	1 1 2	Principal Investigator (PI) Eligibility at Brown University Principal Investigator (or co-Principal Investigator or Program Director) is the individual(s) who is approved by the University and the sponsor to design, execute and manage an externally sponsored project. The PI has full authority for the programmatic, scientific or technical direction of the research and its financial management.	
Research Development	5	In order for the University to fulfill its role as award recipient, it is necessary for the PI to maintain at least one of the following affiliations with the University:	
Office of Graduate & Postdoctoral Studies	6	 Employed by the university as a faculty member (all ranks) including "research" faculty. Emeritus faculty holding a Research appointment may also serve as PI with the approval of the appropriate department chairperson and for the Division of Biology and Medicine, the additional approval of a senior officer. 	
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FDP Update	7	approvar or a semior officer.	
NIH Update Coeus Update	8	Employed by an affiliated hospital and hold a Clinical appointment in the Program in Biology or in the Warren Alpert School of Medicine with prior written authorization of Dean of Medicine & Biological Sciences, or Associate Dean of Biology.	
- COCKET OF PRICE			
Training & Conferences	10	 Appointed as adjunct faculty or visiting faculty with approval of the school's dean, department chairperson, center, program or institute director. 	
OSP & RAIS Winter Training	10	Such individuals may serve as a PI in the Division with the written authorization of the Dean of Medicine and Biological Sciences, or Associate Dean of Biology.	
Upcoming Conferences & Programs	10		
		 Appointed as a post-doctoral fellow, research associate, research fellow, faculty fellow or equivalent. 	
		 Enrolled as a graduate student at the University and with the approval of the school's dean, department chairperson, center, program or institute director. 	

5. Employed as an **exempt staff member**, including technical staff, administrative staff, and research staff, or a staff member having emeritus title, with approval by the school's dean, department chairperson, center, program, institute director *or senior University officer* (i.e., Office of the Vice President for Research). BioMed requires both department chairperson and senior University officer approval for exempt staff to serve as PI.

Brown University does not ordinarily grant PI rights to individuals who do not hold a Brown appointment or employment.

Individuals not meeting the above eligibility criteria may request written permission from the Office of the Vice President for Research; Dean of Medicine and Biological Sciences, Schools of Public Health or Engineering; or appropriate senior University Officer (e.g., VP CIS) for an exceptional approval to serve as PI.

It is important to note that there are different policies for PI Eligibility on Institutional Review Board (IRB) and Institutional Animal Care and Use Committee (IACUC) Protocols as detailed in the following related University Policies:

- Brown University Institutional Animal Care and Use Committee Policy on Principal Investigator Eligibility and Responsibilities
- Brown University Human Research Protection Program Policy and Procedure Manual: Investigators

Should you have any questions on the above information, please contact the Office of Sponsored Projects.

> OSP Staff Promotion

OSP is pleased to announce the promotion of Tom Dillon from Senior Grant & Contract Administrator to Assistant Director. Tom is a five- year veteran of the Pre-Award Services team, he holds a BS in Chemistry from University of Connecticut and an MBA from the University of Rhode Island. Tom served as an industrial project Engineer prior to joining Brown. In his new role, Tom will have full signatory authority as an Authorized Institutional Official. He will continue to support his current departmental portfolio and further develop OSP's web page. Tom will also be engaged in the review and development of OSP's outreach and training activities. Congratulations to Tom!

Office of Research Integrity

> Delayed Implementation of Changes to Human Subjects Regulations

On Wednesday, January 17th, the U.S. Department of Health and Human Services and 15 other federal departments issued an interim final rule to delay the implementation of the revised <u>Federal Policy for the Protection of Human Subjects</u> (the "Common Rule") for six months, **until July 19, 2018**, to provide regulated entities additional time to make the necessary preparations to implement the revised regulations. The interim final rule was published in the Federal Register on January 22nd and can be accessed <u>here</u>.

What does this mean?

Unfortunately, this delay impacts both the <u>effective date</u> and compliance date of the revised regulations. This means that we are *not* permitted to apply the burden-reducing changes that we were excited to start implementing this Friday, such as applying new exemption categories, eliminating continuing review for lower-risk studies, and omitting the review of the grant proposal against the IRB protocol.

What's next?

Federal departments and agencies listed in the interim final rule are in the process of developing a notice of proposed rule-making (NPRM) seeking public comment on a proposal <u>for further delay</u> in the required implementation of the revised Common Rule (for example, until January 21, 2019). If such an NPRM is published, after consideration of the public comments, the federal departments and agencies will determine whether a final rule to further delay the revised Common Rule will be issued.

Is there a silver lining?

While it's difficult to find a silver lining, this delay gives us more time to thoughtfully develop the new policies that are required under the changing regulations. In addition, we hope that the federal agencies will take this time to develop the tools and guidance that were promised in the initial Final Rule to assist with interpretation and implementation of the changes, but never came to fruition.

If you have other questions at this time, please email our office at <u>irb@brown.edu</u>or give us a call at 3-3050. Otherwise, stay tuned for additional updates as we learn more!

> Don't Let a Congruency Review Delay Your Funding!

It is the institution's responsibility to ensure that the Institutional Animal Care and Use Committee (IACUC) has approved the proposed use of animals described in a grant application or contract proposal. This is required to comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals as stated in Section V.B.

In addition to the National Institute of Health (NIH), the National Science Foundation (NSF) and the Department of Veteran Affairs require a congruency review when they are funding animal research. While the Department of Defense does not specifically require a congruency review, Brown conducts a review as recommended by the Office of Laboratory Animal Welfare (OLAW) as a best practice.

What does Brown's Animal Research Protection Program (ARPP) look at in its review?

- To meet the congruency review requirement, the ARPP compares the vertebrate section of the grant application identified by the PI as funding the IACUC-approved protocol. The IACUC-approved protocol must be consistent with the aims, species, procedures/surgeries, anesthesia, and method(s) of euthanasia described in the grant application.
- In the case where the period of performance for the grant is more than 3 years, the ARPP must ensure that the first 3 years of animal work described in the grant application are also described in sufficient detail in the IACUC protocol. It is the expectation of the sponsor (and of the IACUC) that any work to be conducted in later years of the award (i.e., years 4 and 5 of a 5-year grant) will be briefly described without experimental details in the IACUC protocol, with detail regarding these later-year studies to be included in the protocol's de novo 3-year renewal.
- When Brown is the prime awardee, the ARPP must ensure that the research described in the grant application is congruent with any corresponding protocols approved by the IACUC of any sub-awardee. Brown accomplishes this via the Memorandum of Understanding (MOU) process.

What is the PI's responsibility?

The PI or a delegated lab member is responsible for either:

- Submitting a new IACUC protocol for review and approval in anticipation of forthcoming funding, as soon as you know you have a potentially fundable score. With your new IACUC protocol, please submit the vertebrate section of your pending award or provide the Institute Proposal number (from Coeus) to the ARPP. This will enable the ARPP to complete its congruency review while the protocol is under review by the IACUC.
- If you intend to rely on an existing IACUC-approved protocol for a pending award (i.e., you intend to add the new funding source to your IACUC-approved protocol), please submit an amendment via Coeus to add the new funding source and provide the vertebrate section of your pending award or provide the Institute Proposal number (from Coeus) to the ARPP. *Please note that if you intend to rely on an existing IACUC approval for submission of requested documentation at Just-in-Time, the NIH will not accept an IACUC approval that expires within a few weeks. *

Once the ARPP has the required information in-hand from the PI, we are able to conduct a congruency review in approximately 2 business days.

What happens if my grant is not consistent with my IACUC approved protocol?

• If the new grant includes additional or different aims, species, procedures/surgeries, anesthesia, and method(s) of euthanasia, please include those changes in the protocol amendment to add the new funding source. This will enable the ARPP to assure protocol-grant congruency once the new modifications have been reviewed and approved by the IACUC.

Over the past year, the ARPP has put out many fires related to last-minute notifications to our office of an investigator's intent to add a new funding source to an existing IACUC protocol. Our aim is always to facilitate research and the release of funds as expeditiously as possible. To the extent that you are able to anticipate any IACUC-related protocol changes, we encourage you to submit to our office as early as you are aware of changes.

➤ What is Required When Brown is the Prime Recipient of a Sponsored Award and a Subcontract Site(s) is Performing Vertebrate Animal Work?

Regulatory requirements set forth the expectation that institutions will have a formal written understanding (e.g., a Memorandum of Understanding [MOU]) that addresses responsibilities for animal care and use, animal ownership, and IACUC review and oversight when more than one institution is engaged in animal research. PHS Policy requires that all awardees and sites at which animal work will be performed hold an approved Animal Welfare Assurance.

When Brown is the prime recipient of an award and a subcontract site is performing vertebrate animal work, the Animal Research Protection Program (ARPP) will work with the collaborating site to execute Brown's template MOU. Brown is responsible for ensuring congruency between the IACUC approved work at the collaborating site and at Brown. As such, we will request a copy of the IACUC protocol and approval letter from the collaborating site and the grant proposal from the Brown PI to review for congruency.

Once grant congruency is verified, and the collaborating site has completed its section of the MOU, Brown's ARPP team will upload the approved IACUC-approved protocol and approval documents from the subcontract site to Coeus and will request and document subsequent approval letters from the collaborating site throughout the lifetime of the award.

Responsible Conduct of Research (RCR) Training

BEARCORE Spring 2018

Registration for the "Brown Ethics and Responsible Conduct of Research Education" (BEARCORE) program is now open.

BEARCORE is a Responsible Conduct of Research (RCR) course that fulfills NIH and NSF training requirements and is geared toward students, trainees, and early-career scientists. BEARCORE can be taken as a full course or as a refresher course option. The course design includes three 2-hour mandatory sessions and several 1-hour electives. To receive a certificate of completion, students must attend all mandatory sessions and at least three electives.

Spring 2018 Course Dates:

<u>Mandatory Sessions</u>: Thursdays - March 8, March 15 & April 5, 2018, 11 am – 1 pm <u>Elective Sessions</u>: various one-hour elective sessions are offered April 9, 12, 23, 26 & 30, 2018, 11 am to 12 pm and 12 pm to 1 pm. See the course syllabus for more details.

Spring 2018 Course Locations:

<u>Mandatory Sessions</u>: South Street Landing (SSL) Room 499 <u>Elective Sessions</u>: Digital Scholarship Lab, the Rockefeller Library

RCR FAQs are located <u>here</u>; additional information and the course registration form are available on our <u>website</u>. If you have questions, please contact <u>Rebecca Haworth</u> (401-863-2041).

> Annual Conflict of Interest Reporting for Calendar Year 2017

Brown's Annual Conflict of Interest (COI) cycle for faculty and researchers is kicking off on **Friday**, **February 9**, **2018**, and runs through Monday, March 12, 2018.

Who is required to submit the Annual COI Assurance form?

Per Brown's <u>COI Policy for Officers of Instruction and Research</u>, the following individuals are required to complete and submit an Annual COI Assurance form:

- regular Brown faculty members with appointments of greater than 50%; and
- <u>"Investigators"</u> on Brown-administered federal research grants.

Will faculty and investigators be notified?

As in years past, faculty and Investigators who are required to submit the Annual COI Assurance form will, at the start of the annual cycle, receive an email from the Vice President for Research, Jill Pipher, with information about the disclosure process and a link to the electronic research administration system. After kick-off, periodic reminders and notices will be sent to those with un-submitted forms. The annual cycle closes on March 12, 2018.

How is the Annual COI Assurance form submitted?

Brown's annual COI reporting is for **Calendar Year (CY) 2017**, and is submitted through Brown's electronic research administration system, InfoEd.

Any data faculty and investigators entered during the last annual cycle and throughout the past year has been copied into their 2017 Annual COI Assurance form for them to update as appropriate.

Where can faculty and investigators find help?

<u>Job aides</u> are available to help navigate the submission process. <u>COI FAQs</u> are also posted to assist with any reporting questions. Lastly, faculty and Investigators may direct questions to Juliane Blyth (3-3295) and Rebecca Haworth (3-2041) in the Office of Research Integrity.

> Export Controls

In accordance with Brown's mission, our reach extends well beyond the boundaries of the U.S. We host and train students from all over the globe and our faculty frequently travel abroad, engage in international collaborations, and conduct research in many parts of the world. As such, all employees at Brown should have a basic understanding of export control laws and regulations. In particular, knowing when to contact the Export Control Officer for consultation and input is key.

The Office of Research Integrity (ORI) has compiled a list of Export Control "Red Flags" to help the Brown community understand when export control regulations may be implicated, and when consultation with Brown's Export Control Officer is either recommended or required.

ORI also hosts Export Control Open Hours and Brown Bags, and offers in-person and online training courses. For a complete list of trainings and upcoming events, please check here. Our next **Open Hours** are held on **Tuesday, February 6, 2018**, in **Horace Mann 102**. Stop by anytime **between 8:30 am and 10:30am** with questions. To schedule Open Hours for your department, contact Jules Blyth (3-3295).

Research Development

> Save the Dates - 2018 Grant Planning and Writing Seminars

Two Grant Planning and Writing seminars will be held in March. Both seminars are presented by M.S. (Peg) AtKisson, PhD of AtKisson Training Group and sponsored by the Office of BioMed Faculty Administration, the School of Public Health and the Office of the Vice President for Research. The seminars will be held in the Stephen Robert '62 Campus Center Kasper Multipurpose Room at Brown University. Please view the flyer here and watch your e-mail for an invitation with registration links in late January. You are welcome to contact Research Opps@brown.edu with questions.

Monday, March, 5th 8:30 am - 4:30 pm: Planning and Writing Successful Grant Proposals

• This full-day seminar provides interactive instruction in all phases of grant writing, from deciding to submit through how to write for peer review.

Tuesday, March 6th 8:30 am - 12:30 pm: Planning and Writing NIH R01 Renewal Applications

• This half-day seminar is targeted for those within no less than a year of writing their competing renewal for an NIH R01, in the second or third year of the grant period.

Research Networking Event (with Seed Funding Opportunities)

Topic: Big Data - Connecting data generators to data analyzers

Date/Time/Location: April 4, 2018 | 5:00-7:00pm | 350 Eddy Street, South Street Landing; 4th Floor Multipurpose Room | Providence, RI

Contact research opps@brown.edu with any questions.

Limited Submissions

Many funding agencies and foundations have established limited submission policies and will only review a limited number of applications from each institution. The Office of the Vice President for Research (OVPR) manages the limited submission process and maintains this <u>searchable database of limited submission opportunities</u>. This is not a comprehensive list, and it is the investigator's responsibility to contact the Office of the Vice President of Research should the program in which they are interested be restricted, but is not on this list. Please contact Margaret Manning@brown.edu with any questions.

OVPR Internal Funding Opportunities

Grant Resubmission Awards

- Deadline: Rolling (via <u>UFunds</u>)
- 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 <u>Internal Funding Opportunities</u> page of the OVPR website. Questions? Please contact Margaret Manning at <u>Research Opps@brown.edu</u> or 863-5145.

> Research Development and Grant Writing Newsletter

This newsletter offers strategies on how to compete successfully for research funding and highlights new funding opportunities.

National Organization of Research Development Professionals (NORDP) Northeast Winter Regional Meeting

The NORDP will be hosting its Winter Regional meeting on Monday February 5, 2018 at Harvard University in Cambridge, MA. See Agenda and Register Here

> 2018 National Alliance for Broader Impacts (NABI) Summit

The <u>2018 National Alliance Broader Impacts (NABI) Summit</u> will be held April 25-27 in Providence, RI and hosted by Brown University. This year's Summit will focus on "Creative Communication and Scholarship" and will provide an opportunity for participants to share promising practices and explore new collaborations.

The NABI Summit organizing committee is pleased to have Dr. Jim Gates Jr., Ford Foundation Professor of Physics and Dr. Jill Pipher, Vice President for Research and Elisha Benjamin Andrews Professor of Mathematics as our keynote speakers. A variety of other speakers, panels, and workshops will be offered as well.

<u>Conference registration is now open</u>, and includes one day options. There's also a short <u>video announcement</u>. Please contact NABI's Summit Organizing Committee Chair, <u>Oludurotimi Adetunji</u> with questions.

Office of Graduate and Postdoctoral Studies (OGPS)

> F-series Fellowship Workshops

The Office of Graduate and Postdoctoral Studies is offering the following Grant Writing fellowship workshops:

Topic: Grantsmanship I: The Fundamentals of Grant Writing

Date/Time/Location: Friday February 9th 12-1pm J. Walter Wilson Rm 301

Topic: Grantsmanship II: The Peer Review Process

Date/Time/Location: Friday March 16th 12-1pm J. Walter Wilson Rm 301

For more information and to register for seminars please visit our events page at https://www.brown.edu/about/administration/biomed/graduate-postdoctoral-studies/events

Sponsor / Agency Updates

FDP Update

Federal Demonstration Partnership (FDP) Meeting – Federal Agency News

The FDP meeting was held in Washington DC in January, 2018. Below is a summary of the Federal Agency updates from the meeting. Full presentations are posted at <u>FDP Meetings</u>.

National Science Foundation (NSF)

Modernizing Account Management

- NSF is modernizing its grant systems to streamline the user experience for maintaining accounts and centralizing access.
- A person's NSF ID will be used to manage his/her profile data and permission information.
- The new functionality will be launched in **March 2018** in Research.gov.
- Initial release will be for PIs, Sponsored Projects Offices, Authorized Organization Representative, Administrators, Award Cash Management \$ervice users and Grant Research Fellowship Program Coordinating and Financial Officials
- Existing users will be migrated to the new system and will confirm their account information
- Stay tuned for additional details including account management FAQs and training resources.

Proposal Submission Modernization (PSM)

- PSM is a multi-year initiative to modernize the proposal submission capabilities currently in FastLane and implement new capabilities in Research.gov.
- It aims to reduce the administrative burden to the research community and NSF staff associated with preparation, submission, and management of proposals.
- In February 2018, NSF will preview the new Research.gov proposal preparation interface to the community for feedback and for a chance to get used to the new environment.
- Beginning in April 2018, proposers will be able to prepare and submit non-collaborative research proposals in Research.gov

National Institutes of Health (NIH)

Diversity Supplements

Effective January 25, 2018, all applications for (single and multi-project) diversity supplements must be submitted electronically.

- Options available to submit electronically include NIH ASSIST, Institutional system-to-system (S2S), Grants.gov
 Workspace and streamlined system through eRA Commons
- Within Section D.1 of the Research Performance Progress Report, recipients are required to identify whether an individual that has worked on the award is supported by a Diversity Supplement.
- Institutions with a non-competing continuation award that includes diversity supplement support will be required to identify at least one participant that is supported by the diversity supplement. See <u>NOT-OD-18-111</u>

Inclusion Policy Changes

Individuals of all ages, including children, must be included in all human subjects research conducted or supported by NIH, unless there are ethical reasons not to include them.

- Applies to all competing grant applications for due dates on or after January 25, 2019.
- Policy has been expanded to include individuals across the lifespan.
- Clinical research studies are expected to submit individual level data on sex/gender, race, ethnicity and age at enrollment with annual progress reports.

Air Force Office of Scientific Research (AFOSR)

No-Cost Extension

- Request in writing Always
- Current Process requests submitted through Program Officer
- Future Process request will be submitted through buyer/Grants Officer

NIH UPDATE

> eRA Enhancement – New Link for Open Researcher and Contributor ID (ORCID)

ORCID ID, a personal digital identifier that distinguishes every researcher, is used by NIH and Grants.gov to relate publications to grants. A new link to access <u>ORCID.org</u> was added to the Personal Profile section of eRA Commons. This will allow principal investigators to create an ORCID ID to link to their Commons account, so that their publications can be linked to their grants.



Additionally, Personal Profile screens have been updated to better align with best practices in security, user interface design, and industry standards. The navigation will be more user friendly, while the underlying functionality, fields, and requested information will remain the same.

Questions related to this enhancement should be directed to the eRA Service Desk at https://grants.nih.gov/support/ (preferred method of contact) or call 1-866-504-9552/301.402.7469.

Coeus Update

> NIH Forms-E Deployed to Coeus

You may now create your proposals and connect to Forms-E Grants.gov packages. Due to the timing of deployment, if you already have NIH proposals prepared in ASSIST, you should continue to use ASSIST to submit your proposal and resume S2S Coeus submissions for the next deadline.

Below is a table of updated Forms in the NIH Forms-E Packages in Coeus:

Name of GG Form	version	
*PHS Assignment Request		
This form is uploaded under "User Attached S2S Forms"		
PHS Career Development Award Supplemental Form		
PHS Cover Page Supplement		
PHS Fellowship Supplemental		
PHS Modular Budget		
PHS Research Plan		
PHS Research Training Program Plan		
PHS Training SubAward Budget Attachment(s)		
*PHS Human Subjects and Clinical Trial Information		
See next topic for Coeus instructions for this form		
R&R Other Project Information		

> NIH Human Subjects and Clinical Trials Information Form Webinar & Presentation

RAIS has created a video and PowerPoint presentation for instruction on "How to Complete the Human Subjects and Clinical Trials Information Form in Coeus".

Please visit the Coeus Training web page to access these resources: http://brown.edu/go/coeus-training

In addition, the NIH General Application Guide for completing Forms E has a whole section dedicated to completing the PHS Human Subjects and Clinical Trials Information form –

 $\underline{https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.500-phs-human-subjects-and-clinical-trials-information.htm#4.2$

> Additional Grants.gov forms Updated in Coeus for S2S Upload

The following forms have been programmed to be submitted through Coeus as "User Attached S2S" forms. These forms are mainly found in Department of Defense forms packages.

Name of GG Form	version
Project Abstract	
Attachments	
SF424-C Budget Information for Construction	

*Please note – For packages that require the above forms, you will need to upload the specified form into the User Attached S2S tool in Coeus before being able to connect to the Grants.gov opportunity.

In consideration of the new forms, we recommend that you be ready to submit as early as possible to ensure a timely, error-free submission to sponsor. Should you have any questions on the new Forms-E package or additional Grants.gov forms, please contact us at Rais@brown.edu.

Training & Conferences

OSP & RAIS Winter Training

Do you have staff that is new to research administration? Schedule a meet and greet with the Office of Sponsored Projects & Research Administration Information Systems. Introduce your staff to their Pre-Award Grant/Contract Administrator, their Post-Award Grant/Contract Accountant, or have them do a demo of Coeus with our Coeus team.

To schedule a meeting, email or call your Pre-Award Grant/Contract Administrator or email the Coeus team at Coeus Help@brown.edu



OSP & RAIS Training Schedule will be announced in February

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

NCURA National Meetings posted for 2018

- Financial Research Administration (FRA) March 5-6, 2018 | Orlando, FL
- Pre-Award Research Administration (PRA) March 8 – 9, 2018 | Orlando, FL
- Annual MeetingAugust 5-8, 2018 | Washington, DC

For more details, see

http://www.ncura.edu/Education/MeetingsConferences.aspx

NCURA Region I Spring Meeting 2018

Conference: April 30 - May 2, 2018

Workshops: April 29, 2018 | Portsmouth, NH

NCURA Traveling Workshop
 February 12-14, 2018 | Scottsdale, AZ

For more details, see NCURA Traveling Workshops

Questions or comments about the Newsletter should be directed to the Office of Research Administration Information Systems – RAIS@brown.edu