

## **RESEARCH ADMINISTRATION NEWSLETTER**

JUNE 2017

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 Research Administration Information Systems Office of Sponsored Projects	1 1 2	Payroll Accounting Adjustment (PAA) Enhancement Communication  There are some changes coming, in July, to the Effort Certification process in Workday. The PAA process will be initiated automatically for any costed changes to Effort reports. The information below provides a brief overview of the anticipated changes.
Office of Research Integrity  Research Development	2	<ul> <li>PAAs automatically initiate when a costed change is made to an Effort report</li> <li>Effort Certification Partner will see full list of worktag values when modifying effort lines</li> </ul>
Sponsor/Agency Updates  NIH Update  NSF Update	5 5 6	<ul> <li>Generated PAA will route to the impacted Cost Center Manager for review and submission displaying only the payroll lines being modified</li> <li>Cost Transfer Form will be embedded in the PAA in lieu of an attachment and will route to the Cost Center Manager for completion</li> </ul>
DOD Update Other Update Coeus Update	7	<ul> <li>Enhancements</li> <li>Self-generation</li> <li>Audit reporting on changes</li> <li>No manual adjustments needed</li> <li>Cost Transfer Form included in Payroll Accounting Adjustment; reportable</li> </ul>
Training & Conferences  OSP & RAIS Spring Training  Upcoming Conferences &	8 10 10	Cost Transfer Form included in Payroll Accounting Adjustment; reportable with Payroll Accounting Adjustment changes.  Note: PAA open labs will be held in August. A communication that will provide details about the PAA open labs will be sent in July by Workday Operations.
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### Office of Sponsored Projects

## **Advance Clinical Translational Research (CTR)**

Advance CTR recently announced two new open internal funding opportunities:

#### **Big Data Pilot Awards**

Three to five projects are anticipated for funding for work in clinical and translational research involving big data. Awards will provide between \$25,000 and \$50,000 in direct costs for one year. *Preliminary applications are due July 17, 2017*. Funding anticipated to begin November 1, 2017. For more information see <a href="https://www.brown.edu/initiatives/translational-research/sites/tr

#### **Grant Resubmission Awards**

Support for investigators to improve on an already highly rated clinical and translational science research proposal for resubmission. Four projects will be funded up to \$20,000 each (direct costs) until the date of resubmission to the original grant mechanism, up to one year. **Applications are due on July 13 by 5 p.m. ET.** Funding is anticipated to begin November 1, 2017. For more information see: <a href="https://www.brown.edu/initiatives/translational-research/sites/translational-research/files/images/Advance-CTR">https://www.brown.edu/initiatives/translational-research/sites/translational-research/files/images/Advance-CTR</a> Grant%20Resubmission%20Awards RFA.pdf

#### Office of Research Integrity

## > Animal Research Protection Program (ARPP) Updates

#### \*NEW\* Policies and Guidelines

The Institutional Animal Care and Use Committee (IACUC) recently approved several policies and guidelines, all of which can be found on the following <u>website</u>:

- Policy on Visual Image or Sound Recordings of Laboratory Animals in the Animal Care Facility, Research or Teaching Laboratories
- Food and/or Fluid Regulation in nonhuman primates (NHPs)
- Food and/or Fluid Regulation in Rodents
- Policy on Principal Investigator Eligibility & Responsibilities
- Guidelines for Assigning Animals to Pain Categories
- Guidance for IACUC Semiannual Inspections

Many thanks to our animal users who provided valuable feedback on several of these policies while still in draft form during our investigator/laboratory review period.

### **Semiannual Inspections**

It's that time of year again! The IACUC will be conducting semiannual inspections of all animal housing and use areas throughout July and August. Please review the new <u>Guidance for IACUC Semiannual Inspections</u> for answers to any questions you may have, or contact us at iacuc@brown.edu.

## > Human Research Protection Program (HRPP) Announcements

#### Join the new Brown Human Research Advisory Group (BhRAG)!

The Brown University Human Research Protection Program (HRPP) is thrilled to announce the creation of an advisory group for the Institutional Review Board (IRB). The Brown Human Research Advisory Group (BhRAG, pronounced "brag") will consist of members of the Brown research community who are researchers or work closely with investigators to develop and submit IRB protocols.

The BhRAG will meet with HRPP leadership 3-4 times per year to receive hands-on, intensive training regarding human research regulations and policies, and to advise the HRPP and the IRB on the development of new policies and procedures related to human research. To apply, please complete and submit the brief <u>application form</u>.

#### **New Submission Procedures for Full Board Protocols**

The IRB is now reviewing all protocols in electronic format in an effort to reduce administrative burden (for Principal Investigators and the HRPP team) and our environmental footprint! Since we are no longer sending paper packets to IRB members, it is no longer necessary for investigators to submit protocols in hard copy with multiple copies. As with exempt and expedited submissions, please submit your full board protocols in ONE portable document format (pdf) file to IRB@brown.edu. If you do submit your protocol in hard copy, we will still require an electronic PDF version.

#### **SMART IRB Reliance Agreements**

Now that Brown University has joined over 200 other institutions nation-wide in signing onto the SMART IRB master agreement, implementing reliance agreements (also known as IRB Authorization Agreement (IAAs)) is easier than ever. The online Reliance system is now available to streamline the process even further. The investigator starts the process by requesting an account on the Reliance web page or contacting Susan Carton-Lopez. Once the investigator sets up his/her account and enters the study information into the Reliance system, the request will be routed to the HRPP offices of each institution for approval.

#### NIH and FDA Release Template and Tools for Writing Clinical Trials

The National Institutes of Health (NIH) and Food and Drug Administration (FDA) developed a <u>clinical trial protocol template</u> with instructional and example text for NIH-funded investigators to use when writing protocols for Phase 2 and 3 clinical trials that require Investigational New Drug application (IND) or Investigational Device Exemption (IDE) applications. The agencies' goal is to encourage and make it easier for investigators to prepare clinical trial protocols that are consistent and contain all of the information necessary for the review of the protocol. The template follows the International Conference on Harmonisation (ICH) E6 (R2) Good Clinical Practice and is available as a Word document.

The NIH also released a secure web-based <u>e-Protocol Writing Tool</u> that allows investigators to generate a new protocol using the NIH-FDA Phase 2 and 3 IND/IDE Clinical Trial Protocol Template. The e-Protocol Writing Tool fosters protocol writing collaboration by allowing multiple writers and reviewers to participate in the protocol development process. The e-Protocol Writing Tool allows the author to assign writers and collaborators and the tool assists the author with tracking progress and document version control.

The NIH expects to expand the development of the e-Protocol Writing Tool by adding instructional text and sample text for other types of studies, such as a behavioral and Phase 1 trials.

## > Common Misconceptions, Mistakes, and Myths about Export Controls

Below are some common misconceptions, mistakes and myths around Export Controls:

#### "It's commercial off-the-shelf, so it's not controlled".

Wrong! Almost all products and materials in the U.S. are subject to U.S. export controls, including laptops, cell phones, smart phones, Global Positioning Systems (GPS), telescopes, and drones. Some commercial off-the-shelf products, such as thermal imaging cameras, precision gyroscopes, and focal plane arrays are, in fact, highly controlled under export regulations. Level and type of control varies from product to product, depending on an individual item's export classification. Click <a href="here">here</a> for more information and resources on export control classification and purchasing.

**Bottom line:** Don't assume it's not export controlled just because you can easily purchase it from a number of vendors.

## "Since I am not using the latest technology, I don't have to worry about export controls. I bought my research equipment 10-15 years ago, and there is now much more advanced technology out there."

Wrong! Just because there are newer versions of technology available, doesn't mean older technology has no or fewer export control restrictions. Remember that export control regulations are <u>not</u> updated or revised on an annual basis. In fact, sometimes regulations are left unchanged for over a decade. Therefore, it is possible that seemingly "outdated" technology may still be highly export controlled.

#### "If I carry it with me in my carry-on luggage, I don't have to worry about export controls."

Wrong! Anything that leaves the U.S. is being exported, regardless of how and who is transporting it. Many items may not need an export license to certain destinations, or you can take advantage of a license exception. However, using an exception requires documentation. Check with the Export Control Officer **before** traveling.

#### "I have taken it abroad on many prior occasions with no problems, so I think I am OK."

Wrong! Just because you have exported it before with no problems, does not mean that it is not export controlled or that you should export it again without having a license or proper documentation in place. If you are exporting something that is controlled without an appropriate license or license exception documentation, you are violating federal regulations. This means that, if caught, the regulatory authorities may not only investigate your current violation but may also evaluate your many prior unauthorized exports.

## "I ship everything via an international shipper or freight forwarder. It's their responsibility to classify and ensure it's OK to ship the item."

Wrong! The shipper or freight forwarder is responsible for transporting the product, not analyzing or classifying it. Even if the shipper is involved in the export transaction, the ultimate responsibility for determining the proper jurisdiction and classification of the shipped product, and for ensuring compliance with licensing requirements, is with the U.S. Principal Party in Interest (USPPI), which is you.

#### "I work at a university, so what I do is classified as "fundamental research" and export controls don't apply."

It is indeed correct that export controls don't apply to <u>Fundamental Research</u> and its results, **however** export controls do apply to the equipment, materials, and software used in that research.

It is important to note that not all research conducted at a university is automatically considered "fundamental research". <u>Fundamental Research</u> is a specifically defined term under the federal regulations, and requires that there are no publication restriction or foreign access restrictions. Also, if a piece of hardware (e.g., prototype) is created during fundamental research, then that piece of hardware is subject to export controls. If software is created, unless it is made publicly available, then it is subject to export controls.

For more information about export control regulations, please contact <u>Jules Blyth</u> or <u>Rebecca Haworth</u> or visit ORI's <u>website</u>.

## **Research Development**

## New Sponsored Funding Opportunities Database

As of August 31, PIVOT, the grant funding search engine jointly sponsored by the Library, the Graduate School and Office of the Vice President for Research (OVPR), will no longer be offered. SPIN will replace PIVOT and is available now. You may continue to use PIVOT until August 31, 2017.

Please see a quick guide on Accessing SPIN+ and How to Videos

## Research Development and Grant Writing Newsletter

The <u>June</u> issue is now available online; this newsletter offers strategies on how to compete successfully for research funding and highlights new funding opportunities.

## OVPR Internal Funding Opportunities

#### **Grant Resubmission Awards**

- Deadline: Rolling
- Provide up to \$15,000 for investigators to improve an already highly-rated proposal for re-submission. · Apply via <u>UFunds</u>.

## **Sponsor / Agency Updates**

## NIH UPDATE

## > \*New\* - Electronic Carryover Requests

Starting in June 2017, there will be an option to submit Carryover requests electronically under the Prior Approval Module. Only a Signing official can submit the request.

For those awards that do not have expanded authorities, grantees need to submit a carryover request to their respective Grant Management Officer (GMO) for prior approval. This process can now be submitted electronically via the Prior Approval module in Electronic Research Administration (eRA) Commons. (Note that the electronic method is optional).

A Carryover request will be available in Prior Approval when the grantee has met the following two conditions:

- 1. Prior year's FFR (Federal Financial Report) has been submitted.
- 2. The grant is still active, meaning the project period has not ended and a no-cost extension (NCE) request has been submitted by the institution requesting additional time, *and the grant has not been closed.*

As part of the process, several key pieces of information will be required to complete the request: Unobligated funds to be carried over, Explanation of unobligated funds, Budget Justification, and a Scientific Justification.

If a Carryover request is made within 90 days of the project period end date, the Prior Approval Module will allow you to initiate the No-Cost Extension request at the same time as the Carryover request.

For details and screenshots related to the release, see <u>eRA Commons Online Help</u>. The video tutorial for the Prior Approval Carryover Request can be found at: https://era.nih.gov/era\_training/era\_videos.cfm#carryover

## ➤ Issued Patent Citations Accepted as Post Submission Application Material NOT-OD-17-066

NIH recently <u>updated</u> its policy for what materials will be accepted as post-submission application materials. Beginning with applications submitted **for due dates on or after September 25, 2017**, citations of newly issued patents can be included in post-submission materials.

The NIH post-submission materials policy allows grant applicants to submit limited information arising from unforeseen events that occur after submission of an application but prior to initial peer review. The updated policy adds citations of issued patents to the list of acceptable post-submission materials. Copies of patent applications or any other materials related to a patent application or issued patent will not be accepted as post-submission materials, unless specified in the Funding Opportunity Announcement (FOA) for which the application was submitted or in a special Guide Notice.

## > Follow-up: How to Strengthen the Biomedical Research Workforce

NIH has proposed an alternative to the recently proposed Grant Support Index as a means to address concerns with the biomedical research enterprise, in particular with respect to early and mid-career investigators. Details can be found in <a href="Next Generation Researchers Initiative Web Page">Next Generation Researchers Initiative Web Page</a>.

## > NIH Reminder Regarding Progress and Financial Reports

NOT-OD-17-074

NIH recently issued a reminder to NIH recipients about their responsibilities and the requirement to submit complete, timely and accurate progress and financial reports to the NIH which is a term and condition of all NIH awards. For more information see: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-074.html

# > Revision: Extension of Effective Date on the Use of Single Institution Review Board for Multi-Site Research

#### NOT-OD-17-076

NIH is extending the effective date of the NIH Policy on the Use of a Single Institutional Review Board for Multi-Site Research to January 25, 2018. The policy will apply to all competing grant applications for due dates on or after January 25, 2018. For Research & Development contracts, the policy will apply to all solicitations issued on or after this effective date.

Guidance and Frequently Asked Questions to assist in the implementation of the policy will be available at: https://osp.od.nih.gov/clinical-research/irb-review/.

## NSF UPDATE

## > NSF.gov, Fastlane, and Research.gov Unavailable from Friday, June 30 – July 4th

As reported in our previous newsletter, the National Science Foundation (NSF) is moving its Data Center Information Technology (IT) servers to the Foundation's new headquarters in Alexandria, Virginia, from June 30 at 8:00 PM EDT through July 4 at 6:00 PM EDT, to prepare for NSF staff relocation in August 2017.

\* FastLane, and Research.gov will be unavailable from Friday, June 30 at 8:00 PM EDT until Tuesday, July 4 at 6:00 PM EDT \*

During this outage period, there will be no access to these websites, proposals cannot be submitted in FastLane, and project reports and cash requests cannot be submitted in Research.gov. However, previously saved information and uploaded documents in FastLane and Research.gov, including in-process proposals and reports, will be accessible after the Data Center move.

For IT system-related questions, contact the NSF Help Desk at 1-800-381-1532 or <a href="mailto:rgov@nsf.gov">rgov@nsf.gov</a>. Any policy-related questions should be directed to <a href="mailto:policy@nsf.gov">policy@nsf.gov</a>. For additional information about NSF's relocation, please see <a href="https://www.nsf.gov/pubs/issuances/in139.jsp">https://www.nsf.gov/pubs/issuances/in139.jsp</a>.

## ➤ Changes to the Doctoral Dissertation Improvement Grant (DDIG) Program nsf17095

Following a process of internal review and discussion regarding available resources, both the Division of Environmental Biology (DEB) and the Division of Integrative Organismal Systems (IOS) will no longer accept Doctoral Dissertation Improvement Grant (DDIG) proposals. This decision was necessitated because of increasing workload and changes in Division priorities. **This decision does not affect DDIGs that are already awarded.** 

#### For more information see:

HTML: <a href="https://www.nsf.gov/pubs/2017/nsf17094/nsf17094.jsp?WT.mc">https://www.nsf.gov/pubs/2017/nsf17094/nsf17094.jsp?WT.mc</a> id=USNSF 25&WT.mc ev=click PDF: <a href="https://www.nsf.gov/pubs/2017/nsf17094/nsf17094.pdf?WT.mc">https://www.nsf.gov/pubs/2017/nsf17094/nsf17094.pdf?WT.mc</a> id=USNSF 25&WT.mc ev=click

## Administrative Guide for the Postdoctoral Research Fellowships in Biology Program

#### NSF 15-501

NSF recently issued an administrative guide for the Postdoctoral Research Fellowship in Biology Program. This Guide outlines the administrative policies and procedures for Fellows and Postdoctoral Research Fellowships (FRFB) in Biology Host Institutions and incorporates all policies found in the Fellowship Offer Letter and the annual PRFB Program Solicitation.

Additional information regarding this Guide can be found in the following link: <a href="https://www.nsf.gov/pubs/2017/nsf17098/nsf17098.pdf">https://www.nsf.gov/pubs/2017/nsf17098/nsf17098.pdf</a>?WT.mc id=USNSF 25&WT.mc ev=click

## NSF Proposal and Award Policy Newsletter

#### nsf17064

The NSF Proposal and Award Policy May/June 2017 newsletter is now available.

PDF: https://www.nsf.gov/pubs/2017/nsf17084/nsf17084.pdf?WT.mc id=USNSF 109

## > Division of Chemistry Newsletter

NSF's Division of Chemistry <u>newsletter</u> was recently published. This newsletter allows readers to stay informed with the latest news and topics of interest from the NSF Division of Chemistry.

## DoD UPDATE

## Department of Defense (DoD) Program Announcements

DoD recently issues a number of FY17 funding opportunities. They include:

- Duchenne Muscular Dystrophy Research Program (DMDRP)
- Peer Reviewed Medical Research Program (PRMRP)
- Peer Reviewed Orthopaedic Research Program (PRORP)
- Prostate Cancer Research Program (PCRP)
- Neurofibromatosis Research Program (NFRP)
- Spinal Cord Injury Research Program (SCIRP)
- Military Burn Research Program (MBRP); and
- the Autism Research Program (ARP)

Detailed descriptions of the funding opportunity, evaluation criteria, and submission requirements can be found in the Program Announcements. The Program Announcements are available electronically for downloading from the Grants.gov website (<a href="http://www.grants.gov">http://www.grants.gov</a>), the Congressionally Directed Medical Research Program CDMRP website (<a href="http://cdmrp.army.mil/funding/prgdefault.shtml">http://cdmrp.army.mil/funding/prgdefault.shtml</a>), and the electronic Biomedical Research Application Portal (eBRAP) (<a href="https://eBRAP.org">https://eBRAP.org</a>).

#### Other

## **➤ USDA/NIFA Implementation of the Research Terms & Conditions**

The USDA/National Institute of Food and Agriculture's (NIFA) implementation of the Research Terms and Conditions (RTCs) has been posted to the <u>Research Terms and Conditions website</u>. The USDA/NIFA Implementation is effective June 30, 2017.

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

- RTC Appendices A (Prior Approval Matrix)
- B (Subaward Requirements)

#### Dance Your Ph.D Contest!

The American Association for the Advancement of Science (AAAS) has announced their 10<sup>th</sup> Annual Dance Your Ph.D contest. By creating an online video of your Ph.D thesis in dance form, you have an opportunity to win up to \$1,000 and be recognized by *Science* for your effort.

#### The rules

- 1. You must have a Ph.D., or be working on one as a Ph.D. student.
- 2. Your Ph.D. must be in a science-related field.
- 3. You must be part of the dance.

#### How to enter

- 1. Turn your Ph.D. thesis into a dance.
- 2. Post the video on YouTube.
- 3. Send us the link by 29 September 2017 at 11:59 EST.

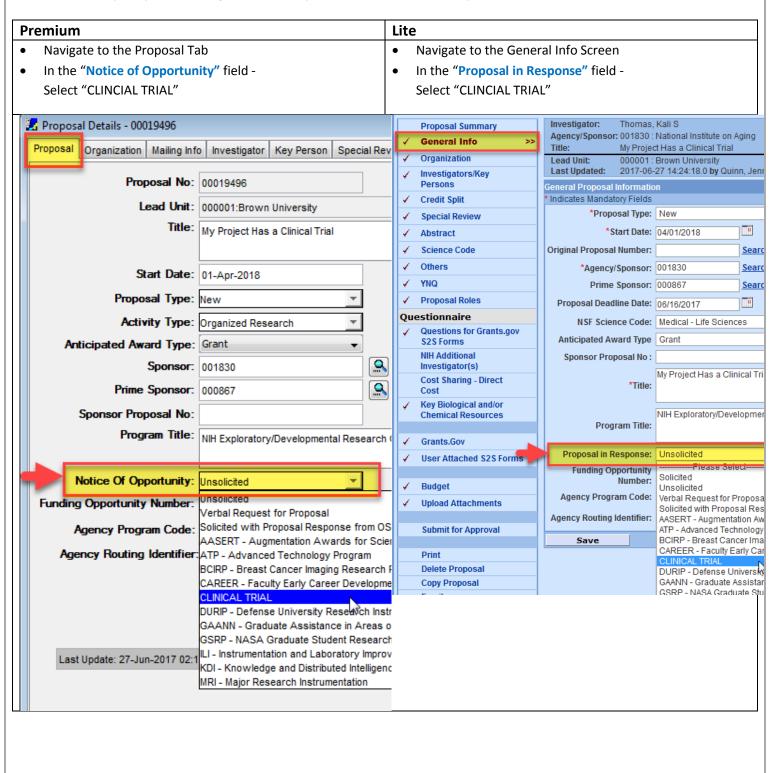
For more details related to the contest, see <a href="http://www.sciencemag.org/projects/dance-your-phd/official-rules">http://www.sciencemag.org/projects/dance-your-phd/official-rules</a>.

## **Coeus Update**

## Process update for Proposals that include a Clinical Trial

If the proposed project will include a clinical trial, please follow the steps outlined below to mark your proposal accordingly. If your proposal has multiple special opportunities to indicate (e.g., Faculty Early Career Development & Clinical Trial), please contact RAIS so we can update the value listing.

\*Note – Previously, only Clinical Drug Trials were captured in this field. As of July 1<sup>st</sup>, all Clinical Trials will be identified in this field.



## Fiscal Year Update in Coeus

With the new fiscal year, it is important to make sure your proposal is set up with the correct rates and salary effective dates, especially when you copy a proposal from a prior fiscal year or use a template proposal that was created in the prior fiscal year.

#### Items to update or review:

1. **Fringe Benefits and F&A Rates** on copied proposals or proposals with date modifications:

Be sure to Sync the Proposal Rates on proposals to ensure you are using the FY18 and later Fringe Benefit and F&A rates.

#### Sync to Rates – Quick Guide:

- 1. Open your Budget in Modify mode
  - a. Edit → Budget
  - b. Click the Modify button
- 2. Once in the Budget, open the rates table
  - a. Edit → Rates
- 3. The Modify Rates for Proposal window will open above the Modify Budget window. Click the Sync button.
- 4. You will be prompted to answer the following question: "Do you want to Sync Proposal rates with the current Institute rates?"
  - a. Click the Yes button

Your proposal will re-calculate with the University approved rates for the respective periods.

- 2. **Effective Date of Base Salary**: When budgeting for personnel, be sure to check the Budget Persons window to make sure you are using the correct Effective Date for the salary entered. In most instances, you will want to use the effective date of 07/01/2017 for the individual's current FY18 salary.
- **3. Update Department Templates**: If your department uses a template to create proposal from, be sure to update the Budget Persons window with the individual's new salary and effective date information, as well, as the rates table.

## > Coeus 'Delete Proposal Development' Script will run on July 1, 2017

The Delete Development Proposal Script runs quarterly to remove proposals that cannot be deleted from the system manually.

This script is programmed to delete "Rejected" or "Approval in Progress" Proposals that are no longer needed if you follow the process outlined below:

### <u>Please follow the process below to delete proposals that you no longer need:</u>

- Review any unwanted proposals from your Development Proposal List window. These proposals must have the status of "Rejected" or "Approval in Progress".
- For "Approval in Progress" proposals Have the next approver reject the proposal to change the status to "Rejected".
- In the Proposal Tab of the Proposal Record, select the **Proposal Type** [X Delete from the System] and save the record.

All proposals with the Proposal Type marked as [X – Delete from the System] will be deleted from the system when the script is run. Once deleted from the system, they will NOT be able to be recovered!

#### **Future Schedule:**

The Delete Script will run automatically on the 1<sup>st</sup> business day at the start of each quarter:

- October 2, 2017
- January 2, 2018
- April 2, 2018

## **Training & Conferences**

### **OSP & RAIS Spring 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.

### **Traveling Sponsored Projects Training**

While Sponsored Projects & Coeus Trainings are not scheduled during the summer; we do offer to "travel" to departments to conduct trainings upon request. We currently offer over 20 classes that range from how to use Coeus, to guidelines on award management. Visit the <a href="Sponsored Projects Training and Outreach Webpage">Sponsored Projects Training and Outreach Webpage</a> or the <a href="Coeus Training Classes">Coeus Training Classes</a> page to learn more about the classes.

#### **Upcoming Conferences & Programs**

## NCURA 58<sup>th</sup> Annual Meeting

➤ Conference: August 6 – 9, 2017 | Washington, DC For more details, see NCURA Annual Meeting

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

Seminar: October 25 – 27 | Baltimore, MD

For more details, see NOT-OD-17-026

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