



Cornell University

# Research Administration Forum

December 11, 2006



## Agenda

- Welcoming Remarks
- New Developments From ORIA  
*E. Ray Stinson, Hima Vatti*
- Agreement, Financial, and Programmatic Compliance  
*Jeffrey Silber*
- RAF Briefs
- Discussion, Q&A



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# Welcoming Remarks

Jeffrey Silber



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# New Developments and Announcements from ORIA

E. Ray Stinson, Assistant Vice President for  
Research Compliance

Hima Vatti, Associate Director, ORIA



## Office of Research Integrity and Assurance (ORIA)

- New Personnel
  - Michelle DeStefano – ORIA Research Compliance Coordinator
    - Telephone 607 255-3716
    - Email [md297@cornell.edu](mailto:md297@cornell.edu)
  - Matthew Aldridge – ORIA Education Coordinator
    - Telephone 607 255-6182
    - Email [ma354@cornell.edu](mailto:ma354@cornell.edu)
  - Maria Golonski – ORIA Process Improvement Auditor
    - Telephone 607 255-7219
    - Email [mg352@cornell.edu](mailto:mg352@cornell.edu)



## **Michelle DeStefano**

### **Research Compliance Coordinator**

- Manages the UCHS and IACUC Committees  
Administrative Activities
- IACUC Semi-annual Inspections
- Management Systems for UCHS and IACUC
- New Policies and Procedures for UCHS and IACUC
- Sarah Demo and Toni Andres continue to be responsible for protocol review for the IACUC and UCHS respectively.



# Matthew Aldridge

## Education Coordinator

- Primary Responsibilities
  - Training on Human Participants, Vertebrate Animals, rDHA, Biological Agents, Conflict of Interest and Commitment
- Electronic Newsletters
- Formal Training Sessions for Faculty, Staff, and Students
- Individual Consultation
- Training of Research Compliance Committee members
- Research Compliance Conferences and Seminars



# Maria Golonski

## Process Improvement Auditor

- Primary Responsibilities
  - Grant Proposal vs Animal and Human Protocol Comparison
  - Process Improvement Review of Individual Animal Protocol, Human Protocol, and IBC MUAs
  - For cause audit or Individual Animal Protocol, Human Protocol, and IBC MUAs
  - Audit or Research Compliance Committee review and approval process



# University Committee for Human Subjects

- In the process of changing the Name of the Committee to  
Institutional Review Board for Human Participants (IRB)
- New web site will soon be announced
- New Electronic Newsletter send to Investigators and Key Personnel on UCHS Protocols
- New Chair of Committee – Jennifer Gerner, Professor, Department of Policy Analysis and Management, College of Human Ecology



# Animal Care and Use

- Received renewed accreditation from AAALAC in October, 2006
- New Electronic Newsletter send to Investigators and Key Personnel named on Research Protocols approved by the IACUC
- New web site: <http://www.iacuc.cornell.edu>
- New Policies and Procedures
- New Chair: David Winkler, Professor, Ecology and Evolutionary Biology, Jan 2007



# Animal Care and Use

- New Review Process for Proposed Protocols
  - Step 1 Pre-Review
    - By ORIA for completeness of protocol
    - E-Sirius data integrity check
    - By CARE Veterinarians
    - Animal Users Health and Safety Program (AUHSP)
  - Step 2 ORIA sends Summary of Pre-Review to Investigator via e-Sirius
  - Step 3 Investigator send revisions to IACUC via e-Sirius



## Animal Care and Use

- Step 4 IACUC review of Protocol
- Step 5 IACUC comments sent to Investigator via e-Sirius
- Step 6 Investigators submits revisions via e-Sirius
- Step 7 Notice of Protocol Approved send to Investigator via e-Sirius
- Step 8 Research using animals can begin
- Step 9 SPS authorizes establishment of Account



## eSirius Developments

- Emergency Contact for Research Protocol is now Required
- Justification for the Use of Animals in Research
- Procurement and Census under Development
- Data Integrity Initiative



# Export Controls Resources

- Office of Research Integrity and Assurance
  - Hima Vatti (contact anytime)
    - 607 255-8994
    - Email [hv34@cornell.edu](mailto:hv34@cornell.edu)
- Office of University Counsel
  - Pat McClary, Associate University Counsel



# What are Export Controls?

- Federal laws that govern the transfer or disclosure of goods, technology, and funds originating from the United States to persons in foreign countries or to non-U.S. persons in the United States.
- Goals: preventing terrorism and the proliferation of WMD; preserving our military and economic advantages; fulfilling international agreements such as U.N. sanctions.



# What are Export Controls?

- Export Administration Regulations (EAR)
  - Dual use items
- International Traffic in Arms Regulations (ITAR)
  - Defense articles on the U.S. Munitions List
- Sanctions and embargo programs administered by the Office of Foreign Assets Controls (OFAC)



## How Export Controls Affect University Research and Funding

- Increased Federal Govt Scrutiny
  - Heightened national security concerns
  - DOC Deemed Exports Advisory Committee
  - GAO Report December 2006
- Increased Scrutiny by Grant Sponsors
  - ► Requests for export controls statements
- Violations Compromise Funding and Conduct of Research



## What Do We Export?

- Three Categories of Exports
  - Tangible/Physical Items: chemicals, biological materials, computers, equipment, prototypes, agricultural materials
  - Information: research results, technology, technical data, i.e. the know how to make equipment
  - Software: including encryption software



## Exclusions! 😊

1. Educational information
  2. Public information (already published)
  3. Includes information that arises during or results from Fundamental Research
- 😊 Excluded information can be shared freely with non-U.S. persons anywhere.



## **New Form 10 Addendum: Assess Red Flags As Early As Possible**

- ▶ Cuba, Iran, Syria, Sudan, and Burma
- ▶ Reference to WMD or missiles
- ▶ Reference to encryption
- ▶ Shipment or transfer abroad of a physical/tangible item.
- ▶ Purchases of equipment from a vendor abroad
- ▶ Transfer of technology through the “use” of equipment
- ▶ Proprietary or export-controlled information provided by a Sponsor or Vendor.



# Online Trainings for Faculty

- Humanities
- Sciences
- Focus: Identifying Red Flags
- Pilot Testing through December 2006
- Online Placement January 2007
- Launch February 2007



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# Agreement, Programmatic and Financial Compliance

Jeffrey Silber

Sr. Director, Sponsored Program Services



# HHS OIG FY07 Work Plan

- <http://www.oig.hhs.gov/publications/docs/workplan/2007/Work Plan 2007.pdf>, 94 pages, covers all HHS
- Level of Commitment and Effort Reporting
- University Administrative and Clerical Salaries
- Cost Transfers
- Compensation of Graduate Students Involved in NIH-Funded Research
- NIH Monitoring of Conflict of Interest
- NIH Monitoring of Research Grants



# NSF OIG FY07 Annual Audit Plan

- [http://www.nsf.gov/oig/FY2007\\_Annual\\_Audit\\_Plan.pdf](http://www.nsf.gov/oig/FY2007_Annual_Audit_Plan.pdf), 24 pages
- Audit of Labor Effort Reporting at Major Universities
- Quality Control Reviews of Single Audits
- Audits of Various Awards
- Audits of Various Contracts
- Contract Close Out Audits



# Cornell's Concerns

- Cost Transfers
- Plan Confirmation (Effort Reporting)
- Subaward Management
- Agreements (or lack thereof)
- Conflict of Interest
- Award Terms and Conditions
- Direct / Indirect Costs
- Cost Sharing
- Subcontracting (Small Business) Requirements
- Program Income



## Issues Elsewhere

- Yale University (in progress)
  - In June served with subpoenas from HHS, DoD, NSF covering 47 awards, \$45M.
- Recent Institutions in the News
  - Vermont (Falsification of Data)
  - Penn (Effort)
  - UMass (Subcontracts)
  - Rochester (Cost Transfers)
  - Chicago (Cost Transfers)
  - Columbia (Terms and Conditions)



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# RAF Briefs

Jeffrey Silber

Sr. Director, Sponsored Program Services



# RAF Briefs: HHS/NIH Announcements

- Deadline Changes
  - <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-07-001.html>
- Multiple PIs
  - <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-07-017.html>
- NRSA Funding
  - <http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-06-090.html>
- Continuing Resolution

	<b>Receipt Cycle I</b>	<b>Receipt Cycle II</b>	<b>Receipt Cycle III</b>
<b>Program Project Grants and Center Grants – all P Series</b> <i>new, renewal, resubmission, revision*</i>	January 25 (old date Feb. 1)	May 25 (old date June 1)	September 25 (old date Oct. 1)
<b>Research Grants – R10, R18, R24, R25</b> <i>new, renewal, resubmission, revision*</i>	January 25 (old date Feb 1, March 1)	May 25 (old date June 1, July 1)	September 25 (old date Oct. 1, Nov. 1)
<b>Research-Related and Other Programs – all S and G Series, C06, M01</b> <i>new, renewal, resubmission, revision*</i>	January 25 (old date Feb. 1)	May 25 (old date June 1)	September 25 (old date Oct. 1)
<b>Institutional Ruth L. Kirschstein National Research Service Awards - T Series (Training)**</b> <i>new, renewal, resubmission, revision*</i>	January 25 (old date Jan. 10)	May 25 (old date May 10)	September 25 (old date Sept. 10)
<b>Research Grants - R01</b> <i>new</i>	February 5 (old date Feb. 1)	June 5 (old date June 1)	October 5 (old date Oct. 1)
<b>Research Career Development – all K series</b> <i>new</i>	Feb 12 (old date Feb. 1)	June 12 (old date June 1)	October 12 (old date Oct. 1)
<b>Research Grants - R03, R21, R33, R21/R33, R34, R36</b> <i>new</i>	February 16 (old date Feb. 1)	June 16 (old date June 1)	October 16 (old date Oct. 1)
<b>Academic Research Enhancement Award (AREA) - R15</b> <i>new, renewal, resubmission, revision*</i>	February 25 (no change)	June 25 (no change)	October 25 (no change)
<b>Research Grants - R01</b> <i>renewal, resubmission, revision*</i>	March 5 (old date March 1)	July 5 (old date July 1)	November 5 (old date Nov. 1)
<b>Research Career Development – all K series</b> <i>renewal, resubmission, revision*</i>	March 12 (Old date March 1)	July 12 (old date July 1)	November 12 (old date Nov. 1)
<b>Research Grants - R03, R21, R33, R21/R33, R34, R36</b> <i>renewal, resubmission, revision*</i>	March 16 (old date March 1)	July 16 (old date July 1)	November 16 (Old date Nov. 1)

<b>New Investigator – R01</b> <i>resubmission* for those applications involved in pilot ONLY</i> <i>(<a href="http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-060.html">http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-060.html</a>)</i>	March 20 (no change)	July 20 (no change)	November 20 (no change)
<b>Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR) Grants - R43, R44, R41 and R42</b> <i>new, renewal, resubmission, revision*</i>	April 5 (old date April 1)	August 5 (old date Aug. 1)	December 5 (old date Dec. 1)
<b>Individual Ruth L. Kirschstein National Research Service Awards (Standard) – all F series Fellowships.</b> <i>new, renewal, resubmission*</i>	April 8 (old date April 5)	August 8 (old date Aug. 5)	December 8 (old date Dec. 5)
<b>Conference Grants and Conference Cooperative Agreements - R13, U13</b> <i>new, renewal, resubmission, revision*</i>	April 12 (old date April 15)	August 12 (old date Aug. 15)	December 12 (old date Dec. 15)
<b>AIDS and AIDS-Related Grants</b> ALL of the mechanisms cited above <i>new, renewal, resubmission, revision*</i>	May 1 (no change)	September 1 (no change)	January 2 (no change)

\* The move to electronic applications also has brought a change in terminology. The new Grants.gov terminology (included in the table above) corresponds to traditional NIH terms as follows:

- New = new
- Resubmission = a revised or amended application
- Renewal = Competing Continuation
- Continuation = Noncompeting Progress Report
- Revision = Competing Supplement

\*\* **Institutional Research Training Grants (T32)** are accepted by many NIH Institutes and Centers (IC) for only one or two of the dates. Applicants should contact the relevant IC for specific dates.

The following table summarizes differences between the old policy and the new policy.

<b>Institutional Training Grants</b>				
Award Category	Predoctoral		Postdoctoral	
	OLD	NEW	OLD	NEW
Stipend	\$20,772	\$20,772	\$35,568-\$51,036	\$35,568-\$51,036
Tuition/Fees	- \$3,000 + 60% above \$3,000 (includes health insurance)	- 60% up to \$16,000  - 60% up to \$21,000 for dual degree	- \$3,000 + 60% above \$3,000 (includes health insurance)	- 60% up to \$4,500  - 60% up to \$16,000 for additional degree
Training Related Expenses	\$2,200	\$4,200 (includes health insurance)	\$3,850	\$7,850 (includes health insurance)
Trainee Travel (per trainee)	\$400-\$1,000			
F&A (Old)	8% (excludes tuition/fees/health insurance, equipment)			
F&A (New)	8% (excludes, tuition/fees, equipment)			

<b>Individual Fellowships</b>				
Award Category	Predoctoral		Postdoctoral	
	OLD	NEW	OLD	NEW
Stipend	\$20,772	\$20,772	\$35,568-\$51,036	\$35,568-\$51,036
Tuition/Fees	- \$3,000 + 60% above \$3,000 (includes health insurance)	- 60% up to \$16,000  - 60% up to \$21,000 for dual degree	- \$3,000 + 60% above \$3,000 (does not include health insurance)	- 60% up to \$4,500  - 60% up to \$16,000 for additional degree
Institutional Allowance	\$2,750 \$1,650*	\$4,200 \$3,100* (includes health insurance)	\$7,000 \$5,900* (includes health insurance)	\$7,850 \$6,750* (includes health insurance)

\*Higher figures are applicable to Public and Private Non-Profit Institutions. Lower figures are applicable to Federal and For- Profit Institutions.



## RAF Briefs: Grants.Gov

- Grants.gov PureEdge Hands-on Training
  - December 14, January 4, 11, 18
- **BIG** deadline: NIH R01, Mon., Feb. 5, 2007, 5 p.m.
- Please submit completed and approved proposals in accordance with the Cornell deadline (Monday, January 29, at 5 p.m.).
- *There is a very real possibility that late proposals will not make it into grants.gov in time to meet the deadline for consideration.*
- Help & Info: <http://www.osp.cornell.edu/grants.gov/>



# RAF Briefs: Proposal Deadlines

- SPS policy is that completed proposal and routing form (Form 10) should be received five days prior to proposal deadline.
- SPS exists to facilitate research funding at Cornell. As such, getting proposals out the door is a priority.
- We are seeing an increase of last minute, last hours, or same day proposals
  - This does not allow time for adequate review
- Late proposals create a “drop everything” mode which works against PIs whose proposals were in on time, or who are patiently waiting for other SPS work.
- Insufficient reviews increase the possibility of proposal being rejected due to technical grounds or system failure.



# RAF Briefs: Proposal Deadlines

- Minor change in procedure
  - Proposals received five days before deadline will be processed first
  - Proposals with less than five days deadline will receive best efforts during normal working hours
- More significant change in development. One possibility:
  - Proposals received five days will receive full review (consistency with solicitation, format, compliance, etc.)
  - Proposals received N days will receive review only for compliance
  - Proposals received less than N days may be submitted without review, subject to subsequent withdrawal.
  - Same day proposals will be submitted on a best efforts basis.



# RAF Briefs: SPS Organization

- OSP → SPS-Agreements
  - Currently have all positions filled with 17 individuals having Grant and Contract responsibilities
    - 3 Sr. GCO/Team-Leaders
    - 4 Senior Grant and Contract Officers
    - 10 Grant and Contract Officers
  - Supported by
    - 4 Administrative Assistants
    - Subcontract Coordinator
  - Significant workload realignment earlier in the year



# RAF Briefs: SPS Organization

- SFA → SPS-Financial
  - Reconfiguring group to:
    - Manager
    - 2 Team Leaders
    - 8 Sponsored Program Accountants
    - 3 Account Assistants
  - Four vacancies under recruitment
- SPS Leadership
  - Currently recruiting a Deputy Director



# RAF Briefs: SPS Organization

- New Staff (during 2006)
  - Linda Griswold, Grant & Contracts Officer
  - Tom Frank, Grant & Contracts Officer
  - Diane West, Grant & Contracts Officer
  - Mark Fallon, Grant & Contracts Officer
- Promotions (during 2006)
  - Kim Hayes, Sr. Grant & Contracts Officer/Team Leader
  - Christine Ashdown, Sr. Grant & Contracts Officer
  - Jeff Corbin, Sr. Grant & Contracts Officer



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# Discussion, Q&A