

Research Administration Update February 2021

Grants & Contracts Administration



Agenda

- ☐ Advancement
- ☐ Foreign Updates
- ☐ OSP Pre Award Updates
 - ☐ eSDFI and CITI FCOI training
 - ☐ Continuous Submissions
 - ☐ Research Management System Update
- ☐ GA Post Award Updates

UMMS Office of Advancement

Research Administration Update
February 11, 2021



Office of Advancement Corporate & Foundation Relations

- Connie Johnson: basic science
- Erin Phipps: pediatrics, psychiatry, population health
- Joyce Remmes: project assistant
- Charlene Nemeth: special projects

Types of Private Funding

- Individuals
- Foundations such as the American Heart Association
- Private and Family Foundations
- Community Foundations
- Corporate Foundations
- Professional Associations
- Corporations (in some cases)

When is funding called philanthropy?

- Individuals: charitable gifts are tax deductible
- Foundations: when the IRS recognizes the funder as a charitable organization
- Corporations: If the nature of the funding is recognized as charitable by the IRS

Office of Advancement

- We report on ALL private UMMS funding to the Chancellor and the UMass President
- We report to various industry surveys that rank the institution
- We partner with OSP and Grant Accounting to report institutional funding

What the CFR Office Does

- Research potential private funders
- Develop proposals and assist faculty with their proposals
- Develop relationships with companies, foundations, and their representatives
- Produce the biweekly Digest of private funding opportunities
- Manage corporate sponsorships of signature events like the Cancer Walk

Things to Keep in Mind

If someone is thinking of applying to a foundation (and you know about it)

- Is it a limited submission process
- Is the foundation on the CFR list
- Ask Erin or Connie to clarify process

If someone is having an event and wants corporate sponsors

- Contact Erin to discuss options

How CFR partners with OSP

When we work with faculty, we follow the OSP rules:

- Proposals get logged at OSP
- Pre-proposals get vetted
- We check with OSP if there are any questions about process

Foundations that CFR works with:

<https://www.umassmed.edu/giving/grant-seeker-resources/funding-opportunities/>

Local, Regional and National Foundations: please contact us before approaching any of these organizations

Examples of National Foundations

- Autism Speaks
- Gerber Foundation
- Helmsley Charitable Trust
- Josiah Macy Jr. Foundation
- Robert J. Kleberg, Jr. and Helen C. Kleberg Foundation
- Sidney R. Baer, Jr. Foundation
- The Mathers Foundation
- The Templeton Foundation
- The William Randolph Hearst Foundations
- W. M. Keck Foundation

Local and Regional Foundations

- If the address is in Worcester, contact us!
- If the address is in Massachusetts, contact us!

Questions?

Connie.Johnson@umassmed.edu

Erin.Phipps@umassmed.edu

Foreign Influence Updates



Foreign Influence Updates

Campus FI Working Group

Intl Engagements Website

Department Attestation Form

What to expect from the new administration

Quick Foreign Influence Refresher

“Foreign Influence” – FBI/USG term to encompass the concern that foreign govts are exploiting our open research environment to acquire U.S. academic research and information to illicitly to advance their scientific, economic, and military goals

- Foreign Gifts (Especially from China and Middle East) – beholden to donors
- Cybersecurity → Exfiltration of data and tech (financial losses)
- Foreign-source Procurement that puts US assets at risk (ZTE; Huawei)
- Social engineering & propaganda (Theft/coercion of students/faculty)

Key Agency Concerns:

1. Failure to disclose substantial foreign resources (foreign employment /foreign-funded scholars/talent awards/grant support)
2. Peer review violations (sharing w/foreign collaborators)
3. Failure to disclose significant foreign financial Conflicts of Interest
4. Failure to fully comply with export laws and sanctions regimes

- **Challenges**

- Getting guidance from multiple agencies → no uniform guidance or processes to manage identified risks.
- Administrators must gather & aggregate info, develop processes where necessary and advise the research community

- **Actions**

- Convened key points of contact and sharing data points
 - Research Compliance; Export Control; Immigration; Info Sec; Travel; Legal/Risk
- Developing processes and tools to shore up disclosure and compliance
- Participating in university/agency/FBI conferences (papers/surveys)
- SHARING INFO and talking through issues

International Engagements Working Group

Office	Key Point of Contact	Contact regarding
Conflict of Interest and International Risk Mgmt	Teresa Zash Director, Conflicts of Interest (COI) & International Support Services (ISS) Phone: (508) 856-5746	<ul style="list-style-type: none"> • International appointments/collaborations – RPS • International travel risk and export control • Foreign project risk assessment – FPRs • International agreements (MOUs, etc.) • Use, acceptance, or transfer of proprietary information or materials across borders
Sponsored Programs	Matty Spragens Director, Office of Sponsored Programs Phone: (508) 856-5600	<ul style="list-style-type: none"> • Proposals for grants, contracts and subcontracts incl. those with foreign governments and agencies • Proposed effort commitments
Post-Award Support	Amy Miarecki AVC, Grants & Contracts Phone: (508) 856-5401	<ul style="list-style-type: none"> • Grants/contracts/subcontracts, including those with foreign governments and agencies • Effort commitments/obligations
Immigration Services	Vanessa Paulman Director, Immigration Services Phone: (508) 856-2942	<ul style="list-style-type: none"> • Engaging foreign visitors/researchers • Visa & immigration questions • Hosting international staff/students
Information Security	Brian Coleman Information Security Officer Phone: (774) 455-4443	<ul style="list-style-type: none"> • Data theft/information security incident • IT risk & security assessments • International data sharing/transfer • Loaner equipment for foreign travel

International Research & Engagement Website

<https://www.umassmed.edu/research/compliance/international-research/>



The screenshot shows the website for the International Research and Engagement Office of Research at UMass Medical School. The header includes the UMass Medical School logo and the text "International Research and Engagement Office of Research". Below the header is a navigation bar with links: BASIC RESEARCH, CLINICAL RESEARCH, SPONSORED PROGRAMS, COMPLIANCE (highlighted), RESEARCH CORES, UMASS VOUCHER PROGRAM, and FORMS. The main content area is titled "International Research" and includes a sidebar with links: Understanding Foreign Influence, Disclosing Foreign Support, Guidance on Foreign Collaborations, Hosting Foreign Visitors and Scholars, and Support and FAQs. The main content area displays the "Understanding Foreign Influence" page, which includes a breadcrumb trail: Compliance > International Research > Understanding Foreign Influence. The page text defines "Foreign Influence" as the term used by the FBI and other federal government agencies to encompass the potential for foreign actors, particularly foreign state adversaries, to acquire U.S. academic research and information illicitly in order to advance their scientific, economic, and military development goals through the exploitation of collaboration and openness on university campuses. It notes that beginning in 2018, federal funding agencies have issued new guidance and have sought to clarify and/or more tightly enforce existing policies. Congress and the White House have gotten involved, too, introducing new legislation and policy and calling on agencies to produce new information and tighten oversight. The page states that foreign influence concerns on the part of the US government can be broken out into four major categories:

- Failure to disclose substantial foreign resources:
 - Foreign employment arrangements and talent awards
 - Foreign grant support (creating overlap or over-commitment)
 - "Free labor" in the form of foreign-funded visiting scholars/students
 - Foreign-source grants (and the related transfers of information, know-how, data, person-time)
- Peer review violations
 - Primarily sharing of pre-publication data with foreign researchers
- Failure to disclose significant foreign financial Conflicts of Interest
 - Equity in foreign companies
 - Foreign patents that leverage US tax-payer funded work
- Failure to fully comply with export laws and sanctions regimes
 - Transfer of export-controlled technology (i.e., technology with potential military use where loss could compromise national security) to individuals or entities on the Office of Foreign Assets Control (OFAC) sanctions list (both in U.S. or shipped abroad)


The page concludes by stating that during this period of heightened scrutiny, there have been several federal arrests, with some cases resulting in prosecutions of U.S. researchers while other cases were dropped. The regulatory landscape is still evolving, but federal law enforcement has made it clear that this is an area that will continue to get considerable attention for the foreseeable future.

Go to the Website to get info on:

- Latest Agency Guidance
- How to Disclose (Other Support, COI, Foreign appts.)
- Guidance on Foreign Collaborations
- Hosting Foreign Visitors and Scholars
- Support and FAQs

Foreign Scholar Attestation Form

- **Purpose:** Vet foreign applicants that we are sponsoring for a J-1 visa
- **Timing:** Before extending offer
- **PI Responsibilities:**
 - Review CV and publications to confirm qualifications
 - Explain how the scholar found the sponsor
 - Define what scholar will do:
 - Scope of work
 - Any access to controlled or proprietary info?
 - Share any concerns → inconsistencies or possible misrepresentation



University of
Massachusetts
UMASS Medical School

FACULTY CERTIFICATION FORM FOR VISITING (FOREIGN) SCHOLARS, POSTDOCS, AND INTERNS

Instructions: Under the J-Visa program, UMMS is responsible for selecting, screening, and monitoring potential foreign researchers (i.e. "Scholar"). As part of our due diligence in vetting Scholars, the **faculty member** who will host and supervise the Scholar must complete and sign this certification form. The signed form must then be uploaded to the UMass Visa Information Portal (sunapsis) for review by Immigration Services. Any questions about the form or potential concerns about a Scholar should be directed to: ImmigrationServices@umassmed.edu.

Scholar's Name: _____

Sponsoring Department: _____

Section A: Information about the Scholar & Research Activities

1. Describe Scholar's planned research and other activities at UMMS. Please include details about specific role / responsibilities on the project(s):

2. Did the Scholar, or Scholar's representative, initiate contact with you about research or employment opportunities in your laboratory or department?

Yes No

Please describe any pre-selection procedures, including referrals or recommendations by a known colleague(s) or collaborator(s):

3. Did you find any evidence of foreign military affiliation in the Scholar's training, prior experience or publications?

Yes No *If yes, please explain in section B.*

4. Do you have any concerns about inconsistencies, gaps or misrepresentations in this Scholar's training, prior experience or publications?

Yes No *If yes, please explain in section B.*



Questions?

OSP Updates

UMASS
Medical School

A photograph of the UMASS Medical School building, a modern multi-story structure with a mix of glass and stone facades. The building is set against a blue sky with scattered white clouds. A large glass-enclosed section is prominent in the foreground, and a skybridge is visible on the left. The text 'UMASS Medical School' is displayed in blue on the upper right portion of the building.

Financial Conflict of Interest (FCOI)- Federal Requirements (NOT-OD-11-109)

Promoting Objectivity in Biomedical Research applicable to all sponsored-research funding sources at UMMS

What is the purpose of the regulation:

- Ensuring that the design, conduct, or reporting of research will not be biased by any conflicting financial interest.

FCOI Training Requirement:

- Each Investigator must complete training prior to engaging in research and every four years thereafter.

Definition of Investigator:

- Principal Investigator as well as any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research which includes subawardees and may include collaborators or consultants

FCOI Training Implementation:

- FCOI training is mandatory and is offered through the CITI online training module <http://www.citiprogram.org/>.

Electronic Summary Disclosure of Financial Interest (eSDFI)

Electronic form regarding timely and proper disclosure of financial interests

Requirements at the Proposal Stage:

- SDFI form must be submitted with each application.
- Is project-based (not individual-based) disclosure form.
- Individuals meeting the definition of Investigator are required to complete the disclosure.
- Principal Investigator will determine who meets the definition of “Investigator” on their project .
- Awarded projects (SDFI) must be submitted annually.

NOT-OD-20-060 - released 01/24/2020

This Notice alerts the scientific research community of plans to discontinue the practice of granting one-year continuous submission status to reviewers with recent substantial review service

- The final period will be from August 1, 2020, through September 30, 2021
- Continuous Submission Eligibility can be viewed in the reviewer's eRA Commons Personal Profile, in the Reviewer Information section
- The list of currently eligible reviewers can be found on the NIH Continuous Submission page.

Continuous Submission

For the Advisory Council Round:	Non-AIDS Standard Application Due Dates		Continuous Submission Non-AIDS Application Receipt Period Ends
	<i>R01</i>	<i>R21, R34</i>	<i>R01, R21, R34</i>
<i>May</i>	October 5 November 5	October 16 November 16	December 10
<i>October</i>	February 5 March 5	February 16 March 16	April 10
<i>January</i>	June 5 July 5	June 16 July 16	August 10

- Training Development
- Procedure Development
- Testing
- Role Assignments

Grant Accounting Reminders

UMASS
Medical School

A photograph of a modern, multi-story medical school building. The building features a mix of light-colored stone or concrete panels and large glass windows. A prominent glass-enclosed section is visible in the foreground. The sky is blue with scattered white clouds. The text 'UMASS Medical School' is visible on the upper right side of the building.

ePAFs – Required Signatures

- ePAFs require the signature of PIs whose grants are affected by a change to:
 - Effort - *and/or*
 - Salary
- 2020 Salary Increase Program – no signatures
 - Documentation as part of program
- First ePAF initiated after 2020 Salary Program requires signatures of all PIs no matter what changes are occurring – all information has changed because institutional base salary (IBS) has changed.

PI Responsibility: Ensuring all grant expenses are allocable and allowable.

Questions & Comments

GCA Updates

- RAU – Next meeting – March 12 @ 1 PM
 - COI Disclosures