

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



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

UMMS Response



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 University of Massachusetts University of Massachusetts Massachusetts Medical School

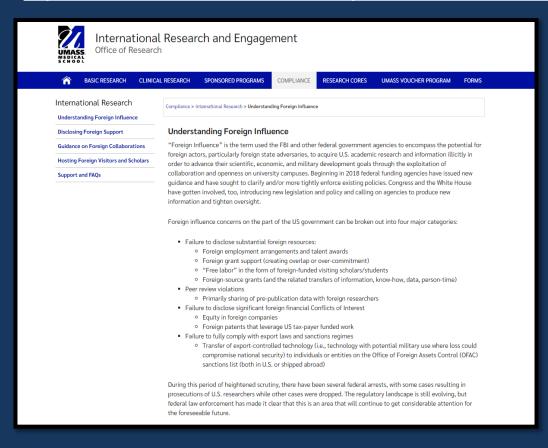


Office	Key Point of Contact	Contact regarding	
Conflict of Interest and International Risk Mgmt	Teresa Zash Director, Conflicts of Interest (COI) & International Support Services (ISS) Phone: (508) 856-5746	 International appointments/collaborations – RPS International travel risk and export control 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	 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	 Grants/contracts/subcontracts, including those with foreign governments and agencies Effort commitments/obligations 	
Immigration Services	Vanessa Paulman Director, Immigration Services Phone: (508) 856-2942	 Engaging foreign visitors/researchers Visa & immigration questions Hosting international staff/students 	
Information Security	Brian Coleman Information Security Officer Phone: (774) 455-4443	 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/



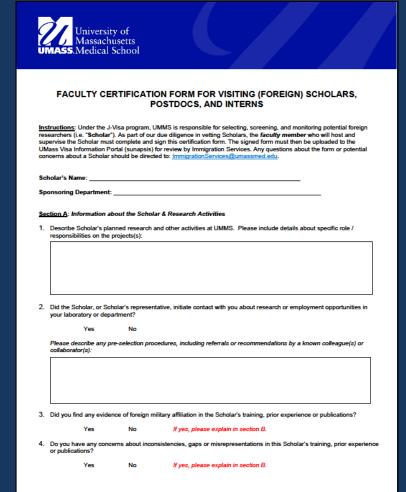
Go to the Website to get info on:

- 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







Questions?



eSDFI & FCOI Policy/Training



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 there after.

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/.

eSDFI & FCOI Policy/Training



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.

Continuous Submission



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
	R01	R21, R34	R01, R21, R34
May	October 5 November 5	October 16 November 16	December 10
October	February 5 March 5	February 16 March 16	April 10
January	June 5 July 5	June 16 July 16	August 10

Research Management System



- Training Development
- Procedure Development
- Testing
- Role Assignments



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