

# Research Administration Update September 25<sup>th</sup> 2019

## Grants & Contracts Administration



# THANK YOU!!

# HAPPY RESEARCH

# ADMINISTRATOR'S DAY

September 25, 2019



# Agenda

- ❑ GCA Updates
- ❑ FY2019 Report of Grants & Contracts
- ❑ Requirement for ORCID iDs – NOT-OD-19-109
- ❑ Other Significant Contributors (OSCs)
- ❑ JIT Response – Phase I & Phase II
- ❑ Foreign Influence and NIH



# GCA Updates

- Pre-award system
- Grant Accounting, Cost Analysis, and OSP are now in the same location!
  - Come visit us in S1-859



## Annual Report of Grants and Contracts

Fiscal Year 2019

July 1, 2018 - June 30, 2019

FY 2019 sponsored research funding totaled

**\$264,177,879.**

Direct costs comprised \$186,036,347 of the total  
with \$78,141,531 in indirect costs.

A comparison of FY 2018 and FY 2019 shows increases in both total and NIH funding:

Funding	FY 2018	FY 2019	% of Change
Total	\$257,078,957	\$264,177,879	2.76%
NIH	\$159,007,837	\$165,093,014	3.83%

# FY19 Report of Grants & Contracts

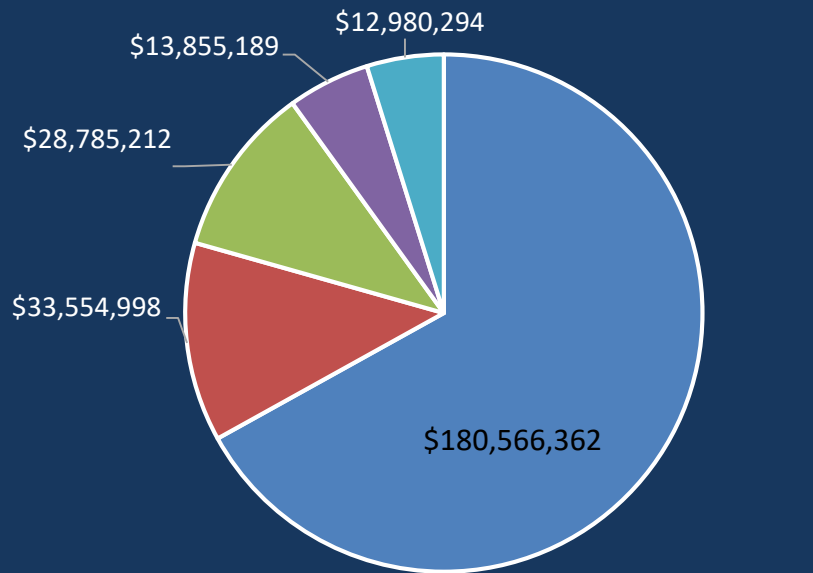
## UNIVERSITY OF MASSACHUSETTS MEDICAL SCHOOL SUMMARY STATEMENT OF GRANTS & CONTRACTS\*

	<u>June 30, 2018</u>		<u>June 30, 2019</u>	
<b>Total Direct</b>	\$181,217,436		\$186,036,347	
<b>Total Indirect</b>	<u>\$75,861,521</u>		<u>\$78,141,531</u>	
<b>Total</b>	<b>\$257,078,957</b>		<b>\$264,177,879</b>	
<b>Federal-NIH</b>	\$159,007,837	61.9%	\$165,093,014	62.5%
<b>Federal-Other</b>	<u>\$44,256,483</u>	17.2%	<u>\$44,511,506</u>	16.8%
<b>Total Federal</b>	<b>\$203,264,320</b>	<b>79.1%</b>	<b>\$209,604,520</b>	<b>79.3%</b>
<b>Foundations</b>	\$21,363,887	8.3%	\$18,141,643	6.9%
<b>Industry</b>	\$20,611,019	8.0%	\$24,872,593	9.4%
<b>Other***</b>	\$11,839,731	4.6%	\$11,559,123	4.4%
		100.0%		100.0%
<b>Total Number of Projects</b>	<b>1116</b>	<b>100.0%</b>	<b>1169</b>	<b>100.0%</b>
<b>Federal</b>	596	53.4%	653	55.9%
<b>Foundations</b>	164	14.7%	158	13.5%
<b>Industry</b>	257	23.0%	268	22.9%
<b>Other</b>	99	8.9%	90	7.7%

# Expenditures-FY18 vs FY19

## FY2018

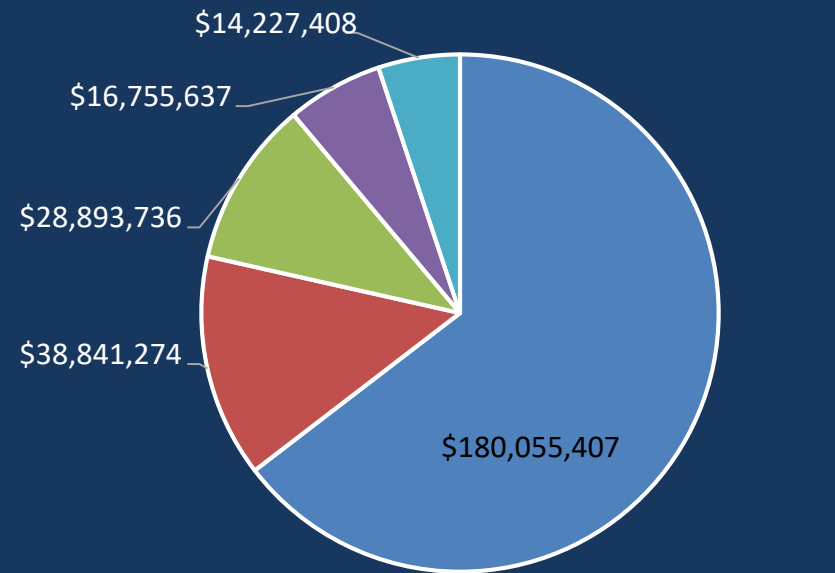
Expenditures - \$269,742,055



Federal MA-State/Local Fdtn/Non-Profit  
Industry Other

## FY2019

Expenditures - \$279,873,462



Federal MA-State/Local Fdtn/Non-Profit  
Industry Other



# Post-Award Statistics

	FY2018	FY2019
Principal Investigators	564	543
Active Projects	2,150	2,063
Active Awards	1,598	1,578
Expenditures – Direct Cost	\$196,863,370	\$205,619,091
Expenditures - IDC	\$72,878,684	\$74,254,371
Accounts Receivable (AR)	\$32,235,614	\$37,887,408

- Beginning in federal Fiscal Year 2020, NIH, AHRQ, and CDC requires that individuals supported by research training (T), fellowship (F), research education (R25/R38/RL5/RL9), and career development (K) awards have ORCID iDs. (*NIH released Notice Number: NOT-OD-19-109, 07/10/2019*)
- ORCID iDs, or Open Researcher and Contributor IDs, are unique and persistent individual identification numbers that help identify individual scientific contributors and authors, and distinguish individual scientists from others. ORCID iDs are assigned by the non-profit organization, ORCID, Inc., and are free of charge.

- In October 2019, the requirement for ORCID identifiers will be incorporated into the appointment process for trainees, scholars, and participants supported by the xTrain system
  - T03, T15, T32, T34, T35, T37, T42, T90/R90, TL1, TL4, TU2, K12/KL2, R25, R38, RL5, RL9
- At the time of appointment, the xTrain system will check whether appointees have ORCID iDs and appointments will be not be accepted for agency review unless an ORCID iD is linked to the individual's eRA Commons Personal Profile.

- Beginning with receipt dates on or after January 25, 2020, the requirement for ORCID identifiers will be enforced at the time of application for individual fellowship and career development awards, including the following:
  - F05, F30, F31, F32, F33, F37, F38, F99/K00, FI2, K01, K02, K05, K07, K08, K18, K22, K23, K24, K25, K26, K38, K43, K76, K99/R00
- eRA system validations will check whether applicants have ORCID iDs and applications will not be accepted unless an ORCID iD is linked to the PD/PI's eRA Commons Personal Profile.

So how do we proceed....

- The UMass Medical School Lamar Soutter Library has the following link on their website with instructions on creating an ORCID id and linking to the eRA Commons.
- Librarians from Research & Scholarly Communication Services will be reaching out to those currently appointed to these mechanisms directly. New appointees will need to register in advance of being set up in xTrain.

## Other Significant Contributors (OSCs)

Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project.

These individuals are typically presented at "effort of zero person months" or "as needed."

Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs).



# Other Significant Contributors (OSCs)

- OSC's must be entered on the Senior/Key Personnel section in Cayuse.
- A biosketch for the OSC must be uploaded to this section.
- OSC's biosketches should not be added to the Letters of Support section.
- Contact OSP if you need any assistance with adding an OSC that is not in the Cayuse system.

# Other Significant Contributors (OSCs)

## NIH Guidance:

**Other Significant Contributors:** Also use the "Profile – Senior/Key Person" section to list any [other significant contributors \(OSCs\)](#). Consultants should be included if they meet the NIH Glossary definition of [OSC](#). OSCs should be listed **after** all other senior/key persons.

A biosketch is required for all OSCs. The biosketch should highlight the OSC's accomplishments as a scientist. Reviewers assess these pages during peer review. For more information on review criteria, see the [Review Criteria at a Glance](#) document. Although Other Support information is required as a just-in-time submission, Other Support information will NOT be required or accepted for OSCs since considerations of overlap do not apply to these individuals.

Should the level of involvement increase for an individual listed as an OSC, thus requiring measurable effort on the award, the individual must be redesignated as "senior/key personnel." This change must be made before any compensation is charged to the project.

## NIH Guidance:

### 9. Letters of Support

**Format:**

Combine all letters of support into a single PDF file and attach this information here. Do not place these letters in the Appendix.

Follow the attachment guidelines on NIH's [Format Attachments](#) page.

**Content:**

Attach a file with all letters of support, including any letters necessary to demonstrate the support of consortium participants and collaborators such as Senior/Key Personnel and Other Significant Contributors included in the grant application.

Do not include consultant biographical sketches in the "Letters of Support" attachment, as consultant biosketches should be in the "Biographical Sketch" section (see exception for SBIR/STTR Applications in the SBIR/STTR-specific instructions).

There are two types of Just-in-Time Requests. We refer to these requests as Phase I and Phase II.

## Phase I

After initial peer review, for applications that have overall impact scores of 30 or less, NIH sends an automatic email requesting information just-in-time (JIT) through the eRA Commons.

That notification is sent automatically from NIH even though the score is higher than the paylines will support.

# JIT Phase I & JIT Phase II

- Phase I allows you to review your score and see if you are within the pay line
- This is also the opportunity to start the Animal Congruency review and/or IRB protocol review
- There is never a deadline associated with Phase I

## Phase II

- Phase II JIT is an email from NIH personnel that specifically requests items for upload to the eRA Commons.
- This request normally has a deadline associated and the response time is rapid.
- We view the Phase II as a pre-award action and consider the NoA to be '*pending*'.



Send JIT information if...

Your application scores within or near the published paylines or, if they're not yet established, within or near the previous fiscal year's final published paylines.

You receive a JIT email request from a grants management specialist separate from NIH's automated notification.

Don't Send JIT information if...

Your application scores significantly outside of the published paylines or, if they're not yet established, well outside of the previous fiscal year's final published paylines.

The program officer informs the PI that they are not likely to receive funding.

# Foreign Influence

- Universities are seen as national security vulnerabilities.
- Focus is on bad behavior.
- August 2018 letter to senior representatives of grantee institutions asking that they review their records for evidence of malfeasance in three areas:

## Disclosure

- Failure on part of researchers to disclose substantial contributions of resources (including from foreign governments)

## IP

- The diversion of IP to other entities including other countries

## Peer Review

- Failure by some peer reviewers to keep info from peer review confidential (including some disclosure to foreign entities)

Letters from NIH Office of Extramural Research to 66 institutions regarding approximately 200 investigators. At least 16 cases have been referred to HHS OIG.

Concerns are primarily about non-disclosure of:

- Participation in foreign talent programs/affiliations with foreign institutions.
- Substantial & related foreign grants, “shadow labs”.
- Foreign patents and start ups.

(NOT-OD-19-114)

National Institutes of Health

Release Date: July 10, 2019

No significant changes – provides clarification on  
Other Support, Foreign Components, Conflict of  
Interest Disclosures.

**Other support:** all resources made available to a researcher in support of and/or related to *all* of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant.



# Foreign – Other Support

- Lab space, materials and staff are considered resources and should be included.
- Resources received outside of UMMS should be included.

Other Support should include active, pending and other information about both foreign and domestic support. If there are any start up funds from foreign organizations, they should also be included.

- List all positions and scientific appointments both domestic and foreign held by senior/key personnel that are relevant including affiliations with foreign entities or governments.
- If there is a foreign affiliation/appointment listed on the biosketch have all resources been disclosed on other support?

Significant scientific element or segment of a project conducted outside of the united States.

Performance in a foreign location...

- NIH funded or not.
- By a researcher employed or paid for by a foreign organization, NIH funded or not.

Examples of “significant scientific element or segment”:

- collaborations with investigators at a foreign site anticipated to result in co-authorship.
- use of facilities or instrumentation at a foreign site.
- receipt of financial support or resources from a foreign entity.

# Foreign – A group effort

Research, foreign travel, collaborations, foreign funding, visiting students/scholars, export controls, conflict of interest, sponsored travel, etc.

Transparency is key at this time.

When you are unsure or in doubt, call Melissa Spragens or Teresa Zash and we can talk through next steps.

# Questions & Comments

# Resources

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-109.html>

[https://libraryguides.umassmed.edu/research\\_impact/orcid](https://libraryguides.umassmed.edu/research_impact/orcid)

<https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general-forms-e.pdf>

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-114.html>

<https://grants.nih.gov/grants/faq-other-support-foreign-components.htm#5934>