Research Administration Town Hall

02/28/2017
# FY16 Sponsored Project Activity

<table>
<thead>
<tr>
<th>College</th>
<th>Number of Applications</th>
<th>Number of Awards</th>
<th>Awarded Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture &amp; Life Sciences</td>
<td>73</td>
<td>35</td>
<td>4,197,074</td>
</tr>
<tr>
<td>College of Arts &amp; Sciences</td>
<td>222</td>
<td>118</td>
<td>5,923,430</td>
</tr>
<tr>
<td>College of Education &amp; Social Services</td>
<td>35</td>
<td>31</td>
<td>7,581,662</td>
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<tr>
<td>College of Engineering &amp; Mathematics</td>
<td>103</td>
<td>37</td>
<td>6,026,081</td>
</tr>
<tr>
<td>College of Medicine</td>
<td>554</td>
<td>265</td>
<td>90,040,010</td>
</tr>
<tr>
<td>College of Nursing and Health Sciences</td>
<td>18</td>
<td>4</td>
<td>543,241</td>
</tr>
<tr>
<td>Extension</td>
<td>78</td>
<td>59</td>
<td>10,436,743</td>
</tr>
<tr>
<td>Libraries</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Rubenstein School</td>
<td>79</td>
<td>41</td>
<td>4,288,505</td>
</tr>
<tr>
<td>School of Business</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other</td>
<td>15</td>
<td>8</td>
<td>8,946,170</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>1,179</strong></td>
<td><strong>598</strong></td>
<td><strong>137,982,916</strong></td>
</tr>
</tbody>
</table>
Timetable for the Implementation of Working Group recommendations

Recommendation: Staffing
   a. Fill vacant positions
   b. Increase salaries.
   c. Provide management training

Status
   a. One vacancy remains, the reorganization will require another position.
   b. Salary study completed and salaries have been adjusted
   c. Managerial training by Human Resources will start in February
Implementation contd.

Recommendation: Establish system that regularly and accurately communicates the status of awards

Status

a. SPA is committed to reducing the award backlog.
b. SPA tracks award process and provides information as requested.
c. Reports on all sponsored project activity and award backlog sent to Colleges monthly – Dec 2016.
d. Process improvement analysis begins – Feb. 2017
Implementation contd.

Recommendation: Increase operational efficiencies and effectiveness

Status

a. Reassigning activities that are not SPA responsibilities - review
b. Award setup review – set goals and establish and collect metrics for process improvement analysis
Implementation contd.

Recommendation: Facilitate standardization of faculty support and training about their responsibilities in submitting proposals and monitoring grant finances

Status:

a. Convening committee of Department Administrators and SPA staff to develop a needs assessment for a multi class course on research administration which may result in a certificate – Mar 2017

b. Continue to provide stand alone research administration classes for staff and faculty on a regular basis.

c. Partner with the OVPR Grant Writing Brown Bag Series – monthly

d. Meet with college and/or unit staff periodically

e. Benchmark UVM research administration to that at comparable universities
Implementation contd.

Recommendation: Annual Evaluation of SPA Status

a. Establish an Advisory Committee which will assist in developing the annual review criteria.
b. Participate in national benchmarking evaluations, ie, HURON Radius
c. Communicate regularly with other universities regarding practices and processes.
Export Controls

Export Control Regulations are a set of laws and regulations imposed by the U.S. Government on the dissemination of “controlled” technology (i.e. sensitive equipment, software and technology) to destinations or persons outside of the U.S.

Counterintuitively, an Export may occur:
- within the U.S. borders;
- visually or auditory;
- in relation to commercial goods.

Example of controlled items: IPad, Microsoft products, drones, imaging systems, GPS devices, sonar and radar systems, toxins, biological material equipment, lasers, satellites

Sensitive departments: engineering, physics, chemistry, marine and atmospheric sciences, bio-informatics, nanotechnology.
Financial Conflict of Interest

- FCOI

Before any proposal is submitted, investigators are required by law to be up-to-date:

- on their annual disclosure of outside financial interest;
- on their quadrennial training on the UVM Financial Conflict of Interest policy.

Both are completed at https://spogi.uvm.edu/UVM_COI_APP/.
USDA Responsible Conduct of Research

NSF and NIFA grant participants are required to complete a Responsible Conduct of Research training:

The Responsible Conduct of Research covers subjects such as Plagiarism, Research Misconduct, Authorship, Data Management, Research involving Human Subjects and Animal Subjects.

At UVM, the training may be completed through the CITI PROGRAM at https://www.citiprogram.org/.  

SPA Reorganization
InfoEd Upgrade

a. A major upgrade with an impact on business processes
b. We will be convening a committee of SPA staff and stakeholders to collaboratively roll out the upgrade and changes
c. We will reach out in the coming weeks
Metrics

• Ongoing reports
  • Bi-weekly report of awards, submitted applications, proposals in the works
  • Monthly summary report of Awards in the pipeline
  • Monthly report of Awards set up in our systems, Applications submitted to sponsors
  • Monthly report of Awards ending in 90 days, Awards in Advance Account, Awards under e-verify regulation, Awards with upcoming Financial Reports

• Upcoming reports
  • Monthly detailed report of awards in the pipeline
  • Monthly detailed report of outgoing subawards in the pipeline
Upcoming training sessions

• March
  • Financial Management Tools for Sponsored Projects (CPT067), 10:00 AM to 11:15 AM
  • Cost Transfer UOP & Cost Policy (SPA020), 1:00 PM to 2:00 PM ON 02/08/2017
• April
  • Essentials of the FLY America Act (POL011), 1:30 PM to 2:30 PM

• Regular training sessions
  • Introduction to SPA
  • Financial Management tools
  • SPA and outgoing Subawards
  • And others
RPO Personnel

Carol Zuiches,
Interim Associate VP for Research Administration

Donna Silver, Director

Melanie Locher
Asst. Dir. for Monitoring and Education

Nancy Heller
IRB Research Review Analyst

Gale Weld
IRB Research Review Analyst

Abbey Peterson
IACUC and IBC Research Review Analyst

Sarah Wright
IRB Research Review Analyst

Aubrie Clas
Asst. Dir. for Admin. Operations

Caleb Cousins
IT Professional

Karen Crain
Research Review Assistant

Nicholas Thompson
Research Review Assistant

Richard Del Pizzo
Information Technology Professional Senior .50 FTE RPO

Lynn Tracy, IT Professional .50 FTE RPO
Workflow Redesign

• Each analyst will be assigned to a department(s)
  • Supports all of the protocols within that assigned department
  • Owns that protocol from approval to closure
• Departments may be assigned to more than one analyst depending upon volume
• Reasons
  • Encourages in-depth knowledge of a protocol
  • Allows for a specific contact for the researcher
Compliance Training

- RPO is partnering with the Collaborative Institutional Training Initiative (CITI) Program to provide training to our research community
- Training for Human subjects went live on December 15, 2016
- Lab animals and Biosafety training are scheduled to be released to researchers this Spring
- As is the case with human subject researchers, both lab animal researchers and researchers working with biohazardous materials will now also be required to refresh their required training every three years
- Reminders will be developed to assist researchers in meeting this requirement
- Documentation of completion will be available on our website
# Electronic Submissions

## Human Subjects
- **30** coordinators are submitting electronically through InfoEd
- Roll out to remaining departments beginning 2017
- Partial Electronic Committee Review as of January 2017

## Vertebrate Animals
- **All** researchers are submitting electronically to an IACUC email box
- Electronic Committee Review
- Paperless meetings
- Protocol submission through InfoEd 2017

## Biosafety
- **All** researchers are submitting electronically to an IBC email box
- Electronic Committee Review
- Paperless meetings
- Building Smart Forms now
Single IRB Regulation

• Regulation mandates the use of one IRB in multi site protocols
• Requirement to rely on another institution for IRB review or for other institutions to rely on our IRB review for multi-site clinical research studies
• Currently rely on the National Cancer Institute Central IRB
• Applicable to any institution that receives NIH funding
• Effective September 2017
• RPO is working on preparations to be ready for this new requirement
Revisions to the Common Rule

- The Belmont Report (1978) principles govern all research supported by the US Government and is the basis for subsequent regulations designed to ensure human subjects protection
- The Common Rule (1991) was the first set of regulations developed to ensure compliance with the principles of the Belmont Report
- This is the first time the Common Rule has been revisited since 1991
- Strengthens protections for participants while ensuring that the oversight does not add inappropriate administrative burdens
- Final Rule was published in the federal register on January 19, 2017
- RPO will be digesting this new law and implementing changes where necessary
Questions?