

OSP News & Updates

Office of Sponsored Projects

8/22/2019

2019 Volume 3, Issue 4

The [OSP News & Updates](#), published by the Office of Sponsored Projects, is a bi-weekly subscription-based newsletter that provides OSP and sponsor updates and reminders, quick facts, guidance and training in all aspects of sponsored projects administration. [Subscribe to OSP News & Updates](#)ⁱ

Table of Contents

1. [Fundamental Research](#)
2. [Processing After-the-Fact Awards](#)
3. [NIH: Linking ORCID Identifiers to eRA Profiles to Streamline Application Processes and to Enhance Tracking of Career Outcomes](#)
4. [OSP Training](#)
 - 4.1. [Brown Bag Meeting](#)
 - 4.2. [Upcoming OSP Classes](#)

1 FUNDAMENTAL RESEARCH

As presented at our most recent Brown Bag meeting, information from fundamental research is excluded from export control laws ("fundamental research exclusion, FRE"). However, the FRE is NOT available when there are publication restrictions of the research results, or the prevention of foreign nationals to conduct the proposed research. Also, to the extent Yale research involves the receipt of tangible materials, computer software or technical information/data, export control issues may arise if such items and information do not fall within the fundamental research or other exemptions.

It is the University's general policy to conduct its research activities under the FRE, and therefore there cannot be any publication restrictions or restriction on foreign nationals performing the research. Also, please note that any "side agreement" with a sponsor by a PI to delay publication or to allow sponsor preapproval, also negates the FRE and will subject Yale to export control laws.

Most research grants funded by the federal government will either confirm that the program is considered fundamental research in the RFP, BAA, etc. When the award is a federal contract, particularly from DOD, DoE, or NASA, it is critical to confirm the research project as fundamental research. Often the Request for Proposals (RFP) will include information indicating if the federal government considers the contract fundamental research, but sometimes the RFP is ambiguous and asks the Principal Investigator (PI) to confirm if the work is considered fundamental research.

OSP News & Updates

Office of Sponsored Projects

8/22/2019

2019 Volume 3, Issue 4

If it is not clear that the federal government is viewing the research to be fundamental research, OSP advises your PI include a statement in the proposal clearly stating that the scope of the proposed work is fundamental research. The following sentence is an example of what can be used in the technical abstract or statement of work in the proposal: “Yale University is submitting this proposal with the understanding that it qualifies as fundamental research and does not require any export licenses. If (the Sponsor / Agency) anticipates that Yale’s conduct of the research or creation of any deliverables may be subject to export regulations or may require Yale to seek an export license, we request that the (Sponsor / Agency) notify Yale in writing.”

Some red flags you should look for at the proposal stage are the following:

- International collaborations
- Military sponsors (DoD, DARPA, Army, etc.)
- Publication restrictions
- Security clearances or other access requirements of faculty/students to work on the project
- Engagement with OFAC countries

If there are any questions, please reach out to your proposal manager.

2 PROCESSING AFTER-THE-FACT AWARDS

OSP has legal and fiduciary responsibilities to ensure that all University, sponsor, state, and federal regulations, laws, and policies are met. Therefore, all proposal submissions seeking external support for research and other sponsored projects should be submitted to the Proposal Team for review and approval prior to submission to a funding agency.

Awards resulting from proposals that have been submitted outside of the required process (after-the-fact or ATF) will not circumvent a review of the proposal and award by the Proposal and Award teams. OSP reserves the right to either accept or decline an award if the proposal submission is found to be non-compliant with University policy or if the award has terms that Yale cannot negotiate and accept (e.g. publication restrictions, etc.).

To better facilitate and standardize after-the-fact awards that come into OSP, we are asking that department business offices follow these procedures when creating an IRES record:

- Send an email to the OSP Proposal Manager notifying them as soon as possible of an Award that was received because of a proposal submitted without OSP’s approval. (For

OSP News & Updates

Office of Sponsored Projects

8/22/2019

2019 Volume 3, Issue 4

FRMS departments, copy your FRMS pre-award manager). Please be aware that gifts may look like awards. Contact your OSP proposal manager if there are any questions.

- The DBO will be required to create a PD record for the ATF proposal and include the following information:
 - a. List the deadline date as 5 business days after the day of routing
 - b. In the title section of the PD record add the phrase “ATF proposal” before the title of the project, for example: “ATF Proposal: Project to Find a Cure for Cancer”
 - c. Upload required attachments and any other information submitted to the sponsor with the proposal - using standard naming conventions
 - d. Upload the Award document

Be sure to choose “Award” as the Category

Upload File

New document New version of existing document

Name

Category

Folder

Location No file selected.

- e. Route the record for approvals as you would any other proposal

ATF proposals will be added to the Proposal or Award Manager’s regular log of work and will be addressed on a first-come, first-served basis. **Note:** The review of the proposal and acceptance of the award will not be expedited unless it is an exceptional situation.

OSP News & Updates

Office of Sponsored Projects

8/22/2019

2019 Volume 3, Issue 4

3 NIH: LINKING ORCID IDENTIFIERS TO ERA PROFILES TO STREAMLINE APPLICATION PROCESSES AND TO ENHANCE TRACKING OF CAREER OUTCOMES

Excerpted from Extramural Nexus – Open Mike – posted August 5, 2019

Enter once, reuse often. That's the mantra of [ORCID](#) (Open Researcher and Contributor Identification), a non-profit organization that promotes the use of its unique digital identifier to connect researchers with their science contributions over time and across changes of name, location and institutional affiliation.

It's a mantra that ties in well with NIH's goal of finding ways to reduce the administrative burden on investigators of entering the same information in multiple places when applying to different funding agencies. It's what propelled NIH and other agencies to develop a tool, [SciENcv](#), to enable researchers to enter their biosketch data in one place and propagate it to multiple places. A researcher can also start the biosketch in SciENcv with information from his or her ORCID profile (see [YouTube demo](#)), thanks to a neat integration between the two tools. But more on SciENcv later.

ORCID benefits researchers by providing a lifelong identifier that automatically links them to their past and recent papers, avoids the confusion caused by similar last names, enhances the discoverability of their papers and simplifies creating biosketches for grant applications (as evidenced in SciENcv).

The identifier also allows agencies like NIH to better monitor professional outcomes by tracking the progress of researchers along their career path, starting with trainees and early career scientists. By leveraging the information available via ORCID, we can be more confident about our training program evaluations and more easily obtain data to support data driven policy decisions aimed at strengthening the biomedical research workforce.

With this in mind, in fiscal year 2020, NIH, joined by CDC and AHRQ, will begin requiring individuals supported by training, fellowship, career development, and other research education awards to have an ORCID iD linked to their personal electronic Research Administration (eRA) account ([NOT-OD-19-109](#)).

This iD will be required as part of the appointment process for those appointed to institutional awards and through the application process for those applying for individual awards. Note that xTrain appointments **will not be accepted** if potential appointees do not have an ORCID iD linked to their eRA personal profile starting October 1, 2019; the same will apply to individual fellowship and career development applications submitted for receipt dates on or after January 25, 2020.

OSP News & Updates

Office of Sponsored Projects

8/22/2019

2019 Volume 3, Issue 4

As for the ORCID requirement for Ts, Ks and Fs, we expect it will benefit researchers at all career stages across the biomedical research community, as well as NIH. Leveraging ORCID will help investigators, fellows, and trainees focus on moving their innovative scientific research ideas forward, instead of spending time and effort updating federal user profiles with information already entered in other agency systems. Avoiding the need to reenter information on publications, grants, teaching responsibilities, university service, and other common CV items saves time and reduces errors. Even those early in their scientific career will benefit from sharing their ORCID profiles with others to create new collaborations.

We encourage everybody, from graduate students to senior scientists, to [register today for an ORCID account](#) (if you do not have one already) and [link it to your eRA Commons personal profile](#) to ensure a smooth transition.

4 OSP TRAINING

4.1 BROWN BAG MEETING

Join us for the September 11th Brown Bag session. [Visit the TMS Brown Bag webpage](#) to register and view the event details. Topics for next month's meeting are still in the planning phase and will be posted in TMS once confirmed.

The August Brown Bag had an almost record turnout with over 170 people attending; 64% of the survey results rated the presentations in the Useful to Very Useful categories.

Thank you to those who complete the Brown Bag surveys – we value your feedback and your comments are important to us!

Survey results are compiled and distributed to OSP team managers, the Brown Bag planning committee and BB presenters for review. Our goal is to respond to every survey question in the OSP News and Updates or at a future Brown Bag meeting; however, the challenge is that many questions are too vague, and because the survey is anonymous, we can't go back for clarification. If you have questions that go unanswered, please resend them to osp.trainings@yale.edu.

We also maintain a list of your suggestions for future topics which is reviewed when planning upcoming meetings and your ideas have resulted in excellent additions to BB meeting agendas. If anyone has a topic of interest to the RA community and would like to present at a future BB meeting, just let us know. We'd be happy to assist with preparing your presentation.

OSP News & Updates

Office of Sponsored Projects

8/22/2019

2019 Volume 3, Issue 4

4.2 UPCOMING OSP CLASSES

OSP classes are designed for Research Administrators and those in DBOs (department business offices) who manage sponsored projects. Attend a class to learn more about the issues you deal with in your office or take a refresher to stay up-to-date. [Register to attend](#) an OSP training class.

Clinical Trial Budgeting: This module provides information about industry-sponsored (non-federal) clinical trial budgeting and how to build budgets that result in the full recovery of costs. Topics covered include:

- A review of the clinical trial budget development process
- The preparation an internal budget: what can and cannot be included
- A description of associated costs and hidden costs
- Regulatory and sponsor requirements
- Consistency review across study documents
- Budget monitoring and discussion of post award activities
- Resources supporting effective clinical trial budgeting

Financial Reporting and Closeout: This course is designed for administrators responsible for the financial reporting and closeout of sponsored awards including:

- The roles and responsibilities of those involved in financial reporting and closeout
- Policies and procedures related to these functions
- University processes supporting sponsor requirements
- The closeout process cycle
- The steps necessary to properly close sponsored awards

Introduction to Sponsored Projects Administration: This course is designed to be an overview of the sponsored projects process from pre-award to post award and closeout and relevant for those who manage some part of the award process. Attendees include those new to research administration or those who would like a refresher or an overview of the entire life-cycle of an award. Topics covered include:

- Award basics and terminology
- Preparation, submission, negotiation and acceptance
- Award setup and managing an award
- Reporting obligations, award closeout and audits

ⁱ Thank you to all who have contributed to this newsletter. Please direct questions or suggestions regarding newsletter content to Tracy Coston at osp.communications@yale.edu or tracy.coston@yale.edu. Use the following link to [unsubscribe to OSP News & Updates](#). For archived issues, visit [OSP News & Updates archives](#).