

# OFFICE OF RESEARCH ADMINISTRATION NEWSLETTER

“Yale has a clear obligation to comply with all regulations pertaining to the administration of federal grants, and we will spare no effort to remedy any deficiencies in our practices.” *President Rick Levin*

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## NSF's Responsible Conduct of Research (RCR) Requirement and Beyond

On January 4, 2010, Yale University expanded its commitment to train undergraduate students, graduate students, and postdoctoral researchers in the responsible and ethical conduct of research. This commitment ensures the National Science Foundation (NSF), as required under the federal COMPETES Act, that Yale University has a plan for training those who are compensated from NSF awards, and that there is a process in place for assuring that the training requirement is completed. The University finalized its plan on January 4th. The signature of a grant and contract signing official, at the time of proposal submission, certifies to the NSF that Yale's plan is in place.

The NSF curriculum will be activated during the 2010/2011 academic year as outlined below. Note that the Graduate School of Arts and Sciences has broadened its requirements for certain Schools:

### Graduate Students Enrolled in the GSAS

- All students in the Graduate School of Arts and Sciences, regardless of their source of support, will continue to be required to complete the existing online ethics module titled “The Yale Guide to Professional Ethics” ([https://www.sis.yale.edu/pls/rcr/login\\_c\\_pkg.go\\_to\\_front\\_door](https://www.sis.yale.edu/pls/rcr/login_c_pkg.go_to_front_door)) during their first term of enrollment.
- Students will not be permitted to register for a second term without completing the online module.
- Additional RCR training requirements for specific disciplines are listed below.

### Graduate Students: Biological & Biomedical, Physical Sciences, Engineering, and Nursing

- All students in the Biological and Biomedical Sciences, Physical Sciences, Engineering, and Nursing, regardless of their source of support, will be required to complete a formal RCR course. Going forward, all new students must complete a formal RCR course during their first year of training. In most instances, the course will fulfill non-credit requirements.

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#### Contributors/Sources

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 The Office of the Provost  
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 The Office of Postdoctoral Affairs  
 Department of Health and Human Services  
 National Institutes of Health  
 National Science Foundation  
 Office of Research Administration  
 Office of Research Compliance and Education

### Did you know that...

*The legislatively mandated salary rate cap for NIH, AHRQ, and SAMHSA increased to \$199,700 effective January 1, 2010? This new salary rate should be applied to all applicable individuals and to existing and future NIH, AHRQ, and SAMHSA awards.*

## NSF'S RESPONSIBLE CONDUCT OF RESEARCH (RCR) REQUIREMENT AND BEYOND (CONTINUED)

- Departments and interdisciplinary programs will provide a course description to the Associate Dean of the Yale Graduate School of Arts and Sciences, either identifying existing courses that will be utilized to meet the School's requirement or notifying the Associate Dean of new courses tailored to meet the needs of their students.
- New students will not be permitted to register for a second year of study without completing the required RCR course.
- Completion of the RCR requirement will be noted on student transcripts.
- Beginning with the 2010/11 academic year, RCR course requirements will be listed for each program in the GSAS's Programs and Policies bulletin.

### Graduate Students: Humanities and Social Sciences

- A common course will be offered during the 2010/2011 academic year, and annually thereafter. At this time, only students compensated from NSF awards must complete this course.
- Student transcripts will record this non credit course.

*Questions concerning GSAS student requirements should be directed to Richard Sleight, Associate Dean, Yale Graduate School of Arts and Science.*

### Undergraduate Students

- Beginning June of 2010, identified students compensated from NSF awards will be required to complete a course offered in either the second week of the fall semester, the second week of the spring semester, or the first week of June.

- Undergraduates will be informed by e-mail via the Yale University Training Management System (TMS) of the required course.
- A separate module of the required course will be available for those students who are unable to attend one of the formal courses.

*Questions concerning undergraduate students should be directed to William Segraves, Associate Dean Science Education, Yale College.*

### Post Doctoral Researchers

- Beginning in the spring of 2010, identified post doctoral researchers compensated from NSF sponsored awards will be required to complete the existing postdoctoral ethics course.
- Postdocs will be informed of this training by e-mail via TMS.
- Postdocs will subsequently sign up for their course through TMS.
- The course will be offered in 8 weekly one hour sessions beginning in May and completing in June of each year.

*Questions regarding post doctoral researchers should be directed to John Alvaro, Director of Postdoctoral Affairs or Monica Vella-Angelastro, Associate Director.*

Information regarding the NSF RCR requirements will be posted to the current RCR page of ORA's website <http://www.yale.edu/researchadministration/research/index.html> and updated as additional information is received.

## Revised Disclosure Requirements for Conflict of Interest

The Provost recently accepted the recommendation of Yale's Committee on Conflict of Interest and Conflict of Commitment (Committee) that remuneration for the following external activities no longer require disclosure to the Committee:

- Remuneration for lectures or seminars sponsored by governmental or non-profit entities, including other academic institutions;

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### **Did you know that...**

*The National Institutes of Health (NIH) and the National Science Foundation (NSF) offer a free email subscription service which allows you to create a personal profile and receive alerts on a variety of topics from funding opportunities to policy changes? With a subscription profile, you automatically get the updated information on items of interest to you. In order to subscribe, please access the following websites: NIH: <http://www.nih.gov/email.htm> NSF: <http://www.nsf.gov/mynsf>*

## REVISED DISCLOSURE REQUIREMENTS FOR CONFLICT OF INTEREST (CONTINUED)

- Remuneration for book royalties, editorial activities (e.g., journal editorships or editing compilations of scholarly papers) or authorship activities (e.g., advances) from publishing companies (for profit or non-profit). Remuneration received from or funded by entities not primarily engaged in the publishing business (including providers/producers of CME, medical communications and commercial enterprises such as pharmaceutical or medical device companies) **however**, must be disclosed to the Committee; and
- Remuneration from governmental or non-profit entities (including professional associations) for service on advisory committees (including scientific advisory committees) or review panels.

In addition, as described in the article below, Yale has purchased a secure web based software module to assist faculty in the financial interest disclosure process. The ORA Newsletter will continue to keep the community apprised of developments which will include policy and process changes.

## New Technologies for The Research Enterprise

Each year Yale receives hundreds of millions of dollars in support of its research endeavors. While new funding opportunities have emerged in spite of the economic downturn, the award process remains extremely competitive. A critical element to a successful proposal to award process is consistent and timely administrative support.

### Are you aware of the system changes in support of the proposal/award process?

In May, the Office of Research Administration (ORA) will initiate the rollout of a new web-based integrated sponsored projects system designed to track proposal data, and help those involved in sponsored research manage the research submission and award process. Phased deployment is planned to occur through FY 2011.

### What are the key features of InfoEd's Conflict of Interest (COI) and Pre-award modules?

#### At-a-Glance: External Interest Reporting (aka COI) and Pre-award

Administrative Module	What it does
<b>Conflict of Interest (COI)</b>	<ul style="list-style-type: none"> <li>• Allows faculty to disclose their financial interests and external activities to the Conflict of Interest (COI) Office through a new, streamlined online form.</li> <li>• Provides notification reminders.</li> <li>• Provides for enhanced reporting for COI holds on pending awards.</li> <li>• Facilitates faster award set-up with electronic routing.</li> </ul>
<b>Proposal Tracking (PT)</b>	<ul style="list-style-type: none"> <li>• Provides a single reference point for entering, tracking and reporting of pre-award sponsored project information; replacing Yale's GPAS.</li> <li>• Provides enhanced reports necessary for many proposal submissions.</li> <li>• Standardizes electronic proposal routing and reviewing to appropriate business offices.</li> <li>• Sends alerts addressing NIH's JIT and non-competing continuation submissions.</li> </ul>
<b>Proposal Development (PD)</b> <i>(to be piloted in late spring)</i>	<ul style="list-style-type: none"> <li>• Utilizes SPIN Plus an enhanced funding search engine.</li> <li>• Sends alerts and notifications to other compliance stakeholders (IRB, HIC, IACUC, EHS).</li> <li>• Provides for system to system proposal submission accessing Grants.gov.</li> <li>• Enables departments to upload financial data as a proposal is being built.</li> </ul>

**How will these software applications impact the administration of sponsored projects?**

The University anticipates positive outcomes which will:

- Standardize data entry resulting in improved data quality
- Provide better quality assurance and departmental metrics
- Allow for pre-population of information which will reduce errors
- Assist in the tracking of proposal progress at Yale
- Assist faculty and staff in building and routing proposals
- Provide system-to-system submission of *Grants.gov* applications

**What will happen first?**

In May the COI Office and COI Committee will begin using the COI module and faculty will have access to the new simplified web-based form. In addition, the Office of Grant and Contract Administration (GCA) will begin using PT. There will be little impact on schools and departments other than access to proposal data. Proposal data and information will be made available utilizing new reporting capabilities.

**Rolling out PD**

In June GCA will pilot the proposal development (PD) module. Once the pilot is completed and evaluated, PD will be rolled out to the community in a phased approach, currently anticipated beginning in July.

Also occurring in July 2010, all schools and departments will receive access to PT. PT access will provide proposal status information and enhanced data reporting capabilities. In addition, the funding opportunities database (SPIN Plus) will be available.

Further details and timeframe of the PD pilot and subsequent phased deployment will be forthcoming. Questions regarding any of the modules described above can be emailed to the Research Enterprise team at: [ymre@yale.edu](mailto:ymre@yale.edu).

**Upcoming Research Administration Training/Educational Events****Brown Bag Luncheon Series**

- *NSF's Responsible Conduct of Research (RCR) Requirements and Beyond*

March 30, 2010

12:00 PM – 1:30 PM

Sterling Chemistry Lab (SCL), 225 Prospect Street, Room 110

- *Future topics:* Effort Reporting, Cost Transfers, Account Closeout

**Faculty Forums**

- *Writing Your First Grant*

March 31, 2010

3:00 – 4:30 PM

Anlyan Center Auditorium, N107

- *Future Topics:* Study Section Members Share Their Experiences with New Review Criteria; The Importance of Scholar Awards; Behind the Scenes at Foundations and Other Charitable Organizations, Proposal Writing for the Physical Sciences

- *Fundamentals of Sponsored Projects Administration 2-day training program:*

March 9, 2010 – March 10, 2010

9:00 AM – 4:30 PM

25 Science Park, Room 125

April 7, 2010 – April 8, 2010

9:00 AM – 4:30 PM

25 Science Park, Room 125

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## **Additional Training For Faculty And Administrators**

### **Grant and Contract Financial Administration (GCFA)**

- Allowability of Costs and Cost Transfer Principles
- Effort Reporting Principles (web-based)
- Effort Reporting System Training
- Subrecipient Basics, Monitoring and Tracking (web-based)
- What Research Staff Need to Know About Spending Sponsored Project Funds

### **Grant and Contract Administration (GCA)**

- Hands-on Clinic – Grants.gov
- Fundamentals of Export Controls (web-based)

### **Office of Research Administration (ORA)**

- Sponsored Projects Administration Training for Faculty (web-based)

*To learn more or to register for these sessions, visit <http://www.yale.edu/training/>  
Navigate to Grant & Contract Training and Click Courses under GCA and GCFA Training.*

#### **OFFICE OF RESEARCH ADMINISTRATION MISSION STATEMENT**

**To coordinate the activities of the various University offices providing support to faculty, staff and students on sponsored projects, to assure that service provided by those offices is of the highest caliber and professionalism, and to serve as an effective representative for the research enterprise at Yale University and nationally.**