

Research NOTES

Vol. 6, No. 1 October 2015

We Are Here to Help!

The Office of Research and Sponsored Programs at Lehigh University cultivates mutualism and approachability in order to foster an innovative research environment.

More specifically, we have long supported faculty, staff, and students in seeking and administering funding for research programs through grants, contracts, and other external funding opportunities. Whether it is proposal preparation, award management or answering general questions, the Contract and Grant Specialist (CGS) is the resource for pre- and post-award knowledge and support. As you embark on a new academic year and a new grant application cycle, remember that we are here to help.

A CGS in ORSP plays a key role in the University's goal of excellence in research by cultivating a supportive environment for proposal review and submission; appropriate stewardship of government and sponsor funding; and interpreting and implementing government and sponsor mandates as they affect the management of grants and contracts. Ensuring that Lehigh's researchers follow sponsor and institutional guidelines, as well as government regulations is a delicate dance. Each CGS is committed to providing the best customer service for their respective departments and faculty.

Life Cycle of a Sponsored Research Project

The life cycle is a metaphor that can

be used to describe and simplify the grant process from project proposal through award closeout with manageable steps for each phase. With respect to research administration, the life cycle of a sponsored project can be divided into three phases: Pre-Award Phase, Award Phase, and Post-Award Phase.

Pre-Award Phase includes generating the project idea, finding funding opportunities, developing the proposal and required documents, and submitting the grant application. Once the Principal Investigator (PI) identifies a grant competition of interest, he/she needs to contact the CGS via email or the online [Intent to Submit Form](#). The CGS typically plays a key role in helping the faculty member to interpret funding opportunity announcements and guidelines, and helping prepare required documents, including the budget and the final application package. The CGS serves as the Authorized Organizational Representative (AOR) of the University for all proposals, grants, contracts, subcontracts, cooperative agreements, or other agreements made with external sponsors.

The **Award Phase** begins with a written communication from the agency that the project has been funded. The PI and the CGS work together to review the scope of work, budget and payment terms, and assure they are acceptable for carrying out the project. *(continued on page 2)*

Highlights

- What's New in ORSP
- NEW! Research Café Forum
- Human Subjects Research
- Funding Opportunities

"How To"

Proposal Transmittal Form

Each proposal submitted for external funding must have the [ORSP Proposal Transmittal Form](#) with signatures indicating approval by the department chair, dean, or executive head of the faculty member applying. The purpose of the transmittal form is to: 1) ensure that the proposal, if funded, will be in compliance with relevant federal and state regulations and University policies, and 2) inform administrative officials, including department chairs and deans, of university commitments associated with the proposal which may require their action. Tips for filling out the form:

- Indicate No/Yes if your project involves [radioactive material, hazardous materials, and/or lasers](#). If Yes to any of the questions in this section, the PI of the project should contact the office of Environmental Health and Safety. The PI and any senior personnel, including students, may need to complete trainings and/or evaluation programs.
- Indicate if there are any [patents or program income](#) associated with the proposed project. A patent is a writing securing *(continued on page 3)*



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(...Here To Help continued from page 1) Often, the award is preceded by agency requests to make changes or submit additional information. Once negotiations are finalized, the award is assigned a new index number and updated in the Banner system. An Account Requirement is generated with a summary of important terms and conditions of the award and notification is sent to the PI, department administrator, and other authorized signers. This document serves as a helpful reference guide throughout the post-award phase.

The Post-Award Phase of grants management covers the day to day activities of grant monitoring and agency reporting. Cost principles of grants management are outlined in the Office of Management and Budget (OMB) Federal Register; 2 CFR Chapter I, Chapter II, Part 200, et al. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

Allowability, allocability, and reasonableness are defined and deter-

mined by the Office of Management and Budget (OMB), the sponsor's requirements in the award document and/or University policy. Each financial transaction charged against a sponsored research award is evaluated using these three concepts. A *primary* responsibility of ORSP is to insure that all costs charged to the sponsored research award are allowable and allocable. As you are developing your research program, searching for new funding opportunities, writing a grant proposal, or managing expenses for your grant; remember, we are here to help! For more information about the life cycle of a sponsored project and the Lehigh process of submitting a grant application, please send inquiries to inors@lehigh.edu.

- Heather M. Messina

Research Café Forum

This is a **new opportunity** for an open exchange among faculty members across Lehigh University. Research Café was formed in part by the aspiration of some faculty to better understand the research activities of their colleagues. Designed as a casual meeting, the agenda can be short talks or questions by colleagues; and the topics of discussion can be focused or broad. There have been two Research Café Forums so far. The most recent forum discussed boundaries and interfaces with a group from the College of Education, and Departments of Materials Science, and Biological Sciences. The next Research Café will be announced in early spring.

- Sujata Jagota

Reminders

- **OneCard (Research)**
Any expense greater than \$75 require a receipt to be uploaded. Remember to double check the Account Code being charged and Add a Description. Travel to meetings or conferences require an Agenda to be uploaded with receipts. Contact your CGS prior to making a purchase if you are unsure whether an expense is allowable.
- **Transition to Research.gov**
As part of NSF's efforts to transition from FastLane to Research.gov, a number of notifications and requests were released in Research.gov on August 24, 2015. The remaining notifications and requests will move from FastLane to Research.gov in the future.
- **NSF and Final Reports**
NSF requires that all Principal Investigators (PIs) submit a Final Report and a Project Outcomes Report within 90 days after the expiration of an award. New applications to NSF may not be reviewed if reports are overdue.

What's New in ORSP?

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Contract And Grant Specialists

Researcher's Toolbox

The Researcher's Toolbox is a great resource to bookmark on your browser! The link can be found on the Research and Graduate Studies web site or by searching "**Researcher's Toolbox**" on the Lehigh homepage. It provides contact information for all ORSP staff, standard policies and procedures, agency proposal guidelines, and other agency updates.

- ◆ Naomi Coll, NPH CPH CIP joined the staff as Manager of Research Integrity.
- ◆ Ashley Distler joined the staff as Accounts Coordinator.
- ◆ Diane Mason was promoted to Contract & Grant Specialist.
- ◆ Heather Messina, MPA CRA was promoted to Senior Contract & Grant Specialist.

If there's a topic you'd like to see covered in the next issue of Research Notes, please send a note to inors@lehigh.edu.

Conducting Research with Human Participants

Does your research involve systematically gathering data through intervention or interaction with living individuals? Is the data private or individually identifiable? Do you plan to collect human biological materials (samples)? If so, you are conducting **human subjects research** and must obtain approval from the Lehigh University Institutional Review Board (IRB) prior to starting your project.

The mission of the IRB is to protect the rights, dignity, and welfare of all human subjects who participate in research programs at Lehigh. The IRB's authority extends to all human subjects research conducted using any property or facility of Lehigh University, and under the direction of any employee, student, faculty member, or agent of the University. The IRB supports Lehigh University's dedication to excellence in research by promoting three core ethical principles of respect for persons, beneficence, and justice as discussed in the Belmont Report.

What exactly qualifies as “human subjects research”?

Research is a systematic investigation, designed to develop or contribute to generalizable knowledge. Human subjects are living individuals about whom researchers obtain data through either: 1) intervention or interaction, or 2) identifiable private information. At Lehigh, most studies involving human subjects are related to social, behavioral, or educational sciences, but some research activities involving biomedical science do take place. In these instances, additional FDA regulations may apply, and the definition of “human subjects research” is expanded slightly. Examples of common human subjects research at Lehigh University include surveys, interviews, educational tests, cognitive evaluations, comparison of classroom educational techniques, collection of biological specimens from individuals, the study of existing data or biological specimens, and test-

ing of sensors. If you are unsure if your research meets the definition of “human subjects research,” please contact the IRB.

Does my project require IRB approval?

All Lehigh faculty, staff, and students are required to conduct their projects in accordance with the University's Human Subjects Research Policy. The policy applies whether the project is sponsored or not. The policy applies to continuing education or instructional research. The policy also applies when agents of the University are involved in the recruitment of or research with human participants being conducted or overseen by individuals not affiliated with Lehigh. For example, a Lehigh faculty member may be involved only in the data analysis component of a research project being conducted by another institution, or an external organization may recruit Lehigh students to participate in a research survey. In either of these situations, the advanced approval of the Lehigh University IRB is required. If you are unsure whether the Lehigh University Human Research Subjects Policy applies to your project, please contact the IRB.

How do I submit my project to the IRB for review?

The IRB is managed through Research Integrity at Lehigh University. The following link provides more information on submitting your project for IRB review through IRBNet, the web-based IRB review system: <http://research.cc.lehigh.edu/irb>. The IRB's website includes detailed tutorials for using IRBNet. All researchers involved in human subjects research projects are required to complete the NIH's “Protecting Human Research Participants” online training. A link to the training is posted on the IRB's website. The IRB recommends submitting your project at least six (6) weeks in advance of

the anticipated research start date. Projects requiring full board review must be submitted at least four (4) weeks in advance of the next IRB meeting date. Information on full board meeting dates is posted to the IRB's website.

For more information visit the IRB website at <http://research.cc.lehigh.edu/irb>. Contact Naomi E. Coll, MPH, CPH, CIP, Manager of Research Integrity at nac314@lehigh.edu or 610-758-2985.

- Naomi E. Coll

(...Transmittal Form continued from page 1) a term of years for the exclusive right to make, use, or sell an invention. The Office of Technology Transfer (OTT) at Lehigh manages, protects and licenses to industry, the intellectual property developed and created at Lehigh. It's important to consider protecting your ideas and possible inventions at the pre-award phase.

- Indicate the building name(s) and room number(s) where the research is to be performed. (ie. ORSP, Rm 100). This informs administrative personnel of the space needed to perform the research, and allows time to plan if additional space is needed.

- Indicate the plan for indirect cost distribution. This section is often overlooked or left blank, and is very important to clarify at the proposal stage. Each section department and center/institute and PI/CoPI must equal 100%. For example if there is one PI and one CoPI, and one department the distribution could be 50%/50%, and 100% respectively.

The ORSP Proposal Transmittal Form is a summary of key information found in a proposal submitted to an agency for external funding. For more information contact Jane Lenner at jll3@lehigh.edu.

Opportunities for Research Funding

Internal Lehigh Funding

Faculty Research Grants (FRG) provide funding of up to \$6,000 to proposals that are likely to enable development of a new research focus, expand applicants' research programs beyond their current scope, or enable ongoing programs to have expanded impact. Fall 2015 submission deadline was Friday, October 9, 2015.

Accelerator Grants provide up to \$100,000 over a two-year period to teams of Lehigh investigators in developing multi-investigator research programs in particularly promising research areas. Teams are expected to use these grants to broaden and quicken their access to extramural support, at levels that enable them to sustain highly productive multi-investigator programs. Fall 2015 letter of intent deadline was Friday, October 16; with a full proposal submission deadline of 5 PM Friday, October 30, 2015.

Faculty Innovation Grants (FIG) provide up to \$25,000 in funding for faculty members who are establishing new research projects, taking existing research in a promising new direction, or otherwise expanding existing programs beyond their current scope. Generally, it is expected that award-ees will complete the project within a 12-month period. Spring 2016 submission deadline is 5 PM Friday, February 12, 2016.

Collaborative Research Opportunity (CORE) Grants provide up to \$60,000 to support establishment and growth of productive and competitive multi-faculty research programs. The CORE program is part of Lehigh's strategy for building a vital research portfolio that is responsive to the grand challenges of society. The challenges are complex, and thus best addressed by teams incorporating combinations of knowledge, skills, and perspectives. The Spring 2016 submission deadline is 5 PM Friday, March 25, 2016.

National Science Foundation (NSF) Funding

Innovation Corps Teams Program (I-Corps Teams) aims to develop and nurture national innovation by helping discoveries from fundamental research become new technologies that benefit society. Submission windows are six months January 1, 2016 through March 15, 2016. The purpose of the NSF I-Corps Teams grant is to give the project team access to resources to help determine the readiness to transition technology developed by previously-funded or currently funded NSF projects.

Major Research Instrumentation (MRI) Program provides opportunities for organizations to acquire major instrumentation that supports research and research training goals, and/or may be used by other researchers regionally or nationally. The MRI proposal may request support for the Acquisition (Track 1) or Development (Track 2) of a single research instrument. One requirement is non-federal cost sharing of precisely 30% of the total project cost. This is a limited NSF submission in which only 3 proposals can be submitted from Lehigh, with at least one required to be Development (Track 2). An idea exchange was hosted on October 12, 2015; followed by an internal white paper deadline of November 16, 2015. The deadline for full proposals to NSF is January 13, 2016.

The NSF Research Traineeship (NRT) Program is designed to encourage the development and implementation of new, potentially transformative models for STEM graduate education. This is a limited NSF submission with two tracks this year 1) Traineeship with a focus on Data Enabled Science and Engineering (DESE), and 2) Innovations in Graduate Education (IGE). The IGE track supports test-bed projects with high potential to enrich, improve, and ex-

tend the knowledge base with attention to innovation. For both tracks, strategic collaboration with the private sector is strongly encouraged. The internal Lehigh review process began September 21 and ends October 26. The letter of intent is due to NSF by December 22, 2015 with a full proposal due February 22, 2016.

National Institutes of Health (NIH) Funding

NIH Research Project Grant Program (R01) provides support for health-related research and development based on the mission of NIH. Applications for an R01 award are not limited in dollars but need to reflect the actual needs of the proposed project. R01s are most often investigator initiated in response to either an R01 Parent Announcement or a program announcement highlighting particular scientific areas. Upcoming standard due date is February 5, 2016.

NIH Academic Research Enhancement Award (AREA) Parent (R15) strives to strengthen the research environment of the institution and expose students to research. The project period is limited to three years with direct costs limited to \$300,000 over the entire project period. Upcoming standard due dates are October 25, 2015 and February 25, 2016.

Many of these funding opportunities are offered each year around the same time. **For more information** on any of the upcoming funding opportunities please visit <https://research.cc.lehigh.edu/finding-funding> or search "**Finding Funding**" on the Lehigh University homepage.

- Sujata Jagota