Office of Research and Sponsored Programs

Research Notes

Vol. 3, No. 2 June 2012

Message from the Director

The 2011-2012 academic year has been an interesting year for the research stem, with both accomplishments that we can check off our "to do" list and challenges that still remain.

RCR Compliance
The Responsible Conduct of Research (RCR) requirements of NSF and NIH continue to remain a bit of a challenge for the campus community. Please take the time, if you and your project personnel are affected, to complete the RCR training on CITI as soon as possible. I encourage you to contact your Contract and Grant Specialist if you are unsure whether you are required to complete RCR training, to avoid suspension of your project and related expenditures.

Summer Effort
A new policy was enacted for all faculty regarding summer compensation. This summer of 2012 will be its maiden voyage. We are hoping for smooth sailing! See ***http://www.lehigh.edu/~inprv/pdfs/SummerCompensationPolicyfinal-Jan2012.pdf***

One Card
We have all been trained and received our One Cards for research expenditures. With the implementation of any new system, challenges still remain as we work through the many different spending scenarios, but there are three important things to remember each month: 1) Always **keep and upload every receipt** for expenditures over $24.99, 2) always **provide an explanation** of the reason for the expense, and 3) always remember to **change the index from the default** (your IF) to the appropriate research index. You only have a small window of time to review your expenses, and once the approval period starts, you can upload receipts but you can no longer make changes.

Electronic Research Administration (ERA)
The ORSP is initiating a needs assessment as the beginning stage of evaluating System-to-System Application for ERA. We will be seeking participants from a diverse users group in the hope of developing a comprehensive needs assessment to assist in the identification and evaluation of commercially available System-to-System applications that best meet our collective needs.

New Department Assignments
With the arrival of Joel and Heather this year, ORSP has made some changes in department assignments. See our web page at ***http://research.cc.lehigh.edu/content/cgs***. An email will also be sent to those departments who will experience a change.

ORSP Personal Achievements
Finally, two CGSs walked away with diplomas in May. Nicole Corali received her MBA from Lehigh, and Heather Gazella received her MPA from Marywood University. Nicole also passed a rigorous test this past December to become a Certified Research Administrator, as did Troy Boni and Dolores Rice. Congratulations to all!

Tom Meischeid

New Research Website launched

The *Office of the Vice President and Associate Provost for Research and Graduate Studies* has refreshed and revitalized the research website for a new look that coordinates with Lehigh's overall theme. The new site, ***research.cc.lehigh.edu/***, features:

- One stop shopping for the research grant funding process, from searching for grants to award management; and
- Resources for developing research programs and academic community at Lehigh.

Please let us know what you think! Email ***invprsch@lehigh.edu*** with any comments or suggestions.

OneCard Takes Off

So, you've made it through another academic year and you're ready to take off to do research and attend conferences. Here are just a few important reminders when using your OneCard to pay for research expenses. Stay tuned to the Fall edition of *Research Notes* for a more in-depth review of the OneCard system.

- Want your charge to remain on your incentive fund? Use the departmental – not the research – card to incur the expense.
- Expedite the approval process by loading your receipts as one pdf file organized right-side up, in the same order as the statement.
- Did you enjoy a glass of wine (or another alcoholic beverage) with your dinner? Your best bet is to pay for the wine with cash, but if it slipped your mind and got charged to the OneCard, don't forget to split the transaction and mark the wine as a personal expense.
- Remember to **change the default index number** for every transaction.

Nicole Corali

Research Reminder

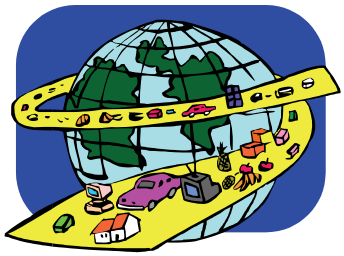
Remember that the "Fly America Act" applies to all Federal grants. You must book all travel on U.S. airlines.

LEHIGH UNIVERSITY

Office of Research and Sponsored Programs
526 Brodhead Avenue 23B
Bethlehem, PA 18015-3046
(610) 758-3021 inors@lehigh.edu
http://research.cc.lehigh.edu/contact-orsp

Export Controls

More than a few research projects at Lehigh are implemented through contracts (as opposed to grants or cooperative agreements – see *Research Notes, Vol. 3 No. 1* for an explanation of the difference)—and often, those contracts include clauses that are aimed to enforce Export Controls. Faculty members who engage in research contracts that include export control regulations should be especially alert to the potential dangers that go along with agreeing to abide by these regulations. Case in point is the professor who took a laptop to China and earned himself four years in prison. Of course, there is much more to that situation, but it underscores the serious implications of certifying to export control regulations.



What is considered an Export?

- The physical transfer of tangible items outside the U.S.
- Electronic or digital transfers of software or technical data outside the U.S.
- Release or disclosure of software or technical data to any foreign person by email, Internet, phone/fax, in-person (oral) communication or visual inspection
- Application of technical data outside the U.S.
- Re-export: transfer of a U.S.-origin item, software, or technology from one foreign country to another
- Deemed export: transfer of technology or technical data to foreign nationals in the U.S. is "deemed" an export to their country.

Who Controls Exports?

1. The Office of Foreign Asset Control (OFAC) in the Treasury Department, through foreign asset control regulations

2. The Bureau of Industry and Security (BIS) in the Commerce Department through EAR: Export Administration Regulations

3. The Directorate of Trade Controls (DTC) in the State Department through ITAR: International Traffic in Arms Regulations

How is Lehigh affected?

Export controls may restrict 1) the ability of foreign students or researchers to participate in projects; 2) the ability to provide training or services to foreign persons; 3) the ability to send equipment, technology or software to foreign countries; and 4) the ability to collaborate with foreign researchers.

How can we avoid trouble?

The easiest way to avoid export control regulations is, first, not to agree to a contract that includes such language. As a university, Lehigh can often claim a "fundamental research" exclusion, a "public domain" exclusion, and/or an education exclusion. An accredited institution of higher education's main purpose is to broadly disseminate knowledge to all, and to conduct basic and applied research in science and engineering—and in order to do so, our information and interactions must be open and accessible.

Sometimes, however, especially in the case of defense contracts, the PI and ORSP find that in order to participate in the project, we must accept a contract that has export control language in the terms and conditions that are "flowed down" from the prime awarding agency. In that instance, the PI who is governed by export controls should be vigilant in his/her hirings, collaborations, and travels throughout the entire project period. The nationality of the involved persons or the countries to be visited is key to determining whether or not the EAR/ITAR are in effect, and whether a license should be obtained for release or transfer of the item to be exported.

For a more information on export controls, see ***http://www.bis.doc.gov/licensing/exportingbasics.htm*** and ***http://www.exportcontrol.org/links/1373c.aspx*** or contact ORSP or the office of the general counsel.

Dolores Rice

12 Reasons why proposals aren't funded

1. Proposal was not responsive to solicitation or failed to follow RFP guidelines.

2. Proposal not organized into sections requested in RFP.

3. Topic was not a priority to sponsor or not likely to provide new information.

4. Research question, design, or method was traditional and offered nothing new or innovative.

5. Proposed methods or scientific procedures are unsuited to stated objective.

6. Investigator did not have adequate experience or training for this research.

7. Description of project or study design was too vague, unclear, or incomplete.

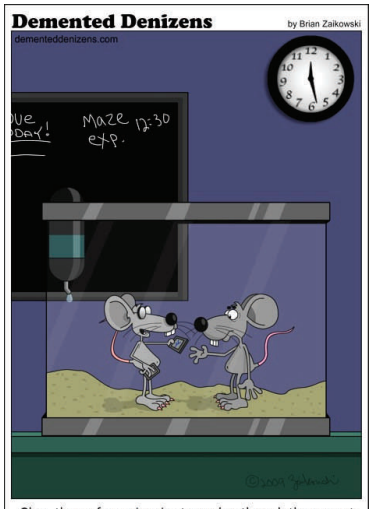
8. In literature review or background section, sources were out of date or overlooked important previous studies.

9. Costs seemed greater than benefit or it was unclear who would benefit from research.

10. Rationale for choosing approach to solution of the problem was missing or not well thought out.

11. Proposal was hard to read, used sweeping generalizations and jargon, or was repetitive.

12. Proposal contains typos, poor grammar or writing, or other mechanical errors, showing inattention to detail and quality of work.



Okay, the professor is going to send us through the maze at 12:30. I want to make him happy, so here is your GPS unit.

Department of Homeland Security Science & Technology Directorate

Broad Agency Announcement

The following funding opportunity—a Broad Agency Announcement from the Department of Homeland Security Science & Technology Directorate—is currently open for proposals until ***December 31, 2012.*** The award size in not specified and is determined on a case-to-case basis.

White papers are required and full proposals may be invited based on these. Through this solicitation, the agency will support specific areas of research and therefore, it is recommended (though not mandatory) that interested PIs contact the relevant program officers through the web portal for pre-submission inquiries.

Information on Pre-Submission Inquiries (from BAA):
A pre-submission inquiry is optional. The LRBAA webpage has a submission portal specifically for pre-submission inquiries. Through this portal only, you may submit a brief treatment of your idea and receive general feedback on it. Inquiries emailed directly to divisions will not be considered. S&T personnel can indicate whether an idea appears to be within the scope of the division's interests and this LRBAA. S&T personnel cannot assist in the preparation of a White Paper, nor can they propose any ideas they would like offerors to address. However, regardless of the feedback you receive, you may still submit a White Paper.

Go to ***https://baa2.st.dhs.gov*** and click on the following links: (1) Current Solicitations; (2) LRBAA 12-07; (3) Pre-Submission Inquiry. This will take you to the online pre-submission inquiry portal. You will be asked to identify a topic area to ensure it is routed to the correct division and individual(s).

Eight Areas of Interest:
1. Border and Maritime Security
2. Chemical and Biological Division
3. Cyber Security
4. Explosives Division
5. First Responder Group
6. Infrastructure Protection and Disaster Management
7. Human Factors/Behavioral Science
8. HSARPA/Innovation

Seven Steps to Writing a Data Management Plan

Since January 2011, the National Science Foundation (NSF) has required a supplementary two-page document labeled "Data Management Plan." The document is required to show dissemination and sharing of research results is consistent with the NSF policy (AAG Chapter VI.D.4). *But why is it important for each project and what should be included?*

As an investigator it is important to share your research data with the scientific community, provided that it includes remarks for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights and requirements. "NSF advocates and encourages open scientific and engineering communication. NSF expects significant findings from research it supports to be promptly submitted for publication, with authorship that accurately reflects the contributions of those involved" (AAG Chapter VI.E.1). The Office of Management and Budget (1999) defines "data" as "the recorded factual material commonly accepted in the scientific community as necessary to validate research findings."

In writing a Data Management Plan:[1]

Step 1: Collection – Name the person(s) who will be responsible for collecting data throughout the project. Describe the data to be collected during the proposed project period. Name the type of data, the instrument or approach, and the sampling design. Indicate the estimated data total and how it will be interpreted. Describe any quality control measures that will be in place.

Step 2: Processing – Describe how you plan to process the raw data. Describe how the data will be transmitted from the field to the institution, and how it will be secured and stored.

Step 3: Analysis – Describe in general any statistics that will be run against the data for quality assurance, and mention the names of analytical packages (ie. SAS, SPSS...etc).

Step 4: Documentation – Describe how you plan to document your benchmarks during the research project, who will be in charge of documentation, and what the content standard will be.

Step 5: Products – Describe the data or other end products you will be making available as a result of the research. *This is an important part of the plan.

Step 6: Policy – Describe the policies under which these data will be made available, and how you plan to deal with privacy and other sensitive data issues. *This is an important part of the plan.

Step 7: Archival – Describe how and where you will make the data available to the scientific community. You may also describe the costs associated with making your data available (as described in the budget), and the institutional department where your data will be archived/registered (ie. Office of Technology Transfer).

You should also make NSF aware of unusual circumstances that require special handling, including: proprietary or other privileged information in the proposal, matters affecting individual privacy, required intergovernmental review for activities that directly affect state or local governments, or possible national security implications. Finally, check for data management requirements and plans specific to the application Program, Division, Office, Directorate, or other NSF unit. These are available at ***http://www.nsf.gov/bfa/dias/policy/dmp.jsp***.

[1] *Brunt, James. "How to Write a Data Management Plan for a National Science Foundation (NSF) Proposal" February 17, 2011. Published on LTER Intranet (http://intranet2.internet.edu)*

Heather Gazella

Opportunities for Research Funding

Foundations

SEPTEMBER

American Council of Learned Societies—*www.acls.org*
ACLS Fellowships (and others)
Award Amounts: $35,000-$60,000
Fellowships support for academic research in the humanities and humanities-related social sciences

John Simon Guggenheim Memorial Foundation—*www.gf.org*
Guggenheim Fellowships
Award Amount: Variable
Recognizing exceptional capacity for productive scholarship or creativity in the arts.

OCTOBER

Whitehall Foundation—*www.whitehall.org*
Award Amounts: $30,000-$75,000/year
Support for basic research in neurobiology

United States Institute for Peace—*www.usip.org/grants-fellowships*
Award Amounts: $50,000-$120,000
Conflict management, international peace and security, and peace-building.

American Cancer Society —*www.cancer.org*
Research Scholars Grants
Award Amount: up to $800,000
Grants support early-career investigators engaged in innovative cancer research.

American Philosophical Society—*amphilsoc.org*
Franklin Research Grants
Award Amount: $1,000-$6,000
Small grants for research leading to publication in all areas of knowledge.

Chiang Ching Kuo Foundation—*www.cckf.org.tw*
Award Amount: $30,000-$40,000
Support for research on Chinese Studies in the humanities and social sciences.

Kathy Zimmerman

Internal Funding Opportunities

Faculty Research Grants (FRG): October deadlines

Government Funding Opportunities

NSF Highlights

For a complete listing of NSF Opportunities available throughout this period, go to: ***www.nsf.gov/funding/pgm_list.jsp?org=NSF&ord=date***

CAREER Grants for Tenure track faculty – need to be pre-tenure Assistant Professors *Deadlines:* July 23-25

DOE Highlights

The following are Requests for Information (RFI) that do not constitute Funding Opportunity Announcements (FOA).

Advanced Technologies for Robust Control of Energy Storage*, *Deadline for concept paper: TBD. The purpose of this RFI is to seek input from researchers and technologists of various backgrounds and representing a broad range of fields and disciplines, with the goal of evaluating novel approaches to providing diagnostic, prognostic, and control capabilities to significantly increase performance and accelerate adoption of energy storage systems. The information may be used by ARPA-E in support of program planning.

Chemo/electro-autotrophic Synthesis of Liquid Fuels at Scale*, *Deadline for concept paper: TBD. The purpose of this RFI is solely to solicit input for ARPA-E consideration to inform the possible development of future chemo/electro-autotrophic fuel production programs. Views are sought regarding various microbial systems, energy assimilation strategies, bioreactor development, scaling parameters, fuel/fuel precursor products, and cost of fuel/fuel precursor products, overall cost of program development and path to market adoption.

NIH Highlights

The NIH Common Fund Programs: ***commonfund.nih.gov/initiativeslist.aspx.*** The NIH Common Fund supports cross-cutting, trans-NIH programs that require participation by at least two NIH Institutes or Centers (ICs) or would otherwise benefit from strategic planning and coordination. The requirements encourage collaboration across the ICs while providing the NIH with flexibility to determine priorities for support. To date, the Common Fund has been used to support a series of short term, exceptionally high impact, trans-NIH programs known collectively as the ***NIH Roadmap for Medical Research***.

High Risk Research: ***commonfund.nih.gov/highrisk/index.aspx***. Announcements for 2012-13 programs expected in Fall 2012. To enhance support for **High Risk-High Reward research**, the Common Fund has created four unique funding opportunities for scientists with exceptional creativity who propose highly innovative approaches to major contemporary challenges in biomedical research: NIH Director's 1) Early Independence Award; 2) New Innovator Award; 3) Pioneer Award; 4) Transformative Research Award.

Department of Homeland Security Science & Technology Directorate: Broad Agency Announcement (BAA) open for proposals until December 31, 2012. See page __ for article.

Limited NSF Submissions

Due August – October: ***Major Research Instrument (MRI)*** Program: Institutional Limit 3.

Sujata Jagota and Pam Wheat