AGENDA

• Welcome
• Announcements:
  • Financial Operations and Planning – Grant Triage Group
  • DAR – Office of Corporate and Foundation Relations
  • Research Dev & Support Office – Foreign Influence
  • SPA – Introduction of New Staff Members
• Training Tidbit
  • Award Closeouts – Best Practices
• Next Meetings
• Q&A
FINANCIAL OPERATIONS AND PLANNING

Eric Bymaster
GRANT TRIAGE GROUP

• Update on progress of the creation of the Grant Triage Group
OFFICE OF CORPORATE AND FOUNDATION RELATIONS (CFR)

Mission and Work
MISSION

To secure corporate and foundation funding for Vanderbilt University by fostering internal and external relationships and developing competitive proposals that lead to philanthropic impact on research, teaching, and service.
NIH Budget Continues to Shrink in Real Terms
17% decline in real $ since peak in 2004

Fed Fiscal Year (Oct-Sept)

<table>
<thead>
<tr>
<th>Compound Annual Growth Rate</th>
<th>Nominal</th>
<th>Real (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>20-yr</td>
<td>4.6%</td>
<td>1.5%</td>
</tr>
<tr>
<td>10-yr</td>
<td>2.3%</td>
<td>(0.1)%</td>
</tr>
<tr>
<td>5-yr</td>
<td>4.3%</td>
<td>2.3%</td>
</tr>
</tbody>
</table>

$11.4

$18.2

$37.1

36% nominal increase since 2004
12% real decline since 2004

(1) Based on 2018 and 2019 projected BRDPI (Biomedical Research and Development Price Index)
OUR TEAM

• **Dinessa Solomon**, Executive Director
• **Aaron Conley**, Senior Director
• **Janice Ascano, PhD**, Director for Scientific Research
• **Kimberly Berry**, Director
• **Christopher Griffin**, Director
• **Karissa Womack**, Associate Director
• **Barry Puckett**, Development Coordinator
• **Margaret Sharbel**, Administrative Assistant
• **Katherine Beall**, Administrative Assistant
WHAT WE DO

Our office works in partnership across campus to provide non-overlapping services in the private grant space to increase the number of applicants/applications, their competitiveness, and the number of private awards.
VANDERBILT PARTNERS

- University Leadership
- Office of the Vice Provost for Research
- Sponsored Programs Administration
- Unit-based Grant Management Teams
- Center for Technology Transfer and Commercialization
- Office of Contract and Grant Accounting (OCGA)
MAIN ACTIVITIES

• Identify potential corporate and private foundation funders
• Create new relationships and steward existing partnerships
• Work with leadership, faculty, centers, and cores to develop fundraising plans
• Facilitate team science collaborations and strategize about big ideas
• Strategic proposal development
• Facilitate endorsement letters from senior campus leaders
• Assist with award processing for unconditional grants
• Develop stewardship strategies for funded projects
CFR FUNDRAISING APPROACHES

- Distribute and respond to open RFPs
- Limited submission opportunities
- Relationship-based solicitations
## CFR SUCCESSES

### FY2019 for the CFR team

<table>
<thead>
<tr>
<th></th>
<th># of Solicitations Submitted</th>
<th># Approved Solicitations</th>
<th>Total Giving</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>113</td>
<td>28</td>
<td>$8,229,422</td>
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</table>

### Supported Foundations

- Chan Zuckerberg Initiative
- Edward Mallinckrodt, Jr. Foundation
- Whitehall Foundation
- Alfred P. Sloan Foundation
- The Leona M. and Harry B. Helmsley Charitable Trust
- Research to Prevent Blindness
HOW WE CAN HELP YOUR FACULTY

• Research individualized funding opportunities
  • Create a calendar for long-term planning

• Strategic proposal development
  • Line by line grammar/sentence structure edits
  • Feedback on alignment with funder guidelines and review criteria
  • Scientific feedback
HOW WE CAN HELP YOUR FACULTY

• Provide institutional knowledge regarding the funder and previous successful submissions

• Lead communication with the funder
  • Set up phone calls or visits with funders for initial questions and project feedback
  • Request information / ask questions for clarification

• Proposal attachment needs (including coordinating with multiple PIs)
HOW CAN WE BEST PARTNER?

• Set up quarterly or bi-annual meetings with our team
  • Discuss and check-in about how we can integrate with your efforts and how our efforts can integrate with yours

• Communication in both directions when faculty decide to move forward with a private submission
  • Request our assistance
    • Proposal development
    • Chancellor / Provost / Dean Letters

• Help us understand which faculty will be in need of funding (RO1 ending soon, etc.)
FEEDBACK AND QUESTIONS

• How can we best integrate to coordinate our efforts?

• What recommendations or feedback do you have regarding additional trainings, or information that could be helpful?

• Other recommendations or questions?
CONTACT

General email: vucfr@vanderbilt.edu

dinessa.r.solomon@vanderbilt.edu

aaron.conley@vanderbilt.edu
RESEARCH DEVELOPMENT
AND SUPPORT OFFICE

Liane Moneta-Koehler
RESEARCH DEVELOPMENT AND SUPPORT OFFICE

• Update on Foreign Influence topic
SCIENCE AND SECURITY

Compliance in the Wake of Foreign Influence Concerns
BACKGROUND AND OVERVIEW
WHICH OF THESE STATEMENTS ARE FAMILIAR

- Foreign Influence
- Talent programs
- National Defense Authorization Act
- Jason Report
- NIH Dear Colleagues Letter
GENESIS OF THE TOPIC

Congressional Testimony by FBI Director Christopher Wray called China “the broadest, most significant” threat to the nation and said its espionage is active in all 50 states.
Feb. 2018

2019

20 Aug. 2018
Francis Collins’ Dear Colleague Letter dated August 20, 2018
• NIH Advisory Committee to the Director (ACD) Working Group on Foreign Influences on Research Integrity
• NIH targeted letters to institutions
August 21, 2018

Dear Colleagues:

For many decades, the National Institutes of Health (NIH) and institutions like yours have participated in productive partnerships that greatly advance biomedical science. Scientists at universities and academic medical centers, supported by NIH, have made seminal biomedical discoveries that have led to dramatic improvements in human health. The scientists whose work NIH is proud to help support come from all over this country and the world, bringing rich, diverse perspectives and backgrounds to the biomedical research enterprise.

The NIH-funded biomedical enterprise depends on a competitive system, which, to be successful, must be fair, transparent, and trustworthy.

Unfortunately, threats to the integrity of U.S. biomedical research exist. NIH is aware that some foreign entities have engaged in systematic programs to influence NIH researchers and peer reviewers and to take advantage of the long tradition of trust, fairness, and excellence of NIH-supported research activities. This kind of inappropriate influence is not limited to biomedical research; it has been a significant issue for defense and energy research for some time. Three areas of concern have emerged:

1. Diversion of intellectual property (IP) in grant applications or produced by NIH-supported biomedical research to other entities, including other countries;
2. Sharing of confidential information on grant applications by NIH peer reviewers with others, including foreign entities, or otherwise attempting to influence funding decisions; and
3. Failure by some researchers working at NIH-funded institutions in the U.S. to disclose substantial resources from other organizations, including foreign governments, which threaten to distort decisions about the appropriate use of NIH funds.

NIH is working with other government agencies and the broader biomedical research
<table>
<thead>
<tr>
<th>Communication and Awareness:</th>
<th>Opportunities where existing procedures are in place but in need of education, clarification, or increased attentiveness;</th>
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<tbody>
<tr>
<td>Risk Mitigations:</td>
<td>Opportunities for change or enhancement of existing tools that safeguard research integrity; and</td>
</tr>
<tr>
<td>Monitoring, Actions, and Consequences:</td>
<td>Opportunities for ongoing monitoring, verification, trust-building, and remediation.</td>
</tr>
<tr>
<td>Evaluate existing policies and forms and make explicit what must be reported as other support</td>
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*Ensure that instructions are communicated to recipient organization support staff and investigators by adding specific instructions e.g. explicitly state in application instructions that applicants should specify foreign support, conflicts of commitment, and gifts.*
Recommendations:

1. The scope of expectations under the umbrella of research integrity should be expanded to include full disclosure of commitments and actual or potential conflicts of interest.

2. Failures to disclose should be investigated and adjudicated by the relevant office of the NSF and by universities as presumptive violations of research integrity.

3. NSF should adopt, and promulgate to all stakeholders, project assessment tools that facilitate an evaluation of risks to research integrity for research collaborations.

4. Education and training in scientific ethics should be expanded.

5. NSF should support reaffirmation of the principles of NSDD-189, which make clear that fundamental research should remain unrestricted to the fullest extent possible.
NATIONAL DEFENSE AUTHORIZATION ACT FY 2019

SECTION 889. PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT

• The head of an executive agency may not enter into a contract with an entity that uses covered telecommunications equipment or services as a substantial or essential component of any system.

SECTION 1286. INITIATIVE TO SUPPORT PROTECTION OF NATIONAL SECURITY ACADEMIC RESEARCHERS FROM UNDUE INFLUENCE AND OTHER SECURITY THREATS.

https://www.congress.gov/bill/115th-congress/house-bill/5515/text#toc-F98ABB1E47F407A86D0E399DD9C0FDB
CONFRONTING RUSSIA, CHINA AND OTHER THREATS

• Prohibits purchase of Chinese Drones
• Interagency working group under OSTP to coordinate activities related to foreign influence
• Creates a new reporting requirement for national security academic research
• Creates new STEM fellowships
• Defense Science Board study on emerging biotechnologies
• Commissions a National Academies study to review the state of defense research at HBCUs and MSI's

Example: China’s 1000 Talents Program

- Initiated in 2008, the program has recruited over 7000 scholars
- Participants have a contractual agreement with foreign government
- Incentives for transfer of IP or technology
- Transfer agreements are one-way
- Often required to recruit others
MD ANDERSON

• MD Anderson dismissed several faculty in response to NIH letter

UNIVERSITY OF FLORIDA

• Four UF faculty members were found to have ties with foreign recruitment programs

HARVARD UNIVERSITY

• Dr. Charles M. Lieber, Chair of Harvard’s department of chemistry and chemical biology

• Harvard University Professor accused of hiding membership in China’s 1000 Talents Program
China’s Top Priorities

1. Core Electronic Devices, High-End Chips, and Basic Software Parts
2. Large-Scale Integrated Circuit Manufacturing
3. Next Generation Broadband Wireless Mobile Communications
4. High-End Machine Tools and Manufacturing Equipment
5. Large-Scale Oil and Gas Fields Development
6. Large-Scale Advanced Pressurized Water Reactor
7. Water Pollution and Control
8. Genetically Modified Organisms
9. Major New Drug Development
10. Major Infectious Disease Prevention and Cure
• Disclose Foreign Components on proposals, progress reports and final technical reports.
  • Yes to “Does this project involve activities outside of USA?” on the cover page.
  • Identify and list non-US performance sites for the project.
  • Identify international collaborators and their roles.
  • Contact Sponsored Programs Administration to correct errors if any.
• In Other Support, disclose all sources of financial support for all research activities.
  • in-kind resources that are uniquely available to key personnel (office/laboratory space, equipment, supplies, employees) including those available outside the applicant institution.
  • Funds outside of appointment period, such as summer research funding.
  • Report at the time of applicant submission, in progress reports, and other times, if there are substantive changes.
• In the Biosketch, key personnel must disclose affiliations or appointments that are likely to be cited in NIH-funded publications
NSF

Required June 1, 2020

- **NSF-Approved Format for Current and Pending Support**
- Include in-kind support, such as office/laboratory space, equipment, supplies, employees, students
- **NSF-Approved Format for the Biographical Sketch**
- Include all appointments, such as any titled academic, professional, or institutional position, whether or not remuneration is received
The DoD Notices of Funding Opportunities (NFOs) issued after April 19, 2019 require extensive information on current and pending projects (DoD funded or otherwise) for all key personnel (not just the PI and Co-I)

- A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source
- Title and objectives of the other research projects
- The percentage per year to be devoted to the other projects
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded
- Name and address of the agencies and/or other parties supporting the other research projects
- Period of performance for the other research projects
DOE recently changed a policy to remove the exemption to universities from needing approval for foreign national access to DOE information.

- The order applies to all research grants including at academic institutions
- Limited to recipients from four countries of concern—North Korea, Iran, China, and Russia.
- Vanderbilt is currently working on ways to support researchers impacted by this change.
DISCUSSION TOPICS

• In-kind contributions
• Student funding added to current and pending support
• Support from foreign governments - probing to find all sources of funding
Vanderbilt University is committed to international collaboration – with diverse students on campus, renowned faculty, visiting colleagues, and collaborators abroad. Big research questions often demand global approaches. We provide the below guidance to help ensure that all research activities also comply with laws and regulations to protect U.S. interests and our researchers from inappropriate foreign influence.
ANY QUESTIONS?
SPA INTRODUCTIONS

Michelle Wachter and Abby Regan
SPA INTRODUCTIONS

• Introduction of the new staff members in the SPA office
Drop in & ask us questions!
All SPA Teams represented

Next SPA Office Hours
- March 18th at 11am
- Baker 800 – Large Conference Room
SPA

Website: Contact Us page

- Proposals & Awards
- Contracts & Subcontracts
- Training
TRAINING TIDBIT
Award Closeouts
Michelle Vazin/Tanya Paul
AWARD CLOSEOUTS

Best Practices:

• Review Charges Regularly throughout the life of the award
• Proactively change costing on projects that will be ending before end date
• Work closely with departmental/local FUMs and HCM specialists to get corrections made as timely as possible
• Ensure closeout information is communicated and approved by the PI
AWARD CLOSEOUTS

Best Practices:

- Work with OCGA and SPA during the closeout period following the award end date to finalize all numbers and get required reports submitted to sponsors.

- If workpaper adjustments are needed to encumber for the final, the department must process the required transactions to get all expense properly recorded in a timely manner. Evidence of pending costing adjustments must be submitted with the closeout information.
AWARD CLOSEOUTS

Validate Costs on the Award:

1) Pull HCM Costing Detail Report by Project to verify salary costs and ecrt information

2) Pull Award and Project BVAs to review total project costs for the award

3) Identify any costs that have not yet cleared for inclusion on the final report
ONLINE RESOURCES...

Departmental Playbook

Oracle

ECRT login
Departmental Checklist for Award Closeout

Carefully read the award agreement and its terms and conditions. Some agreements have special terms related to financial/technical reporting, final closeout, equipment inventories. Any questions or disputes regarding final closeout should be directed to OCGA and/or SCI, as appropriate.

The following action items should be completed in preparation for final closeout of the award:

<table>
<thead>
<tr>
<th>Action Item</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Review Terms</td>
<td>Review the terms of the agreement and ensure all conditions have been met.</td>
</tr>
<tr>
<td>Acknowledge Closeout</td>
<td>Confirm final closeout and the award is closed</td>
</tr>
<tr>
<td>Closeout Plan</td>
<td>Prepare a closeout plan that includes all pending transactions.</td>
</tr>
<tr>
<td>Ceramic Process</td>
<td>Close out any open issues and clear any remaining balances or commitments.</td>
</tr>
<tr>
<td>Other W&amp;L</td>
<td>Verify all other costs have been reimbursed, such as travel, Tide, Cash, etc.</td>
</tr>
<tr>
<td>Awarded Funds</td>
<td>核实所有已分配的资金已经清算并准确记录。确保所有已分配的资金都已经收回并记录。</td>
</tr>
<tr>
<td>Non-Fiscal Items</td>
<td>Verify all reports (technical and/or financial) have been submitted and reviewed.</td>
</tr>
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</table>

Note: Any remaining funds must be returned to OCGA. Any unobligated funds will be returned to the sponsor. Any unexpended amounts should be reclassified or reallocated.

Biosketch Statement:

- [ ] Attach a biosketch statement to the final report.
- [ ] Include a description of the research accomplishments and impact.
- [ ] Include a summary of the research objectives and outcomes.
- [ ] Include any additional information or comments related to the research.

When all requirements are met, the award will be considered closed.
CLOSEOUT TIMELINE

• 60 days prior to end date – OCGA notification sent to department of upcoming end date

• 30 days after end date – OCGA accountant sends BVA information as of end date and requests closeout materials from department

• 75 days after end date – OCGA accountant will follow-up with grant manager if nothing has been received for a pending award closeout

• Once closeout communication confirming final total for the award is received from department and reviewed by OCGA, the final closeout recap will be prepared. Evidence of any pending cost transfers must be submitted with the closeout package.

• Any required reports will be submitted to sponsor by the due date. A copy will be sent to department

• Any post-close clean up adjustments should be processed in a timely manner by the department to facilitate the award/project being switched to a closed status in Oracle
AWARD CLOSEOUT TIMELINE

- **60 Days Prior to Enddate**
  - Prepare for closure – Get any cost allocations updated as appropriate for upcoming enddate

- **30 Days after Enddate**
  - Review Award costs and work with PI as appropriate to prepare any cost transfers that might be needed
  - BVA Sent

- **75 Days after Enddate**
  - Reminder sent if nothing received yet from dept

- **90 Days after Enddate**
  - Send closeout communication to OCGA so final reports can be prepared as necessary and submitted to sponsor by due date

- **Post Close Activities**
  - Ensure that all required cost transfers have been done and projects are balanced to facilitate closure in Oracle

* Due date of final can vary by sponsor. Check award terms to confirm.
NEXT MEETINGS
• April Meeting – April 16, 2020
  • F&A – Overview of Process and Classifications
  • Subrecipient Monitoring

• June 2020 Meeting
  • Date will be announced once room schedules are known

• Beginning in August 2020
  • Grant Meetings will be held monthly
QUESTIONS

Any questions?
SPA and OCGA representatives are here to assist.