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**FOCUS ON RESEARCH** March 2009 Newsletter

Office of Research Administration

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**Our Mission**

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The Office of Research Administration provides assistance to University faculty and staff in identifying funding opportunities, assisting with proposal development and the financial administration of awards in support of the University's scholarly activity and research mission.

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**Who's Who in the  
Office of Research Administration**

Joanne Zanella-Litke  
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Joanne Zanella-Litke, Director, supervises all aspects of Research Administration: proposal development and submission; award management and records; and compliance issues including audit, conflict of interest, human and animal subjects, biohazardous materials, and export controls

Michelle Plaud, 8509  
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Michelle Plaud, Manager of Pre and Post Administration, negotiates all agreements and subawards on behalf of the University. She handles all award set up, no cost extensions and budget revisions. Michelle reviews and processes proposals for the College of Engineering and SMAST. Michelle is interim administrator for the activities of the Institutional Review Board (IRB). She helps researchers register with the National Science Foundation and the

National Institutes of Health's eRA Commons.

Mary Hensel, 8074  
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Mary Hensel, Grant Coordinator, works on proposal review for CVPA, Arts and Sciences, Charlton, Nursing, SEPPCE, and Professional and Continuing Education. Mary assists researchers from all Colleges, Schools and Programs in identifying funding opportunities and setting up e-mail updates from UMD's funding opportunity database.

Julie Smith, 9829  
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Julie Smith, Research Management Coordinator, based in the Advanced Technology and Manufacturing Center, assists in the review and processing of proposals, administers ATMC grants and contracts and helps develop industry/University partnerships.

Paulette Deakin, 9122  
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Julie Letourneau and Paulette Deakin, Post Award Grant Managers, finalize awards and set up award budgets in PeopleSoft. They provide guidance to researchers on following sponsor, federal, state and university policies in grant implementation, including approval of expenditures, cost transfers and project close-out. Julie is responsible for awards to SMAST, Chemistry and Biochemistry, the College of Nursing and the Northeastern Aquaculture Center. Paulette handles all other departments.

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Darlene Silva and Nancy Correia, Grant Accountants, maintain account receivables for all grants, including invoicing, collections and preparations of reports.

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Morgan Donovan-Hall  
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Morgan Donovan-Hall, Administrative Assistant, assists the Office of Research Administration by processing proposals, award notifications and in general office management.

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## **American Reinvestment and Recovery Act Update**

The American Recovery & Reinvestment Act (ARRA) was signed into law on February 17, 2009. Under this act the NIH, NSF and other federal agencies will receive substantial funding to help stimulate the economic recovery of the country. Funding to support the mission of the act includes preservation and creation of jobs and investments in infrastructure to provide long term economic benefits will be provided for over a two year period. Funding is expected to have long term impacts.

Guidelines have also been developed for reporting on the use of funds in concert with the requirement that the ARRA will be carried out with full transparency and accountability. The ARRA's progress will be tracked on the site Recovery.gov [www.recovery.gov](http://www.recovery.gov)

A commitment to spend the funds within the two years ending in 2010 must be made in order to meet the goals of the Recovery Act. No cost extensions may be allowed but the agencies will be reviewing spending patterns. PIs must also be committed to meet the quarterly reporting requirements when accepting awards.

Recovery grant opportunities can be reviewed at grants.gov  
<http://www.grants.gov/applicants/recovery.jsp>

### *Agency Breakdown*

The **NSF** will receive \$3 billion that will be directed to research and development primarily for new awards issued to applications previously reviewed with rates of high or very that could not be funded because of limitations in the NSF budget. The NSF does not expect to provide supplements through the ARRA. \$300 million is targeted for the MRI (Major Research Instrumentation) program. \$200 million will go to restart the Academic Research Infrastructure program for laboratory construction. The Noyce Scholarship program will receive \$60 million. The Math and Science Partnership program will receive \$25 million and \$15 million will go to a new Professional Masters Science Program. Awards will be issued in staggering lengths to spread out future applications for continuing/supplemental funding. <http://nsf.gov/recovery/>

The **NIH** is receiving about a 33% increase in budget, \$10.4 billion. Funding will go towards R01 and similar mechanisms that were highly rated but unfunded, supplements of existing awards, support of Challenge Grants. Supplements will be issued as separate awards to facilitate the required tracking.

[http://grants.nih.gov/grants/funding/challenge\\_award/](http://grants.nih.gov/grants/funding/challenge_award/)

The **Department of Energy** will receive \$2.5 billion for applied research, <http://www.energy.gov/recovery/>, **NASA** \$1 billion for research and **DOD** \$200 million for energy related research.

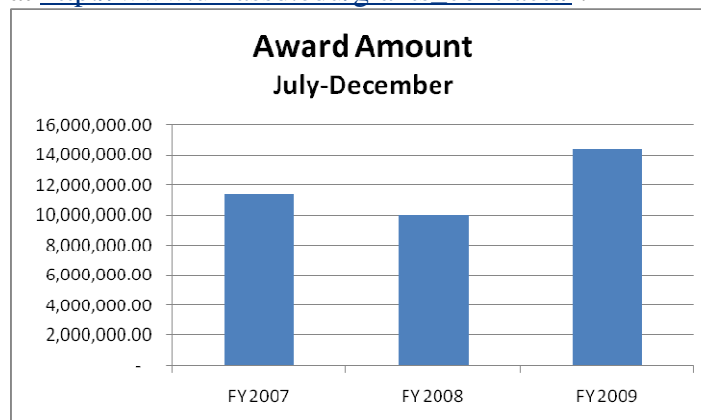
<http://www.defenselink.mil/recovery/>

See the ORA website for links to specific agency sites.

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### July - December Grant Activity

Over \$14 million in grant dollars were awarded between July & December 2008. This represents a significant increase over the same period from fiscal year 07 and 08. See below for a few award highlights. A complete report can be found on the ORA homepage at [http://www.umassd.edu/grants\\_contracts/](http://www.umassd.edu/grants_contracts/).



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### IN THE SPOTLIGHT: CUSP's Teach! Featured on NBC

On Feb 28, NBC Nightly News featured The Center for University School Partnership's Teach SouthCoast. Watch the video on <http://www.msnbc.msn.com/id/21134540/vp/29436281#29436281> TEACH! is an innovative, accelerated, alternative teacher

## Transportation Transformed by Integrated Payment Systems

preparation program that guides participants toward earning Massachusetts initial licensure, specifically, to teach middle or high school math or science in an urban school district. Prior to earning licensure, participants in the program can either serve as teacher apprentices, or as full-time working teachers ("teachers of record"). Candidates who choose to serve as apprentices are guaranteed future job interviews after they complete the program. Teach! is geared toward 1) career changers who have professional experiences relevant to math or science 2) College seniors or recent graduates in the arts and sciences or business and 3) in-service paraprofessionals or long-term substitute teachers. For more information see TEACH!'s website at [www.umassd.edu/cusp/teach/welcome.cfm](http://www.umassd.edu/cusp/teach/welcome.cfm)

Marguerite Zarrillo, Professor of Physics, won one of four Science and Technology Initiative grants awarded to UMass Dartmouth Faculty in 2008. The award established a consortium to develop the security and privacy of integrated payments systems such as smart cards, highway passes and radio-frequency identification tags.

The Consortium's initial focus is in Professor Zarrillo's field of intelligent transit systems and public transportation infrastructure. It encompasses security for payment for trains, subways, buses and commuter ferries and well as toll collection for roads, bridges, tunnels and payment for parking. At a recent Consortium sponsored workshop in Boston, representatives from academia, corporations and government discussed the security challenges inherent in transportation payment systems. Solving these challenges will serve as a springboard for the Consortium to develop additional embedded security products with potential applications in medical systems, supply chains, defense, electronic voting and personnel identification.

At UMass Amherst, the research group includes Wayne Burleson, Professor of Electrical and Computing Engineering, a specialist in electronic payment systems hardware, Kevin Fu, Assistant Professor of Computer Science, who focuses on security technology and analysis and John Collura, Professor of Civil and Environmental Engineering and Director of the UMass Transportation Center, who with Professor Zarrillo focuses on the integrated payment systems in a transportation context.

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## Participation Agreements

All faculty *and students* seeking sponsored research funding should have a Participation Agreement on file with the Office of Research Administration. Please find the link at [http://www.umassd.edu/grants\\_contracts/fundingguides/policies/participationagreement.cfm](http://www.umassd.edu/grants_contracts/fundingguides/policies/participationagreement.cfm) This agreement refers to researchers rights and responsibilities under the University's Intellectual Property Policy which should be read and reviewed before the Participation Agreement is signed. The policy can be found under Academic/Teaching/Research Policies at [www.umassd.edu/hr/policy\\_info.cfm](http://www.umassd.edu/hr/policy_info.cfm). Faculty members who have not completed an agreement will be asked to so when submitting paperwork for their next proposal.

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## SUMMIT

Summit is a new computer desktop dashboard tool designed to assist PIs in managing their grants. Drawing information from PeopleSoft, it displays a summary of grant activity and current balances and eliminates the need for queries and reports in PeopleSoft. Please contact Joanne Zanella-Litke if you would like more information.

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## Conducting Research with Human Subjects?

The Institutional Review Board is meeting in each of the next three months to review research protocols. Deadline for submission of applications is:

March 31, 2009 for the April 14 meeting

April 29, 2009 for the May 12 meeting.

Grant proposals may be submitted while you are waiting for IRB approval. Forms for IRB review can be found on the ORA website at [http://www.umassd.edu/grants\\_contracts/compliance/irb.cfm](http://www.umassd.edu/grants_contracts/compliance/irb.cfm) Please submit them to Michelle Plaud.

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## Grants.gov Update NIH/Agency Shift to Adobe Forms

In January, the National Institutes of Health along with the Agency for Health Care Research and Quality, Centers for Disease Control, National Institute for Occupational Safety and Health and Federal Drug Administration, switched from PureEdge to Adobe Acrobat Reader forms (PDFs) for all proposal submissions except SBIR/ STTR and R13 and U13 proposals. Other agencies are soon to follow suit. The switch has substantially slowed the submission process. When many users access the system at once, uploads to grants.gov slow to a crawl.

## Don't Risk Submission Limbo

A program update installed February 7<sup>th</sup> aimed to increase the number of simultaneous grants.gov users from several hundred to 2,000, but research offices around the country are still reporting long delays and submission errors. Submissions have taken hours, even days, to be accepted and validated.

Funding agencies are under no obligation to accept late submissions and all major federal funding guidelines state that late submissions will be returned without review. Asking the agency to accept a late submission due to grants.gov submittal when submission was last minute will probably not be successful.

With the American Recovery and Reinvestment Act request for

Don't wait until the last moment to submit a completed application to ORA. Don't jeopardize your submission success. Complete your proposal with original signatures on the Proposal Routing Form and Disclosure Summary at least 5 days in advance of the deadline.

## Which Acrobat Reader for grants.gov?

Grants.gov has completed the transfer of all agency applications to Adobe and is no longer using PureEdge forms. Adobe Acrobat Reader version 8.1.3 and the newly released 9.1 are compatible with grants.gov. Application packages will display correctly in older versions, but they will not upload smoothly and warnings will result when you attempt to upload. Version 9.0 may give error messages.

Acrobat Professional users can use version 8.0 or 9.0. Free downloads of versions 8.1.3 and 9.1 are available at <http://get.adobe.com/reader/otherversions/> Researchers will need to contact the CITS help desk for installation unless they have administrative privileges on their computers.

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### **NIH Publication Requirement**

As of April 7, 2008, all articles arising from NIH-funded research must be submitted to PubMed Central upon acceptance for publication. PIs remain free to publish to the journal of their choice. Since some journals submit automatically to PubMed Central, it may be that no further action is required, but the PI is responsible for seeing that the article is included in PubMed. After May 25, 2008, investigators must include the PubMed Central reference number when citing their articles from NIH-funded research in NIH applications, proposals, or progress reports.

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### **NSF Post Doc Mentoring Plan Requirement**

National Science Foundation requires that proposals requesting funds for post doctoral researchers must include a Postdoctoral Researcher Mentoring Plan. Currently the plan should be included as a paragraph within the project description. As of April 6, it should be attached as a supplementary document of no more than one page. Examples of mentoring activities include, but are not limited to: career counseling; training in preparation of grant proposals, publications and presentations; guidance on ways to improve teaching and mentoring skills; guidance on how to effectively collaborate with researchers from diverse backgrounds and disciplinary areas; and training in responsible professional practices. The mentoring plan will be evaluated as part of the merit review process under the Foundation's broader impacts merit review criterion. Collaborative submissions are considered a unified project and only one plan is needed. Proposals will be returned without review if they requesting funding for postdoctoral researchers and do not include a mentoring plan. A revised NSF Proposal and Award Policies and Procedures Guide containing this requirement is effective for all proposals with a due date on or after April 6, 2009 and can be found at [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=nsf0929](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf0929)

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### **Start SPINning**

UMD SPIN (Sponsored Programs Information Network) database is available to all researchers and scholars in the University community (including students with UMDAR access). This searchable database contains up to date funding information on federal and non-federal funding sources for higher education programs and research. Using keyword identifiers, the SPIN Database searches and selects relevant funding programs and provides a link to the grant URL, contact information, award range amounts, program specifics, restrictions and other information related to the application process. Mary in Research Administration can assist researchers in getting started with SPIN. She will also help faculty researchers register with GENIUS to receive automatic funding updates.

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## Defense & Homeland Security Funding: Not Just Weapons and Warfare

Don't forget to check out the Departments of Homeland Security and Defense agencies for grant opportunities. Their research interests go far beyond weapons and warfare.

The Department of Defense has broad interests in basic research in biology, chemistry, physics, almost all facets of engineering, robotics and advanced materials. But it also has interest in public policy, human behavior and socio-cultural interactions. Homeland Security has diverse interests in community safety, biosafety, transportation regulation. With the Minerva Initiative last year, the Defense Department moved into social science research on terrorism, religion, policy and politics in hot spots around the world. Many agencies have research in human behavior, stress reactions and sensory processing. The Army's Medical Research program goes far beyond casualty care to pregnancy, AIDs alcoholism and mental health research. Nearly every agency has interest in computing network development and information security.

When you explore these sites look for links to Broad Agency Announcements that will list all topics of interest to the agency for the year. If you need help please contact Mary.

A very small slice of research interests from each agency are listed below with a link to the websites:

Air Force Research: <http://www.wpafb.af.mil/AFRL/afost/>

- mathematical modeling of cognition and decision
- collective behavior and socio-cultural modeling

Office of Naval Research: <http://www.onr.navy.mil/> (see topics under Science and Technology)

- reliable fatigue damage life prediction estimate for aluminum, steel and titanium alloys.
- interplay of skill acquisition under varying circumstances, such as stress, fatigue, and varying degrees of disruptive interruption

Army Tech Transfer: <http://www.armysbir.com/>

- optimized drying of nano particles in suspensions to improved aerosol dispersions
- incremental learning for robot sensing and control

Department of Defense Minerva Initiative:

<http://minerva.dtic.mil/overview.html>

- studies of the strategic impact of religious and cultural changes within the Islamic world
- new approaches to understanding dimensions of national security, conflict, and cooperation

Army Medical Research: <https://mrmc-www.army.mil/>

- Combat Casualty Care Research Program - development of non-invasive sensors, diagnostic and prognostic algorithms, processors, and simulation and modeling to improve

capability for remote triage, monitoring, and management of casualties

Army Materiel Command Natick: <https://www3.natick.army.mil/>

- Small Unmanned System Technology
- Body Worn Interactive Materials

Army Research

<http://www.arl.army.mil/www/default.cfm?Action=29&Page=29>

- Tactical communication systems creating highly dynamic network topologies (mobile ad-hoc networks) and routing multimedia (voice, data and video) data.
- Control Theory and Related Mathematics including adaptive, nonlinear, optimal, stochastic, and embedded and hybrid control, and learning systems, swarming behaviors, game theory, and decision-making.

Homeland Security <https://baa.st.dhs.gov/>

- Methods and techniques for training and educating public officials, community leaders and first responders in framing effective hazard and risk warnings and emergency communications to the public prior to and during local or regional disasters or civil emergencies.
- Technologies to automatically identify deceptive and suspicious behaviors.

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## Faculty Survey on Scholarship and Research

Thank you to faculty members and program directors who participated in the web survey on research and scholarships – 35% of all faculty responded. The second part of survey will be distributed this spring and we urge you to participate. It is vital hear from faculty who are not experienced PIs but would like to find sponsors for their research. Findings from the first survey indicate:

70% were experienced research Principal Investigators (PIs) who:

- Find grant opportunities through e-mail feeds, websites and word of mouth
- Find information on how to submit proposals from Research Administration staff and website and from other faculty.
- 70% of experienced PIs are looking for collaborators, on-campus and off-campus and internationally, in their fields and in complementary fields.
- 90% have submitted unsuccessful proposals.
- Over 50% contact program officers before submission
- 67% have been reviewers.
- Prefer to help colleagues one on one rather than in forums or workshops.
- 80% welcome the opportunity to include undergraduates in their research.

30% percent of respondents have not been Principal Investigators

- Many reasons they don't have sponsored research. 45% said no time and pointed to teaching commitments, 20% said no funding in field. 20% that they didn't know where to begin.

20% said they didn't need grants to write or publish.

- Would like to know what is funded in their field and by whom
- Would like help finding funding opportunities
- Want to hear from 1) funders' program staff 2) Research Administration staff 3) PIs in their field 4) PIs at UMD
- Prefer to be contacted/kept up to date via e-mail.

#### Other results

- Nearly all faculty would like more funding for travel, followed by publication and dissemination grants and greater support for graduate students.
- The majority of faculty were not at all interested in help finding conferences, publication opportunities, mentors,
- Faculty would like help with PeopleSoft reports, bill paying and hiring on a grant
- Nearly all want more recognition for scholarship across the university and recommend using the university website as the medium.

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### Federal Demonstration Project

UMass Dartmouth has recently been approved for membership in Federal Demonstration Partnership, a cooperative initiative among 9 federal agencies and 120 institutional recipients of federal funds. The FDP is a program sponsored by the [Government, University, Industry Research Round Table](#) of the [National Academies](#). Its purpose is to reduce the administrative burdens associated with research grants and contracts. The FDP is a unique forum for individuals from universities and nonprofits to work collaboratively with federal agency officials to improve the national research enterprise. At its regular meetings, FDP members hold spirited, frank discussions, identify problems, and develop action plans for change. Then these new ways of doing business are tested in the real world before putting them into effect.

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### Compliance Update

Research funding has increased significantly over the past several years and with that success comes the requirement to adhere to all federal compliance requirements. These requirements include the areas of research with human subjects, research with animals, export controls and ITAR involving the shipment of goods or technologies to other countries or the deemed export of those goods and services to citizens of other countries. A new office is being created at UMD that will be responsible for ensuring compliance with these complex requirements. A search is currently underway for a Director of Research Compliance. In the meantime the ORA is posting guidelines and procedures on the ORA website and providing training. Training for everyone working with human subjects and animal subjects is available through the CITI website, export control training will be forthcoming.

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### New Process for Certifying Time

Along with the increase in sponsored activity at UMass Dartmouth comes an increasing responsibility to adhere to sponsor requirements

## **and Effort on Sponsored Projects**

and account for expenditures of federal, state and private funds received by the University for research and other sponsored activity.

As required by the federal regulation, salaries charged to sponsored projects directly or as cost share are verified and supported through effort certifications. In the past these certifications have been done twice a year using paper and ink. In Spring 2009, the UMass system will implement an electronic time and effort certification process, ECRT. All principal investigators will then certify time and effort for themselves and for that of individuals paid from grants on a semester basis, spring, fall and summer, through the ECRT program.

ECRT is a web based system that guides users through the certification process. ECRT will interface with HR, grants and accounting data to provide accurate and complete data for certification. Additional information regarding training and the go live date will be forthcoming.

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## **Credits**

Articles were written and edited by Joanne Zanella, Michelle Plaud and Mary Hensel. For further information about them please contact Mary at 8074, [mhensel@umassd.edu](mailto:mhensel@umassd.edu)