OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Windows of Opportunity

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ORSP and University Advancement Host First Grant Recognition Reception

Sangeeta Mehra
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The Office of Research and Sponsored Programs and University Advancement jointly hosted the first Grant Recognition Reception on April 16, 2013, in the Sprague Library Periodicals Room. The reception was held in recognition of all university faculty, administrators, and staff who have pursued external funding for their research, scholarship, and other program activities, whether through federal and state agencies or private and corporate sponsorship.

Provost Willard Gingerich and Vice President for University Advancement, Jack Shannon, addressed those in attendance, acknowledging the tremendous success of University faculty and staff in pursuing external funding for research and other scholarly and programmatic activities. Over 185 awards totaling approximately $23.5M were recognized from 2011–2012. The Provost also praised ORSP and University Advancement for their work on the Grant Recognition Brochure. The brochure was created specifically for the event, and recognizes and honors those MSU faculty and staff who have either proposed, or proposed and received external funding in support of their research and others scholarly interests.

Deans, faculty, staff, and students from across the university attended the event, including representatives from a broad spectrum of the MSU community. Some of the many departments and academic and administrative units represented included: the Departments of Psychology (CHSS), Classics and General Humanities (CHSS), Nutrition and Health Sciences (CEHS), Secondary and Special Education (CEHS), Computer Science (CSAM), Earth and Environmental Sciences (CSAM), and Biology and Molecular Biology (CSAM); the School of Music (CART); Arts and Cultural Programming (CART); the Center for Research and Evaluation on Education and Human Services (CEHS); the Center for Child Advocacy (CHSS); Counseling and Psychological Services; Library Services; the Center for Writing Excellence; the Center of Pedagogy (CEHS); and the Internal Review Board.

For more pictures, visit ORSP's website

Much positive feedback was received regarding the event. We look forward to hosting next year's event!

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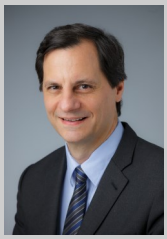

ORSP welcomes Dr. Frederick Bonato, our new Associate Provost for Academic Affairs, to Montclair State University!

International Collaborations: Export Control Risk?

Marina Aloyets
Assistant Director, ORSP

Lately, it seems not a month goes by where we are not working on a proposal involving some international element. As more faculty at MSU are partnering and collaborating with foreign institutions in pursuit of their research and programmatic goals, it's important to understand the specific issues and responsibilities involved with international collaborations to protect the interests of faculty and our university, as well as to prepare faculty's expectations when working with ORSP on these more complex projects. Collaborations with international partners involve extra compliance efforts at both the proposal and award stage, to ensure that the foreign country, project elements/deliverables, and individuals involved are deemed "OK" per the complex federal export controls regulations. We advise faculty to let ORSP know of their plans to participate in such projects at least six weeks in advance of any proposal submission deadline.

"it's important to understand the specific issues and responsibilities involved . . . to protect the interests of faculty and our university"

Who Is Involved? The Departments of Commerce, State, and Treasury administer the primary controls on exports of goods or commodities. The Department of Commerce regulates the export of items and information that have civil applications, the Department of State regulates the export of items that have military applications or that relate to space, and the Department of the Treasury enforces country-specific embargoes. In certain circumstances, these agencies may require the University to secure a license before the item or information is exported to another country or shared with a foreign national.

What Is an Export? In addition to regulating the export of actual goods or commodities, U.S. export controls cover the export or release of "technical data" or technology (which includes information, whether printed, inscribed on media, or communicated orally). The release of such information is called a "deemed export." Under the deemed export rule, the transfer or release of technical data or information subject to U.S. export controls to a "foreign national," whether it occurs in the United States or abroad, is "deemed" an export from the United States to the home country of the foreign national.

Exemptions: Projects involving "fundamental research" or "educational information" are generally exempt from export controls, as long as the "basic and applied research" is free from restrictions on publication and involves information that is not subject to any access or dissemination controls. If the information is deemed to be in the public domain, no license is necessary for access to this information by foreign nationals in the U.S.

The fundamental research exemption (coupled with the educational information exemption) generally does not authorize the transfer of physical items outside of the U.S. In addition, the fundamental research exemption does not generally apply to work conducted abroad by MSU researchers. To be eligible for the fundamental research exemption, the research must take place at an accredited institution in the United States.[i]

Collaborative Activities Involving Export Controls

- *International Collaborations & Presentations:* University activities that involve foreign national faculty, students, staff, visiting foreign scientists or collaborators, or other foreign entities (e.g., non-U.S. company, university, or other organization), or research that will include travel to international conferences to present unpublished results may be subject to export controls, especially if any of the foreign nationals are from embargoed or sanctioned countries.

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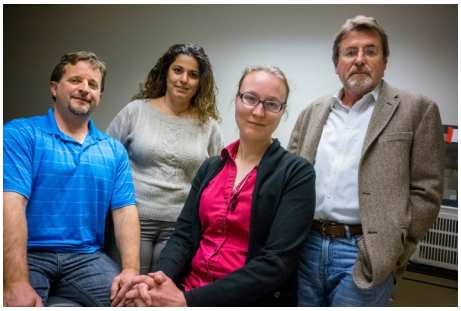
Featured Awards

The NSF awarded $166,475 to **Nina Goodey, James Dyer, and John Siekierka** (Chemistry and Biochemistry, CSAM) and **Cigdem Talgar** (Research Academy for University Learning) for "TUES Type-1: Incorporation of Research Skills into the Undergraduate Biochemistry Curriculum to Create Extraordinary Scientists for the Modern Research Environment," which aims to create and implement inquiry-based learning modules in Experimental Biochemistry I and research experiences with a project-based goal in Experimental Biochemistry II, and to prepare students for the modern research environment.



Rebecca Swann-Jackson and Eden Kyse (Center for Research and Evaluation on Education and Human Services, CEHS) received a $257,848 contract from the NJ Department of Education for "Evaluation of the New Jersey Department of Education's Charter School Grant Program." The State is focusing on ensuring that new charter schools have well developed academic programs, as well as the ability and capacity to make high-quality seats available. The funds will be used to support the development of charter schools that offer innovative educational programs in data-driven environments using strategies based on best practices and proven success. CREEHS will assist the NJDOE to increase its capacity to collect evidence and measure the performance of charter schools awarded funds by the Charter School Program Grant.

Jennifer Robinson (Center of Pedagogy, CEHS) and **Helen Roberts** (Mathematical Sciences, CSAM) received a $78,854 contract with the NJ Department of Education for "New Jersey Mathematics Model Curriculum Assessment Development." MSU will develop a systematic approach to assessment for kindergarten and first grade that will align with the new Common Core State Standards. MSU will develop assessments in five units each for kindergarten and first grade in the area of Mathematics. NJ kindergarten and first grade teachers will be recruited to pilot the assessments in their classrooms.

Dibyendu Sarkar and Yang Deng (Earth and Environmental Studies, CSAM) received a $69,673 subaward from the US Department of the Interior and the University of Southern Illinois for "Low-cost, Green Technology to Improve Water Quality in Mining-Impacted Ecosystems. Phase-I: Model Development and Optimization." Its goal is to prove that drinking water treatment residuals and vetiver grass are capable to effectively reclaim acid mine drainage-impacted water by adsorption and/or neutralization, as well as reduce soil erosion in abandoned mines.

Meiyin Wu (Biology and Molecular Biology, CSAM) received $119,939 from the NSF for the fourth year of "REU Site: Transdisciplinary Environmental Science Research on Forest Lakes in Northwest New Jersey" to inspire and enable REU scholars regarding pursuing degrees and careers in science/engineering research and to build their confidence that such degrees/careers are desirable and feasible. Drs. Huan Feng, Josh Galster, and Greg Pope serve as faculty mentors of this program.

For More Information on Funding Sources, Submittal Strategies, Awards Management, and Much More, Please Visit ORSP Online at http://www.montclair.edu/orsp

An Attempt at Better Federal Grant Management

Dana Natale
Research Development Specialist, ORSP

On Friday, February 1, 2013, the Office of Management and Budget (OMB) released *Proposed OMB Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards*. This proposal encompasses reforms proposed by OMB in a February 28, 2012 Advance Notice of Proposed Guidance (ANPG) published in the Federal Register. Both that notice and the *Proposed OMB Uniform Guidance* were developed in response to President Obama's direction to OMB to work with Executive Branch agencies; state, local, and tribal governments; and other key stakeholders to evaluate potential reforms to Federal grants policies.

The *Proposed OMB Uniform Guidance* is part of the President's commitment to develop a more efficient, transparent, and creative government while ensuring financial integrity. It combines the multiple Federal regulations that currently govern the way grants are administered into a single, comprehensive and streamlined uniform policy guide. The *Proposed OMB Uniform Guidance* is intended to increase both the efficiency and effectiveness of grant programs by eliminating unnecessary and duplicative requirements and strengthen the oversight of grant dollars by focusing on areas such as eligibility, monitoring of sub-recipients, adequate reporting, and other areas that are potential indices of waste, fraud, or abuse.

The OMB's February 2012 publication of potential grant reform ideas in the Federal Register received hundreds of comments and suggestions. As a result, OMB chose to incorporate into the *Proposed OMB Uniform Guidance* (a) clarification of the circumstances under which agencies may make exceptions to the negotiated cost rate; (b) clarification of the Cost Principles for information technology; (c) clarification of costs related to family-related leave and dependent care; and (d) clarification that participant support costs are allowable to all recipient entities.

OMB is again asking the public to comment on the guide; written comments will be used to further refine reforms prior to the issuance of new guidance. Per the Federal Register Notice, comments can be electronically submitted any time until June 2, 2013 (an extended deadline) via Regulations.gov. Grantees of all types should take the time to review the *Proposed OMB Uniform Guidance* and consider the implications it may have on their programs.

Continued on next page

2013 ORSP Assessment Survey

As some of you may recall, in the Spring of 2011 ORSP invited you to participate in a short assessment survey, designed to elicit feedback informing improvements to the services provided by the office. We are currently conducting a follow-up online assessment survey to the original survey in 2011 in an attempt to discover who is using our services, how they feel about the services we offer, and what they think we could add or omit from our repertoire. The goal of this effort is to improve the quality and efficiency of our office, and to invite the participation of our most important stakeholders in this process.

The survey has been posted on the MSU survey site and is open for data collection. No personal identifiers will be collected during, or attached to, this online survey instrument, and all responses to the survey will be held completely confidential.

As a token of appreciation for participation, responders will have an opportunity to be included in a raffle for a new **Apple iPad mini.**

We urge everyone who has used ORSP's services and/or products to complete this assessment survey.

SUMMARY OF *PROPOSED OMB UNIFORM GUIDANCE* REFORMS

Type of Reform	Policy Change	Intended Impact of Reform
Streamline Guidance	Integrate and Streamline Eight Overlapping OMB Circulars into One Set of Guidance in Title 2 CFR	▪ Easier to read, more user-friendly streamlined guidance with key distinctions by type of entity
Admin (A-110, A-102, A-89)	Require Pre-Award Consideration of Merit/Risk	▪ Ensures all grants are subject to merit review ▪ Strengthens agency due-diligence on risk of waste, fraud, or abuse posed by recipients
	Streamline and Clarify Guidance on Subrecipient Monitoring	▪ Drives more consistent and robust oversight of subrecipients to prevent non-compliance, waste, fraud, and abuse
Cost Principles (A-87, A-21, A-122)	Provide Consistency on Negotiated Indirect Cost Rates: ▪ Requirement for agency-head approval for deviations from negotiated rates with notification to OMB, transparent documentation of decision process, and inclusion in pre-NOFA outreach as appropriate ▪ Allows for one-time four-year extension of IDC ▪ Requires pass-through entities to provide a rate to subrecipients ▪ Creates a minimum rate for all recipients	▪ Improved consistency and transparency of cost allocation across awards, with agency flexibility where essential to program success ▪ Provides an indirect cost rate to many recipients who did not previously have one
	Simplify Reporting Requirements for Time and Effort: ▪ Eliminates examples from A-21	▪ Reduced burden on recipients reporting time per award for entities with multiple grants ▪ Removes discussion of specific examples or pilots in order to allow entities maximum flexibility in complying with key standards of accountability
	Direct Charge Allocable Administrative Costs: ▪ Clarify that administrative costs may be direct costs if they are allocable directly to one award and included in the budget. Indirect costs are those not easily allocated between awards.	▪ Ensure that guidance remains consistent with long established definitions of direct and indirect costs
	Direct Charge Computing Devices as Supplies: ▪ Clarify that computing devices may be directly charged as supplies as long as they fit beneath the $5,000 threshold.	▪ Recognizes that as technology evolves, computing devices are often an essential tool for implementing grants, and should be treated similarly with other supplies that fall in the appropriate cost bracket ▪ Entities are still responsible for information security
	Utility Cost Rate: ▪ Replace 1.3% adjustment for select schools with universal ability to meter at sub-building level and apply “effective square footage” calculation to utility use.	▪ Provides a fair and consistent mechanism for reimbursing actual measurable utility costs without introducing a burdensome application and approval process

Federal Sequestration and the Impact on Research

Ted Russo
Director, ORSP

By now, most everyone is aware of the impact of federal sequestration on available funding for research and other activities. At this point, the question is no longer "if," but "what," and how much? The generally accepted "across the board" figure that has been tossed around has been 5%—but how those cuts will be distributed across sponsors and their individual institutes (NIH), directorates (NSF), and programs is the question. The Society for Research Administrators International (SRA) has developed a Sequestration Resource Center, which provides a wealth of information organized by key federal agency, to include the NSF, NIH, NASA, EPA, Department of Defense, Department of Education, and others. A brief summary of the expected short-term impacts at NSF and NIH:

NSF: The good news is that NSF does not anticipate that existing awards will be impacted. However, the NSF anticipates that the total number of new research grants in FY13 will be reduced by approximately 1,000.

NIH: According to *Science Magazine*, a drop of approximately 700 awards from FY12's 8,983 awards will result. Existing grants *may* be affected, e.g., negotiations in the scope of awards and corresponding cut to the budget. Additionally, plans for new grants or cooperative agreements may be re-scoped, delayed, or canceled depending on the nature of the work and the availability of resources.

Despite the cuts, the NSF intends to protect commitments to NSF's core mission, the NSF workforce, and to protect STEM human capital development programs. The NIH remains "committed to the mission of seeking fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce the burden of illness and disability." In addition, the NIH will "continue to manage its portfolio in biomedical research investments in a manner that includes addressing the need for a highly productive pool of researchers by providing support for new investigators."

It goes without saying that the funding environment will yet again become increasingly more competitive. All the more reason that proposals submitted to federal sponsors be of the highest quality, and directly and specifically address sponsor's requirements, programmatic needs, and overall agency mission. Providing yourself as much advance time as possible to work on a proposal (e.g., two months or more) and meeting ORSP internal deadlines will help to ensure that your proposal is of the highest quality possible. In the year ahead, ORSP plans to hold funding opportunity and proposal writing workshops and welcomes any and all suggestions as to how we may face these additional challenges head-on. As always, ORSP will keep you informed of any changes to your pending or existing awards, and looks forward to continued work with MSU faculty and staff (and increasingly students!) in submitting creative, innovative, and compelling high-quality proposals.

Sources

Society for Research Administrators International (SRA), Sequestration Resource Center www.srainternational.org

Jocelyn Kaiser, "NIH Details Impact of 2013 Sequester Cuts, Science Magazine," May 8, 2013

NIH Fiscal Policy for Grant Awards – FY 2013 (NOT-OD-13-064)

INTERNATIONAL COLLABORATIONS continued from p. 2

- *International Field Work:* Research projects where any part of the research will take place outside the U.S. (e.g., field work outside the U.S.) may not qualify under the fundamental research exemption and may be subject to export controls.
- *Providing Financial Support/International Financial Transactions:* University activities that involve the international payment of funds to non-U.S. persons abroad need to be verified to ensure that the university is not inadvertently providing financial assistance to a blocked or sanctioned entity. Examples include providing support via a subcontract to a non-U.S. university or providing payments to research subjects in other countries.
- *Shipping or Taking Items Overseas:* University activities that involve the transfer of project information, equipment, materials, or technology out of the U.S. by whatever means will be subject to export controls and may require export license(s) depending on the item, destination, recipient, and end-use.[ii]

What's the Take-away? As government agencies have increased their enforcement of export control compliance at universities, institutions are taking steps to minimize the risk of such projects. Non-compliance with export controls can result in severe monetary penalties, revocation of export privileges, debarment from federal funding, and civil or criminal enforcement against both MSU and/or the individual principal investigator to whom a violation is attributed.[iii] In response, ORSP has been implementing review practices for all projects involving any of the international activities described above. Accordingly, we will advise you about potential export-controlled elements involved in your project, and take any steps needed to mitigate identified risks.

Some of this article was excerpted from information available on the following sites:

[i] *Harvard University, Export control compliance policy statement*
[ii] *Ohio State, Export Control*
[iii] *CUNY, Export Control Overview*

The FundingOpps Listserv: Now Expanded!

***Sam Wolverton** Sponsored Programs Coordinator, ORSP*

Amidst the e-mail subject lines with [forsale], [campus], and [discuss], you may have noticed [fundingopps]. The next time you see this particular listserv in your inbox, please give it a click and a few seconds of your time—it is rife with opportunity!

Due to popular demand, the ORSP's Funding Opportunities listserv is now assembled twice weekly—federal on Tuesday, non-federal on Thursday—from a number of databases and mailing lists. Upwards of five opportunities are selected for each mailing, presenting a broad range of possibilities for MSU's faculty and staff. Each one is listed a minimum of one month before the opportunity's deadline. In most cases, an opportunity will be listed two or more months in advance so that the PI has as much time as possible to develop a proposal and work with the ORSP pre-award staff. Every attempt is made to strike a balance among the sciences, humanities, arts, and business.

New faculty are automatically added to the list. Current faculty and staff who are not subscribed can sign up through the MSU MailingLists Service website or e-mail ORSP's Sponsored Programs Coordinator.

And while you're thinking about external sponsorship, click over to ORSP's Finding Funding webpage. It maintains links to subscription-only search engines, as well as federal and state funding agencies, and houses a number of compendiums listing specific opportunities. ORSP welcomes any and all feedback on the listserv at orsp@mail.montclair.edu.

MONTCLAIR STATE UNIVERSITY

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