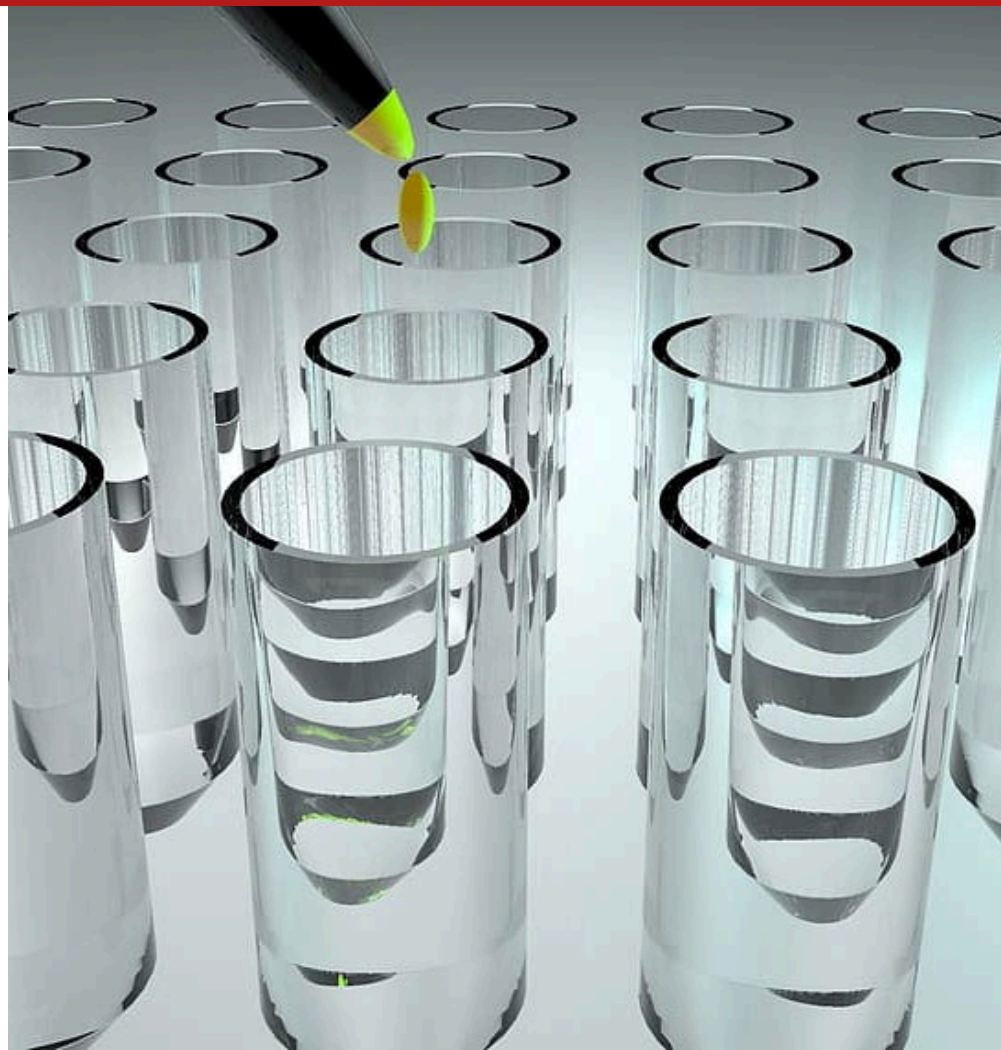


Hot Topics in Federal Requirements – August 2023 OSP Roundtable

Bridget MacRae, Conflicts and Education Supervisor
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Research&Innovation



Updated NSF Regulations on Responsible Conduct of Research (RCR)

For all proposals submitted or due on or after July 31, 2023, NSF requires that training on the responsible and ethical conduct of research be taken by all undergraduate students, graduate students, postdoctoral researchers, faculty, and other senior personnel supported by NSF funds.

How is this different from prior years?

1. Previously, the RCR training requirement applied to students, postdocs, trainees, and other early-stage researchers. Now, the requirement has expanded to also apply to faculty and other senior personnel.
2. The RCR training must include content related to mentorship relationships.

How can you comply with the updated NSF RCR Regulations?

- If you have taken CITI's "Full Course on RCR": You have met the NSF requirement and you do not need to do anything at this time.*
- If you attended the RCR Symposium this year: You have met the NSF requirement and you do not need to do anything at this time.*
- If you have never taken RCR training: You must do so within approximately 60 days of release of funding. You can fulfill this requirement in the following ways:
 - I. Take both the CITI "Short, Foundational Course on RCR" and the CITI "Mentorship" training; or
 - II. Take CITI's "Full Course on RCR"; or
 - III. Take Cornell's new online RCR course when it is released this fall, provided you do not miss the allowable 60-day grace period following release of funding.

*Note that ongoing training will be required. Extensive communications about this will be made when available.

New Responsible Conduct of Research Training

Cornell will be rolling out a new online RCR course in early Fall 2023. This course will be hosted through CULearn, will take about 30 minutes to complete, and is designed to replace existing, outdated training on RCR. The new training:

- Will meet all federal requirements, including those related to research security (from the NSF as well as forthcoming requirements from other agencies)
- Must be completed within 60 days of course assignment through CULearn. Those who do not complete the RCR training must do so before new award monies can be distributed, or new proposals can be submitted
- Is a requirement for all Cornell researchers

When the new RCR training is available, extensive communications will be shared.

Responsible Conduct of Research Training

Why is this important?

- Cornell is a leader of and contributor to global research initiatives and the university aims to ensure that all researchers understand their legal and ethical obligations.
- Sponsor requirements.
- Helps enhance proposals.
- Assists researchers in their ability to lead and participate in research teams.

Responsible Conduct of Research Training

What Topics will be covered in the new eCornell training?

- Conflict of Interest and Commitment
- Research Security – proper use of funds, cybersecurity
- Foreign Influence
- Export Control – shipping, working with controlled information, sanctions
- International Travel - mandatory registration
- Mentorship
- Authorship and Peer Review
- Safe Environments
- Research Misconduct – plagiarism, falsification, fabrication
- Data Management – reproducibility, recordkeeping

Responsible Conduct of Research Training

What to expect next:

- Extensive communications will be made in Fall of 2023.
- Researchers will be assigned the course through CULearn.
- Individuals who do not complete the training within the 60-day time frame will be subject to sanctions.

Who to contact with questions?

- Bridget MacRae, Conflicts and Education Supervisor; or
- Sarah Schlagter, Director, Research Integrity and Security

New Rules for TikTok

New federal regulations prohibits TikTok or any product or app made by ByteDance Limited being **installed** on **any device** used in the performance of a federal contract.

Does it apply to contracts and grants? No, just federal contracts (as of today).

What devices are covered? Any device, whether personally owned or Cornell owned, including cell phones and computers. The requirement applies to any device use to perform even simple activities such as making phone calls or answering emails related to the federal contract.

New Rules for TikTok

What is the current scope of impact? As of June 2023, OSP had ~143 active federal contracts/subcontracts out of approximately 3600 active projects. Most of our federal contracts/subcontracts originate with Department of Defense, Department of Energy and NASA. We have no NSF contracts and very few (2) NIH contracts. The ban is only applicable for new and amended contracts/subcontracts issued after July 2023. PIs will be informed, via an attestation, that their federal contract or subcontract includes the TikTok prohibition.

How are we complying? As an immediate measure, PIs on impacted contracts will be asked by their GCO to sign an attestation stating that they have communicated to the requirement to everyone working on the contract, under their direction.

Is that it? No, the current clauses are “interim” and include other broad provisions. Once we receive additional clarification and/or the final rule is release, we will make additional communications as required.

NSF Safe and Inclusive Working Environments for Off-campus or Off-Site Research

PAPPG 23-1, Chapter II.D.1.d and Chapter II.E.9

- Effective January 30, 2023
- Any proposal that includes research activities off-campus or off-site must include an Authorized Organizational Representative (AOR, i.e. GCO) certification that the organization (i.e. Cornell) has in place a plan for that project regarding safe and inclusive working environments.
- **How is off-campus or off-site research defined?** Data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft.

NSF Safe and Inclusive Working Environments for Off-campus or Off-Site Research

PAPPG 23-1, Chapter II.D.1.d and Chapter II.E.9

- Plans must describe how the following types of behavior will be addressed;
 - Abuse of any person, but not limited to harassment, stalking, bullying or hazing of any kind, whether the behavior is carried out verbally physically, electronically, or in written form; or
 - Conduct that is unwelcome, offensive, indecent, obscene, or disorderly
- Plans need to identify steps the proposing organization will take to nurture inclusive off-campus or off-site working environments, including communications within the team and organization.
- PIs are responsible for authoring and distributing a copy of this plan to each participant in the off-campus or off-site research prior to those individuals leaving campus to participate in the off-campus or off-site activities.
- The plan itself is not submitted to NSF as part of the proposal unless explicitly required as a supplemental document per the funding opportunity announcement.

<https://researchservices.cornell.edu/resources/working-nsf>

PROJECT SPECIFIC INFORMATION

<p>Plan Date or Version Enter date the plan was prepared or updated, or a version number. Preparer name may also be entered.</p>
<p>NSF Grant Number</p>
<p>Principal Investigator Name, Cell Phone, and Email</p>
<p>List of participants to whom the plan will be distributed</p>
<p>Off-Campus Location</p>
<p>Description of off-campus research activity <i>Fieldwork, research activities on vessels or aircraft, work in an off-campus location, etc.</i></p>
<p>Description of steps taken to nurture a safe & inclusive working environments <i>Trainings, processes to establish shared team definitions of roles, responsibilities, and culture (eg. codes of conduct, and field support such as mentor/mentee support mechanisms, regular check-ins and/or developmental events)</i></p>
<p>Estimated Departure and Return Dates <i>Begin and end dates of off-campus research.</i></p>
<p>Will participants have regular internet or cell service available? <i>If no, what alternate arrangements are in place for participants to report suspected misconduct? The plan should minimize singular points within the communications pathway (e.g. a single person overseeing access to a single satellite phone).</i></p>
<p>Will participants from other entities (governmental, company, sponsor, educational institutions, subrecipients) be involved? <i>If yes, are there any special arrangements or guidance participants need to make sure they know they should also report misconduct involving these individuals?</i></p>
<p>Recommended contact for any suspected misbehavior <i>Note: Participants remain free to use this contact or any other contact they prefer to report misconduct; more than one contact may be listed.</i></p>

<p>Emergency Response Plan Including contact info for local emergency medical personnel</p>
<p>Special circumstances that necessitate special plans. <i>e.g., participants are at sea or other remote locations without ability to make contact with University reporting offices; only a single satellite phone is available for the group; there are physical or other barriers that may require special attention to ensure full participation; no local transportation to a safe space is likely to be available; variance in cultural norms might necessitate advance awareness training.</i></p>
<p>Has the PI confirmed with their HR representative that faculty, staff, and student employees participating in their research have completed Employee Responsibility – Sexual and Related Misconduct?</p>
<p>Other Comments or Information that participants may find useful. <i>Include local police and medical services numbers; for international trips, it is wise to include embassy/consulate contact information if not already provided.</i></p>
<p>Date plan on file with unit</p>

NSF Safe and Inclusive Working Environments for Off-campus or Off-Site Research

PAPPG 23-1, Chapter II.D.1.d and Chapter II.E.9

- Cornell University is committed to providing a safe, inclusive, and respectful learning, living, and working environment for its students, faculty, and staff and does not discriminate on the basis of protected status in the education programs and activities it conducts.
- Cornell Policy 6.4 sets forth the university's standards of conduct. The Policy also details the university's processes governing questions, concerns, and reports of bias, discrimination, harassment, and sexual and related misconduct, as well as investigations and resolutions of claims of prohibited conduct.
- See <https://researchservices.cornell.edu/resources/working-nsf> for a full list of relevant Cornell resources

Reminder: Updated NSF Disclosure Requirements (Current & Pending and Biosketch)

PAPPG 23-1, Chapter II.B, Chapter II.D.1.d, Chapter II.D.1.e, Chapter II.D.2.h(i) & (ii)

- **Update #1** – Effective January 30, 2023 all key personnel are required to certify by signing their Current & Pending and Biosketches that the information within is current, accurate, and complete.
 - Certifications will be present in documents downloaded from SciENCv as well as the NSF approved pdf templates
- **Update #2** – Effective October 23, 2023 SciENCv must be used to generate all Current & Pending and Biosketches. NSF fillable PDF forms will no longer be permitted. Use of ORCID is encouraged as well to help pre-populate SciENCv data.
- **Update #3** – Updated Current & Pending Support must be provided to the Program Officer before an award is recommended for funding (akin to NIH's Just-in-Time process).



SciENcv Reminders

- <https://www.ncbi.nlm.nih.gov/sciencv/>
- Web-based system created and hosted by National Institutes of Health (NIH)
- Key features
 - Stores information needed for federal applications in one location
 - Links to other accounts (ORCID, NIH ID, NSF ID, NCBI) to help pre-populate data
 - Has flexibility to create documents from scratch, copy a previous version as a starting point, or base information off of a linked account
 - Researchers can delegate administrators permission to assist with document creation.

December 2020 OSP Roundtable, “Intro to SciENcv”

<https://www.youtube.com/watch?v=SAA4O83mqRE&feature=youtu.be>

National Oceanic & Atmospheric Administration (DOC NOAA) Migration to eRA Commons

- **October 2023** – All existing, active NOAA grants will be migrated to the eRA Commons. DOC recipients with existing grants in GrantsOnline will need to register prior to October 2023 in order to log in, access grant information, and complete post-award activities within the eRA Commons (including annual reporting).
- **January 2024** – eRA will be the system of record for NOAA grants. New NOFOs and RFAs will be published, and applicants will need to be registered with eRA commons before submitting any new application for NOAA.
- All proposals are submitted in Grants.gov and received by eRA Commons for further processing. Applications are not submitted via eRA Commons.
- Register in the eRA Commons - <https://ras.research.cornell.edu/NIH/Registration/nih-reg.html>