

Welcome to
COGR's Newest
Member!
(Since October
2023)



Seattle Children's
HOSPITAL • RESEARCH • FOUNDATION

COGR

THE GOLDEN  GOOSE AWARD

March 1, 2024

About the Award

Founded in 2012, the Golden Goose Award helps demonstrate the human and economic benefits of federally funded basic scientific research. It is also intended to demonstrate that scientific outcomes build upon each other and that the technological advances that flow from them cannot easily be predicted at the outset of a particular scientific research project.

The Award highlights and honors examples of scientific studies or research that may have seemed obscure, sounded “funny,” or for which the results were totally unforeseen at the outset, but which ultimately led, often serendipitously, to major breakthroughs that have had significant societal impact.

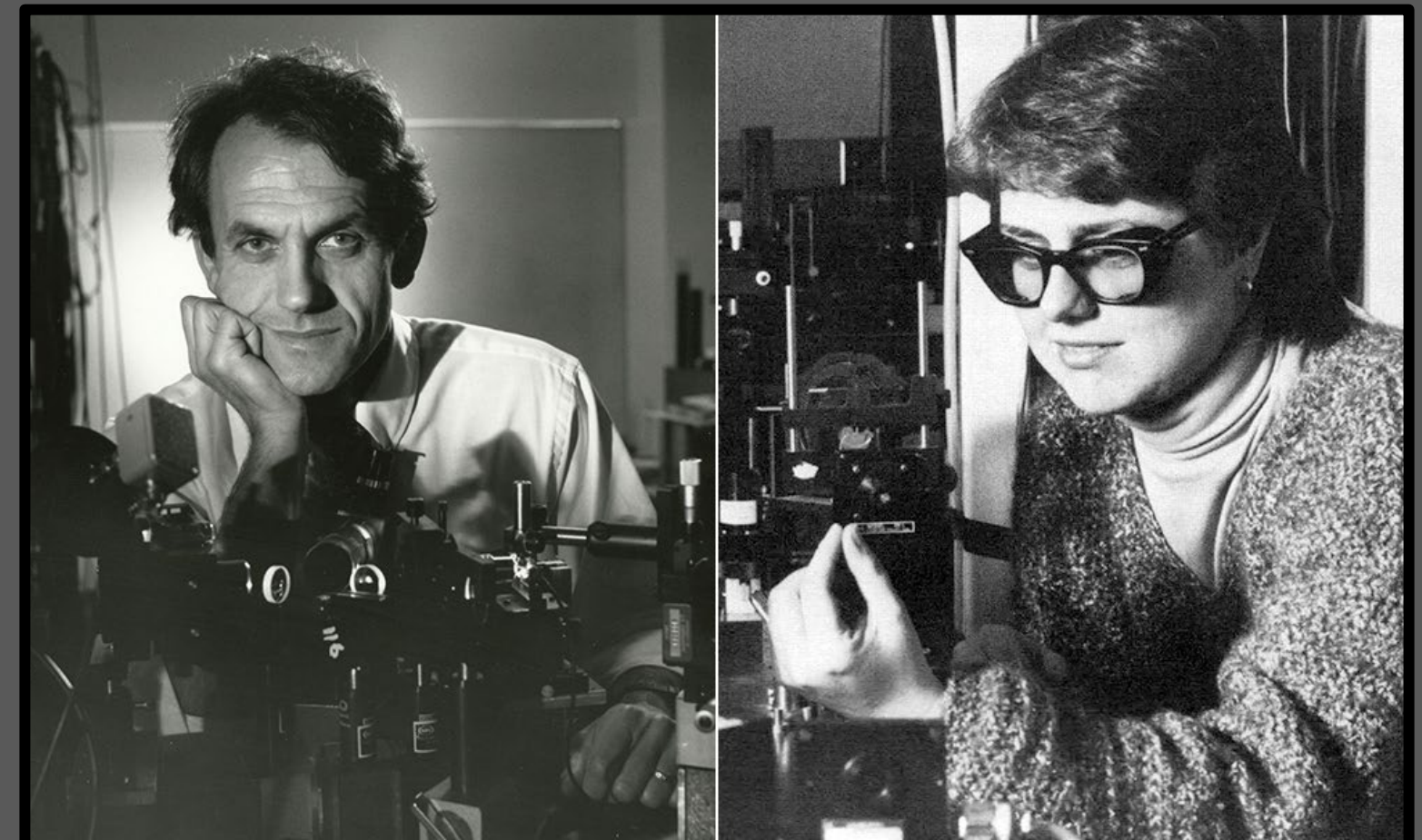


Previous Awardees

GGA has honored over 80 researchers including 14 Nobel Prize winners



Making mRNA
Drew Weissman, Katalin Karikó, 2021 GGA Awardees
2023 Nobel Prize, Medicine



Ultrafast Science to Bladeless LASIK
Gérard Mourou, Donna Strickland, 2022 GGA Awardees
2018 Nobel Prize, Physics

Nominations Process

<https://www.goldengooseaward.org/nomination/>

- Nominations may be submitted at any time. To be considered in the next year's award cycle, nominations are typically requested by December
- Organizations and/or individuals are not limited in the number of nominations they can submit (self-nominations are not accepted)
- Criteria:
 - Quality of the Science: Scientific and Technical Accomplishment
 - Impact of the Science: Impact to Society, Economy, and/or Field of Science
 - Quality of the Story: Serendipitous or Obscure in Nature or in Name



Annual Award Ceremony



- Held annually in Washington, DC in September at the Library of Congress
- Roughly 500 attendees including awardees and their families, Members of Congress and their staff, agency leadership and staff, award sponsors, university leadership, AAAS & Einstein fellows, the general public
- Regarded as "the signature event" on Capitol Hill for recognizing basic scientific research achievement



Contact Information

Golden Goose Award Steering Committee Co-Chairs

Meredith Asbury, AAU meredith.asbury@aau.edu

Gwendolyn Bogard, AAAS gbogard@aaas.org

Erin Heath, AAAS eheath@aaas.org

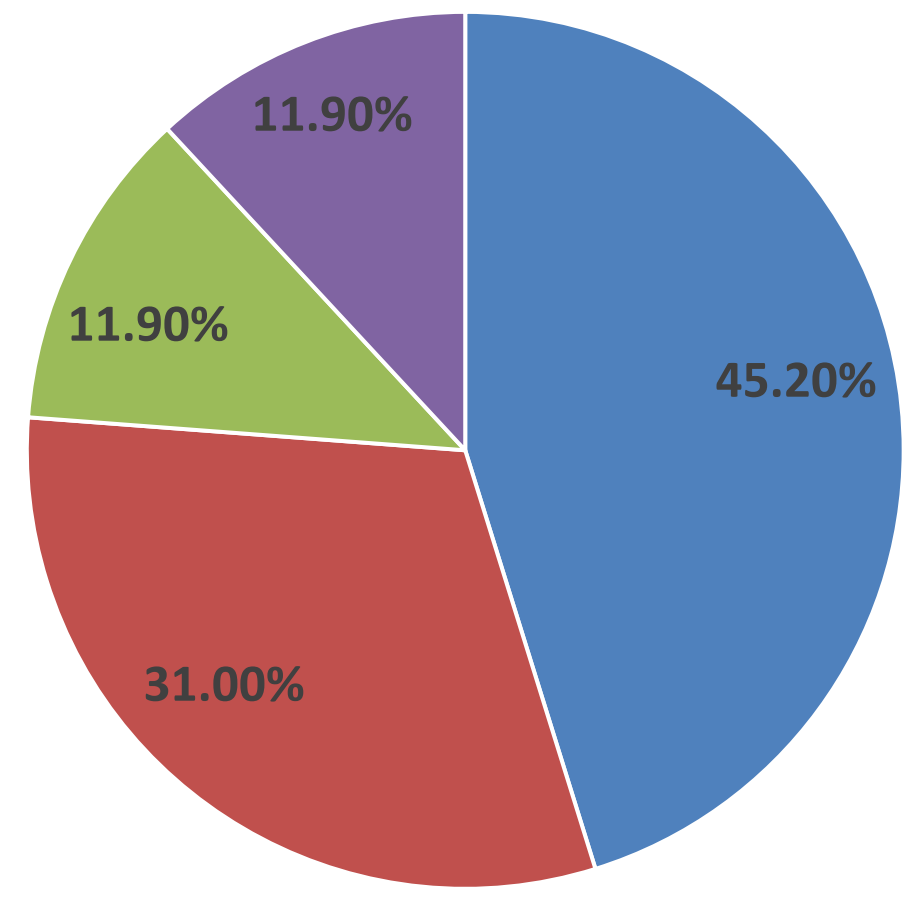
Website: www.goldengooseaward.org



COGR's Questionnaire on HHS-OIG Survey: Results

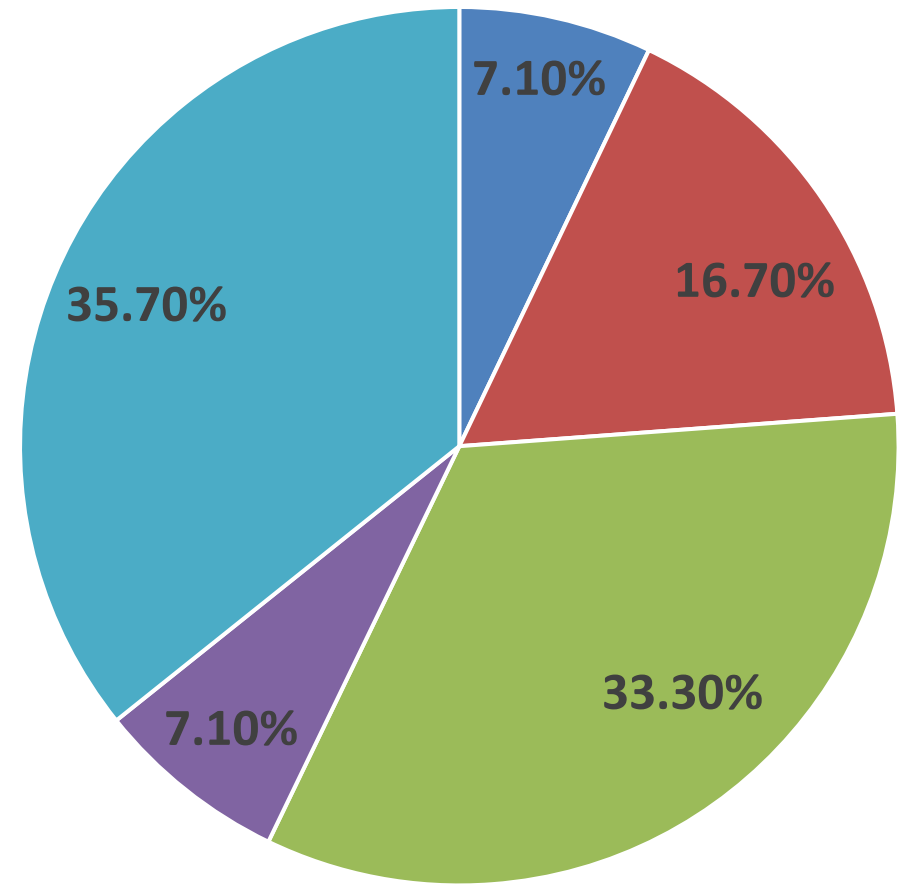
Responders: 47 Submitted Survey

**Types of Institutions that Responded
(42 responses)**



- University with Academic Medical Center (AMC)
- University w/o AMC
- AMC
- Independent Research Institution

**Annual Federal R&D Expenditures for FY22
(42 responses)**



- < \$50M
- \$50M-\$99M
- \$100M-\$299M
- \$300-\$499M
- \$500M or above



Topline Results: Who Responded to HHS OIG Survey? (47 Responses)

- 66% of responders planned to submit the survey (31 responses)
- 34% of responders stated they would not submit the survey (16 responses)
- Reasons for not responding (responders could select more than one reason)
 - 9 responders did not receive the survey to their knowledge
 - 3 responders unsure how “anonymous” survey was
 - 2 responders did not have bandwidth to complete survey
 - 3 responders did not have information readily available to complete survey by due date
 - Other (4 responders):
 - Concerns that survey wording and how working maps to federal requirements would create misleading results
 - Survey questions did not provide adequate information to provide accurate answers
 - Answering survey would require including a large amount of additional text in one comment box; likelihood of solid resulting data is low based on survey structure and inability to provide comments for each question
 - Needed additional time

Themes

- Top scenarios that prompted the most “don’t know” answers:
 - Scenario #4, Donation sent directly to investigator. (12 responses)
 - Scenario #5, Gift from aunt to post-doc used to purchase a computer that post-doc used in lab. NOTE: No responder stated that this would be reported as “Other Support.” (13 responses)
 - Scenarios other than #4 and #5 each had between 3-5 “don’t know” answers.
- Top scenarios that prompted “Other Support” answers:
 - Scenario #1 \$1M gift to institution to support PI’s Parkinson’s research with request for periodic reports (8 responses)
- Seven institutions reported that certain scenarios would not be permitted under their institutions policies/processes. Most prevalent:
 - Scenario #4, Donation sent directly to investigator
 - Scenario #5, Gift from aunt to post-doc used to purchase a computer that post-doc used in lab

Scenario Analysis: Responses to Each Scenario

Scenario No. & Description (Don't Know	Other Support	Reasons for Selecting "Don't Know" (May select more than one)			
1. \$1M gift to institution to support PI's Parkinson's research with request for periodic reports.	5	10	Not enough information	Not permitted at institution	Need to include info in cmts.	Other
			4	1	3	1
2. \$100K grateful patient gift to division used to for facility maintenance staff salaries & capital improvements	3	1	0	0	1	2
3. PI's conference presentation results in \$20K gift that institution uses to support research discussed in presentation.	4	7	1	0	1	2
4. PI's conference presentation results in \$1,000 donation sent directly to PI that PI uses for res.	12	2	3	4	3	4
5. \$2,000 check from great aunt to support post-doc in finishing program. Used to buy computer that is used in lab.	13	0	3	4	4	4
6. Decedent's estate bequeaths \$5M to instit. with instruction to use money to construct lab bldg. Instit. follows these instructions.	3	1	0	0	1	2

Scenario Analysis: Responses to Each Scenario

Scenario No. & Description	Don't Know	Other Support	Reasons for Selecting "Don't Know"			
			Not enough information	Not permitted at institution	Need to include info	Other
7. Charitable foundation focused on specific diseases makes \$500K donation that instit. uses to fund PI's research on treatment for one such disease.	5	6	Not enough information	Not permitted at institution	Need to include info	Other
			3	0	1	2
8. Instit. has campaign for new lab. Receives \$2M in small donations. PIs in lab apply for & receive portion of donated money and use it for their research.	4	12	1	0	1	3
9. Individ. Donates \$500 to HIV Research Fund at instit. Instit. put money into PI's account used to fund research in that area.	4	5	0	0	0	4
10. PI speaks with donor. Donor gives \$200,000 with email stating \$ should support research PI discussed. PI gets \$. Institution asks PI to give donor updates.	5	11	3	0	1	1
11. \$5M bequest to PI who does research on disease from which testator suffered to support "esteemed & important work." PI uses money for their research.	5	8	1	1	0	2
12. PI speaks with individual about their research at Dev. Office request. Individ. donates \$200K that instit. puts in acct. to fund general operations.	3	0	0	0	1	2

Take Aways and Next Steps

- Most Prevalent Reasons for “don’t know” answers:
 - Not enough information -18
 - Not permitted at institution – 10
 - Need more info to answer - 17
 - Other - 29
- Insights from “Other” Answers:
 - Institutional development/advancement offices have clear processes for handling gifts based on IRS requirements. Sponsored programs offices may not always be aware of gifts or the specific details of gifts.
 - Several institutions noted that some of the scenarios described situations that would be very unlikely to come to an institution’s attention, e.g., post-doc that received a birthday gift used to purchase computer used for lab research.
- Survey Recipients: Many institutions noted both in the survey, and prior to the survey, that they had difficulty determining to whom in their institution the survey was sent. Several institutions noted they did not answer because they were unaware their institution received the survey.
 - Poll: Do most institutions have a central email to which surveys such as these should be sent? Is this address communicated to federal agencies?
- HHS OIG stated that it would welcome an opportunity to meet with COGR to review survey results.
 - Will raise survey data during this discussion

Research, Ethics & Compliance (REC) Committee Members

- **Deborah Motton, (Chair)** *University of California*
- **Lynette Arias,** *University of Washington*
- **Kristin Bittinger,** *Harvard University**
- **Theresa Colecchia,** *Johns Hopkins University*
- **Grace Fisher-Adams,** *California Institute of Technology**
- **Karen Hartman,** *Mayo Clinic**
- **J.R. Haywood,** *Michigan State University**
- **Jennifer Lassner,** *University of Iowa*
- **Stacy Pritt,** *Texas A&M University*
- **Brian Smith,** *UC-San Francisco**
- **Naomi Schrag,** *Columbia University*
- **Geeta Swamy,** *Duke University*
- **Ara Tahmassian,** *Harvard University**
- **Debra Thurley,** *Pennsylvania State University**
- **Kristin West** *(COGR Director)*

* At-large members



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Research Ethics & Compliance

- **Update to COGR [Framework for Review of Individual Global Engagements in Academic Research](#) underway**
 - Original framework issued in Jan. 2020
 - Update will account for changes in research security arena since 2020
- **[COGR Research Security Quick Reference Table](#) and [Matrix of Research Security Laws/Regulations](#) updated Feb. 2024.**
 - Updates reflect research security changes from [PAPPG 24-1](#), [OSTP Policy re. Use of Common Disclosure Forms](#), [OSTP Guidelines for Federal Agencies re. FRTPs](#), and DARPA adoption of [DOD Countering Unwanted Foreign Influence Policy](#)
- **Office of Research Integrity NPRM on Research Misconduct Regulations**
 - Over 200 submissions. THANKS to all institutions that commented!!!
 - Main concerns expressed in COGR comments:
 - Inappropriate limitations on institutions' authority during pre-investigative review process
 - Transition from peer-driven to prosecution focused review process
 - Increased complexity and confusion and inadequate confidentiality protections
 - Current Status: ORI has stated that it will address comments when it issues Final Rule. Does not appear that draft rule will be withdrawn and/or new NPRM issued.

Research Ethics & Compliance

- CMS [RFI: Changes to Research Data Request & Access Policy](#). Comments due March 29, 2024.
 - COGR will comment, but RFI is geared to specific impacts on research. Impacted researchers are encouraged to comment.
 - As of Aug. 19, 2024, new studies must access data only via Chronic Conditions Warehouse Virtual Research Data Center (CCW VRDC); no physical data transfers. Also, data must be deidentified per HIPAA standards and meet standards that prohibit reporting values of <11 ([CMS Cell Size Suppression Policy](#)). Older approved studies that access physical data must be closed or transitioned to CCW VRDC in 2025 (exact date TBD).
 - Significant impact on researchers in terms of data that can be accessed and higher fees to (a) access VRDC; and (b) [access various data sets](#).
 - [Costs to access VRDC](#) and new, [higher fee schedule](#) for accessing data.
 - \$20,000 annual license fee/per researcher for VRDC + \$15,000 annual project fee + data set costs

Research Ethics & Compliance

- [Biden Admin. EO](#) and associated [DOJ ANPRM](#) (unofficial) on transfer of sensitive data to countries of concern. Comments on ANPRM due 45 days after publication in Fed. Reg. ANPRM contains 114 questions for comment
 - Goal: DOJ to establish regulations to prevent bulk transfers of “U.S. sensitive personal data” or transfer of “government-related data” regardless of volume to countries of concern or covered persons who are subject to COC ownership, control, jurisdiction or direction. Program modeled on compliance with OFAC’s economic sanctions programs.
 - U.S. Sensitive Personal Data = (1) specifically listed categories and combinations of covered personal identifiers (not all personally identifiable information); (2) precise geolocation data; (3) biometric identifiers; (4) human genomic data; (5) personal health data; and (6) personal financial data.
 - Bulk Thresholds – differ depending on type of data.
 - Government-related Data = Geolocation data associate with certain military, government, and sensitivity facilities and sensitive personal data that is marketed as linked/linkable to current or recent former employees, contractors, or sr. officials of the U.S. Gov.
 - Exempt transactions – financial services/payment processing/regulatory compliance; ancillary business operations of multinational U.S. corporations; transactions required/authorized by U.S. or international law; **“activities of U.S. Gov. and its contractors, employees, and grantees (such as federally funded health and research activities, which the funding agencies will regulate themselves.”**
 - Concerns: non-federally funded multinational research that involves countries of concern

Additional Resources: [DOJ Press Release](#), [EO Fact Sheet](#), [DOJ Fact Sheet](#)

Research Security & Intellectual Property (RSIP) Committee Members

- **Jennifer Ponting (Chair)**, *University of Chicago*
- **Alexandra Albinak**, *Johns Hopkins University**
- **Hannah Carbone**, *California Institute of Technology**
- **Allen DiPalma**, *University of Pittsburgh*
- **Sophia Herbert-Peterson**, *Georgia Institute of Technology*
- **Michael Moore**, *Augusta University**
- **Bruce Morgan**, *University of California, Irvine**
- **Dan Nordquist**, *Washington State University**
- **Elizabeth Peloso**, *University of Pennsylvania**
- **Kenneth Porter**, *University of Maryland**
- **John Ritter**, *Princeton University**
- **Todd Sherer**, *Emory University*
- **Robert Hardy** (*COGR Director*)

*At-large members



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Research Security & Intellectual Property (RSIP)



Research Security & Intellectual Property (RSIP)



Comment Season for RSIP:

- Joint Association Comment Letter on Cybersecurity Maturity Model Certification (CMMC) Program
 - <https://tinyurl.com/bduux8wr>
- Joint Association Comment Letter on FAR Cyber Incident Reporting
 - <https://tinyurl.com/mp5p28c>
- Joint Association Comment Letter on Draft March-in Framework
 - <https://tinyurl.com/yc344xri>
- COGR Comment Letter on Draft March-in Framework
 - <https://tinyurl.com/462y9ta9>

Research Security & Intellectual Property (RSIP)

- Reviewing NIST Cybersecurity Framework (NIST)
 - [NIST Releases Version 2.0 of Landmark Cybersecurity Framework | NIST](#)
- Considering the DFAR Information Collection Requirement; Assessing Contractor Implementation of Cybersecurity
 - <https://www.federalregister.gov/documents/2024/02/26/2024-03809/information-collection-requirement-defense-federal-acquisition-regulation-supplement-assessing>
- Keeping an eye on Bayh-Dole and other Federal IP Issues
 - NIST RFI on Domestic Manufacturing Waiver Request Form
 - ARPA-H
 - iEdison
- Working with REC and others on the review of COGR's Framework for Review of Individual Global Engagements in Academic Research

Research Security & Intellectual Property (RSIP)



WE WANT YOU

- The Director for Research Security & Intellectual Property.
- More information can be found in the [position announcement](#) and [job description](#).
- For full consideration, please submit a letter of interest, resume, references, and salary requirements to careers@cogr.edu by **March 4, 2024**.

Costing and Financial Compliance (CFC) Committee Members

- **Sarah Axelrod (Chair)**, *Harvard University*
- **Kimberly Croft**, *Massachusetts Institute of Technology**
- **Jeremy Forsberg**, *University of Texas at Arlington*
- **MC Gaisbauer**, *University of California, San Francisco**
- **Joseph Gindhart**, *Washington University at St. Louis**
- **Michael Legrand**, *University of California, Davis**
- **Nate Martinez-Wayman**, *Duke University**
- **Julie Schwindt**, *University of Mississippi Medical Center*
- **Maria Soliman**, *University of Iowa**
- **Renotta Young**, *Columbia University**
- **David Kennedy** (*COGR Director*)



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Costing & Financial Compliance (CFC)

AGENDA

- **Ongoing Topics**

- F&A Survey
- Uniform Guidance (UG) Update
- Library Costs & F&A
- NASA – Financial Compliance
- Timeliness of F&A Negotiations

- **New/Emerging Topics**

- F&A Limitations on Salaries in Indirect Pools
- HERD Survey
- NIH
- Access to PMS (Payment Management System)

Costing & Financial Compliance (CFC)

Ongoing Topics

- **F&A Survey**

- Additional report(s) to be released
- Continuing analysis of data
- Capstone Report – Draft to be presented at June COGR Meeting

- **Uniform Guidance (UG) Update**

- **Library Costs & F&A**

- ARL (Assoc. of Research Libraries) – Survey results on Library support of research
- ARL / COGR partnership and Library reimbursement advocacy

- **NASA – Financial Compliance**

- Partial success
- Awaiting additional responses from NASA

- **Timeliness of F&A Negotiations**

Costing & Financial Compliance (CFC)

New/Emerging Topics

- **F&A Limitations on Salaries in Indirect Pools**
 - Cautious win
 - CAS position – moratorium on applying the salary cap to indirect salaries
- **HERD Survey**
 - Discussion with Mike Gibbons and Kathryn Harper (focus on reporting Inst. Research)
 - Coordination with FDP project
- **NIH – Award amendment regarding UG/Single audits**
- **Access to PMS (Payment Management System)**
 - New requirement of using ID.me accounts and PII concern
 - Also note, similar issue with Treasury/ASAP last fall

Contracts & Grants Administration (CGA) Committee Members

- **Jeff Friedland, (Chair)** *University of Delaware*
- **Stephanie Endy,** *Brown University*
- **Michael Glasgow,** *University of Connecticut**
- **Walter Goldschmidts,** *Cold Spring Harbor Laboratory**
- **Stephanie Gray,** *University of Florida**
- **Charles Greer,** *University of California, Riverside*
- **Vivian Holmes,** *Massachusetts Institute of Technology**
- **Lisa Mosley ,** *Yale University*
- **Twila Reighley,** *Michigan State University*
- **Craig Reynolds,** *Van Andel Institute**
- **Jennifer Rodis,** *University of Wisconsin-Madison**
- **Pamela Webb,** *University of Minnesota**
- **Krystal Toups** *(COGR Director)*



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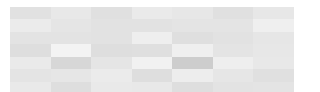
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Contracts and Grants Administration

CGA's Primary Focus of the Past Months

- SAM.gov
- Uniform Guidance Update
- Public Access ([Recent Comment Letter](#))

Covered in sessions on Wednesday and Thursday



Contracts and Grants Administration

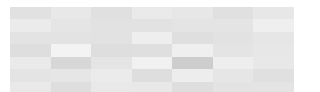
Workplan for the Next Several Months

- SAM.gov
 - CGA Workgroup
 - Continue to engage GSA in addressing community concerns
 - Community engagement, colleague Higher Ed Associations
 - Continue to escalate institutional cases (contact ktoups@cogr.edu)**
- Cross Cutting Issues
 - Uniform Guidance
 - ID.me

Contracts and Grants Administration

Projects On the Horizon for 2024

- Update [MANAGING EXTERNALLY FUNDED SPONSORED](#) after UG 2.0 finalization (*last updated 2016*)
- Monitoring the use of OTAs, ARPA-H, HHS, DoD, NIH, NSF



COGR Staff Points of Contact

- **Matthew Owens, President:** mowens@cogr.edu
- **David Kennedy, Costing and Financial Compliance (CFC) Director:** dkennedy@cogr.edu
- **Robert Hardy, Research Security & Intellectual Property (RSIP) Director:** rhardy@cogr.edu
- **Krystal Toups, Contracts & Grants Administration (CGA) Director:** ktoups@cogr.edu
- **Kristin West, Research Ethics & Compliance (REC) Director:** kwest@cogr.edu
- **Toni Russo, Asst. Director of Member Engagement & Policy:** trusso@cogr.edu
- **Mary Deans, Administrative Officer,** mdeans@cogr.edu
- **COGR Member Services:** memberservices@cogr.edu



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