

ROC Meeting Notes
Wednesday, January 19, 2022
9:00 – 10:00 AM

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the Office of Research Compliance, has assumed the role as the Interim Director for the USA Health Clinical Trials Office. Stefanie will continue to work in Research Compliance a half a day a week in the interim period. Suzanne Robbins, IRB Compliance Specialist, retired in December. We have made a new hire to fulfill her role in the IRB office, Ms. Caroline Gratton, who will start next Monday, January 24th. Ms. Gratton comes to the University with previous experience with both IRB as well as facilitating and working clinical trial research sites. As mentioned previously, Reggie, who handled the clinical trial negotiations and agreements, has retired from the University. Ben Kearns in Sponsored Projects Administration, will now be assuming these responsibilities.

- Conflict of Interest 2022 Annual Campaign – The Conflict of Interest Annual Campaigns does not necessarily affect all of you, although some in administrative management positions will be affected by the requirements to complete an annual disclosure. Everyone should be aware of and be familiar with the process. Our electronic platform, COI Risk Manager, is used to submit and review conflict of interest disclosures, which are required annually by all USA faculty members, managers and, again, some individuals in administrative positions. We are approaching our 2nd annual campaign, and we, Chris Hansen in the Office of Compliance, and myself, will be sending out a notice to give everyone a heads up that COI Risk Manager will be sending an email notification to remind everyone, which will give them instructions to prompt to log in to the portal and complete their disclosure. The deadline for completing the disclosure is set for March 11th so, there will be plenty of time to complete that process for both the participant who is required to disclose, and the reviewer who was responsible for logging in a documenting the review. Chris Hansen has really taken the lead on this, I have helped facilitate in some capacities, though creating instructional videos for both the participant and the reviewer. We are hoping that these new resources/tools will help aid in this process of disclosure and evaluation. Even though not everyone here is responsible for completing the process of disclosing COI annually, many of you are involved in completing the grant submission form for PHS funded proposals and proposals that certain non-PHS organizations comply with the PHS conflict of interest regulations. This requires listing names of those key research personnel on the COI Certification Sheet. It is the Compliance office responsibility to ensure that those individuals have disclosure forms on file.

Since we no longer have an annual conflict of interest disclosure requirement for 2022, we will be sending out a notice to give everyone a heads up that COI Risk Manager will be sending an email notification to remind everyone, which will give them instructions to prompt to log in to the portal and complete their disclosure. The deadline for completing the disclosure is set for March 11th so, there will be plenty of time to complete that process for both the participant who is required to disclose, and the reviewer who was responsible for logging in a documenting the review. Chris Hansen has really taken the lead on this, I have helped facilitate in some capacities, though creating instructional videos for both the participant and the reviewer. We are hoping that these new resources/tools will help aid in this process of disclosure and evaluation. Even though not everyone here is responsible for completing the process of disclosing COI annually, many of you are involved in completing the grant submission form for PHS funded proposals and proposals that certain non-PHS organizations comply with the PHS conflict of interest regulations. This requires listing names of those key research personnel on the COI Certification Sheet. It is the Compliance office responsibility to ensure that those individuals have disclosure forms on file.

and released their proposal for what the implementations should look like. NSPM-33 has not yet been finalized. It is still in the comment and review process, but the administration is hoping to have a final version sometime in April. The chart in the document shows the comparison requirements between NSF,

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Wednesday, June 8, 2022

9:00 – 10:00 AM

Gina Hedberg, Sponsored Projects Administration

- Introduction of New People – Bryant Smilie, A&S pre-award grants administrator; Maddy Anderson, A&S post-award grants specialist; Elizabeth Lopez – College of Nursing accountant; Julie Flowers – Health Systems Grant Administration, Assistant Director; Ann Griffin – HSGA Grant & Contract Analyst; Kaitlyn Falks – Academic Affairs Grants & Contracts Manager – post award; Elizabeth Howell – Grant Accountant; Ben Kearns – Assistant Director, Sponsored Projects Administration; Katie Kitsos – Internal Audit; Terri Lefeaux –

- CMMC is the cyber standards that the government is imposing which stands for Cybersecurity Maturity Model Certification. These standards are mainly being put on DOD projects for right now that have CUI – information that is unclassified but because it is sensitive and usually DOD, it has some access controls on it that institutions that are handling it are required to have in place. So there have been some updates to the CMMC program, the most recent one is that we can still self-attest our compliance, but in July of next year, we can no longer self-attest, we will have to bring in a third-party assessor to certify us. If you have a project coming in that has a CUI requirement – triggers that you’ll see in the RFP will be either a reference to CUI or the NIST 800.171 standards. If you see this language in a proposal, please notify either David Furman or Gina Hedberg as soon as possible because we will need as much lead time as possible, at least three months, to get a secure Enclave up and running. Presently, the impacted areas are Computing and Engineering, but this doesn’t mean that some other areas won’t be impacted as well. This is not an overnight process and not a cheap process either so, if you see this language in an RFP or guidance associated w/external funds being solicited, please touch base with us. When this CMMC takes effect, it will be announced in the guidance put out for solicitation, it will not be a surprise at the end. It may say we need a level 1, 2 or 3 which, we will probably land somewhere in the middle, but the paperwork will tell you. If it gives you a high level, the University cannot handle classified projects, CUI we can. The sooner we know about it, the better for both planning and compliance purposes. There is an expense involved with personnel and equipment and this will need to be factored into the budget.

Bubba Sheffield, Grants & Contracts Accounting

- Updates: Dr. Reichert subs some of his work out to other co-PIs and, currently he is having an issue with, since he is responsible for the overall grant, he is not receiving the PAs from the co-PIs that have graduate/undergraduate students, et al. He wants to see all of these forms because, technically, he is responsible for all of the money. Please remember that the lead PI needs to see these prior to being signed off on. Not every PI will want to see them, but Dr. Reichert is an exception.

Upcoming Scheduled ROC Meetings:

Wednesday, August 17, 2022

Wednesday, September 28, 2022

Wednesday, November 9, 2022