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October 2012 COGR Meeting Agenda

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COUNCIL ON GOVERNMENTAL RELATIONS

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September 26, 2012

AGENDA

MEETING OF THE COUNCIL ON GOVERNMENTAL RELATIONS

WASHINGTON MARRIOTT HOTEL

October 25 and 26, 2012

Planning information for the upcoming meeting of the Council on Governmental Relations was sent to the COGR Listserve in late July 2012. Those planning to attend should make hotel reservations at the Washington Marriott Hotel at 1221 22nd Street, N.W., Washington, D.C. and should send registration notices along with registration fees to the COGR office. Those planning to attend will want to make their travel and hotel reservations. There is a block of rooms reserved for COGR participants. After this block fills, reservations will be accepted only on a space and rate available basis.

The hotel has established Tuesday; October 9, 2012 as the cut-off date for receipt of reservations. There may still be rooms available at the hotel, but these would not have the COGR rate. For reservations already made, changes should be made by telephone to the hotel (202-872-1500) and by FAX to the COGR office (202-289-6698). Cancellations must be received in writing, via fax or mail, no later than Thursday, October 18, 2012 to receive a refund of the registration fee.

Thursday, October 25, 2012

- 8:30 a.m. **Registration**
- 10:00 a.m. – 11:45 a.m. – **Thursday Morning Sessions** – There will be three concurrent sessions:
- **First Look at the OMB Proposed New Circular** - The Office of Management and Budget (OMB) delayed the release of the proposed new Circular and we now expect it to be released anytime between mid-October and soon after Election Day. We can only speculate on the exact reason for the hold up and will share more as we get further confirmations.

If the proposed new Circular is released before the COGR Meeting, we will have a session where members of the Costing Committee facilitate a discussion covering what is included, initial perceptions, and the COGR approach for responding to OMB.

- **ALTERNATIVE SESSION:** If the proposed new Circular is not available, we will offer a “Costing Policies: Issues Forum.” Members of the Costing Committee will lead a panel discussion on current issues, which could include discussions on the HHS OIG Administrative & Clerical audits, Recent F&A Rate Negotiations, the NSF Survey of R&D Expenditures and Reporting of Institutional Funds, and possibly a Case Study on “Managing the Many Costing

Challenges at a Research University.” There will be an opportunity to raise other issues and concerns in an open Q&A forum.

- **Partnering to Enable Innovation: An Introduction to the UIDP Researcher Guidebook** - Research collaborations between universities and industries are receiving increased emphasis and have become more critical to both given increasing resource constraints. These collaborations, however often lead to cultural challenges, as university and industrial researchers and their organizations do not see the world or do business in the same way. The University—Industry Demonstration Partnership (UIDP) has developed a Guidebook for senior researchers aimed at bridging the collaboration gap, so that institutions and industry can more successfully partner to enable innovation. This session will introduce the Guidebook project, discuss the challenges in these types of collaborations, and describe the Guidebook, including the key issues that typically arise and the differing perspectives on these issues. Participants include the UIDP project co-chairs, John McEntire, Commercialization Manager, Pacific Northwest National Laboratory, and Robert Starbuck, who is retired after 32 years in the pharmaceutical industry, including at Wyeth, Warner-Lambert/Parke-Davis, and Burroughs Wellcome. Anthony Boccanfuso, Executive Director of UIDP, also will participate in the panel. Copies of the Guidebook will be available.
- **NSF PAPPG – New (and Improved?)** - The National Science Foundation (NSF) will be issued a revised Proposal and Award Policies and Procedures Guide (PAPPG) in October. If history is at all useful, the revised PAPPG will be effective January 2013. Jean Feldman, head of the NSF Policy Office, will describe the changes in PAPPG and answer any questions concerning implementation. You will recall in June of this year, NSF provided the community an opportunity to comment on the proposed revisions to the PAPPG. COGR offered comments that acknowledged the clear articulation of the merit review criteria and processes that appear throughout the PAPPG but questioned changes in a number of areas including the presentation of the biographical sketch, the elaboration of requirements for the use of vertebrate animals, and the description of the Inspector General’s role in the management of financial conflicts of interest.

We anticipate the PAPPG will be issued before the COGR meeting and we encourage members to review the PAPPG before the meeting to prepare questions for Ms. Feldman.

- 12:00 Noon – 1:00 p.m. – **Buffet Lunch**
- 1:00 p.m. – 2:00 p.m. – **Guest Speaker** – Dr. Thomas Peterson, Assistant Director of the National Science Foundation's Directorate for Engineering will be our speaker. Dr. Peterson will discuss NSF initiatives that focus on strengthening and enhancing the productivity and efficiency of the science and engineering enterprise while producing concrete economic and social benefits for the nation. This includes US Ignite, I-Corps and other programs that will be of particular interest to the COGR meeting attendees, as our member universities develop new business processes to more fully engage with industry and the business community.

We have also invited Dr. Peterson to discuss any other initiatives NSF may be considering, major issues of concern for NSF management, and how we can work together to achieve even greater success in these challenging times for science.

- 2:00 p.m. – 2:15 p.m. – **Break**
- 2:15 p.m. – 3:45 p.m. - **New Approaches to University—Industry Relationships** - With the increasing focus on enhancing commercialization of university research, policymakers have become increasingly concerned with the need to streamline and facilitate university-industry relationships. Industry frequently complains that negotiations with universities take too long, are too complex, and are too focused on revenue maximization. Recently a number of universities have been reexamining their policies and practices with regard to relationships with industry, and seeking to simplify and facilitate the process. This session will also describe recent initiatives and the concerns of the Administration with fostering innovation and entrepreneurship. Participants include Henry C. (Hank) Foley, Vice president for Research and Dean of the Graduate School, Pennsylvania State University; Jay W. Schrankler, Executive Director of the Office for Technology Commercialization, University of Minnesota; and Nish Acharya, Director, Office of Innovation and Entrepreneurship, U.S. Department of Commerce.
- 3:45 p.m. – 4:00 p.m. – **Break**
- 4:00 p.m. – 5:30 p.m. – **The NRC Report on Research Universities: Now the Challenging Questions** - The National Research Council (NRC) recently released the report: *Research Universities and the Future of America: Ten Breakthrough Actions Vital to Our Nation's Prosperity and Security*. The Full Report and the Summary version are available at: <http://www8.nationalacademies.org/onpinews/newsitem.aspx?RecordID=13396>

Of the NRC' ten recommendations, four are of particular interest to the COGR Membership: Recommendation 3. Strengthening Partnerships with Business; Recommendation 4. Improving University Productivity; Recommendation 6. Full Federal Funding of Research; Recommendation 7. Reducing Regulatory Burdens.

These recommendations raise a number of questions. For example:

How would faculty react to a short-term cost shifting from direct to indirect costs under a flat federal budget scenario?

Is improving efficiency realistic when regulatory burden continues to grow, agencies demand more reporting and transparency, and after we already have spent the past decade cutting costs and eliminating administrative positions?

How forthcoming can we be, especially public institutions, about addressing the significant federal subsidy we contribute to federally-sponsored research and the role tuition and other revenue sources may play under this dynamic?

How can we strengthen partnerships with business when we are scrutinized for inappropriate financial conflicts of interest, and at the same time, accused by industry of being inflexible on access to intellectual property rights?

Dr. Teresa Sullivan, President of the University of Virginia, Dr. James Duderstadt, President Emeritus from the University of Michigan, and Dr. Ron Ehrenberg, the Director of CHERI at Cornell University, will represent the NRC Committee in a panel discussion. Also participating on the panel will be Dr. Brad Fenwick from the University of Tennessee. Dr. Fenwick is the author of the recently released Phase I report: *The Current Health and Future Well-Being of the American Research University*. The Phase II report, currently being developed, will address

solutions and may dovetail with recommendations made in the NRC report. The Phase I report is available at: <http://www.researchuniversitiesfutures.org/>

- 5:30 p.m. – 6:30 p.m. - **Reception**
- 6:30 p.m. - **Dinner**

Friday, October 26, 2012

- 7:30 a.m. – 8:30 a.m. - **Buffet Breakfast**
- 8:30 a.m. – 9:30 a.m. - **Implementing the PHS/NIH Financial Conflicts of Interest Regulations** - We propose to use the first hour of the Friday morning membership meeting for a wide-ranging discussion of the implementation of the Public Health Service/National Institutes of Health (PHS/NIH) Financial Conflicts of Interest (FCOI) regulations. We've received a number of emails and calls that begin with the question "Do you know how other institutions are ...?" We're going to start collecting those questions (by email to cblum@cogr.edu, use the subject heading: FCOI Implementation) and pose them for comment by the membership during this open forum on Friday morning. Those questions we receive by Monday, October 22, 2012 will be made available before the Friday AM discussion so you can check back with campus experts if necessary and/or appropriate.

As you will have noted, NIH issued a notice (NOT-OD-12-159) in the *NIH Guide* on September 21, 2012 announcing the launch of a new Proactive Financial Conflict of Interest (FCOI) Compliance Program to assess institutional implementation and compliance with the new FCOI regulations. The nature of this first phase of the FCOI compliance program will rely on a review of a sample of publicly accessible FCOI policies. If NIH identifies deficiencies in the sampled policies, the institutions will be expected to formally address and resolve all identified issues with the technical assistance of the NIH staff. As a part of its educational effort, NIH will share the results of its review when they are available "to improve and enhance compliance with FCOI regulatory requirements."

- 9:30 a.m. – 10:00 a.m. – **Association Update**
- 10:00 a.m. – 10:15 a.m. – **Break**
- 10:15 a.m. – 12:00 Noon **COGR Committee Reports**

**Research Compliance and Administration
Contract and Intellectual Property
Costing Policies**

(Members are encouraged to submit advance questions and issues for Friday morning discussion to ataylor@cogr.edu)

- 12:00 Noon – **Adjournment**

Attendance at COGR meetings is limited to employees of member universities, their governing boards and research foundations, affiliated hospitals and affiliated research institutes.