COVID-19 Research Impact Survey

Results to Date
June 12, 2020
Thanks to COGR Members for Participating!

• Outstanding response rate!
• 73% of member institutions completed the baseline survey (136 completions); 90 of the 136 member institutions responded to the first pulse survey
• Information has been valuable in shaping discussions with regulatory agencies
Surveys Completed to Date

- Baseline survey – May 6 to May 19
  - Preliminary Report posted
- 1st Pulse Survey – June 1 to June 7
Baseline Survey: Key Findings

• **Responders:** 2/3 Public Institutions; 1/3 Private Institutions

• **New Awards:** All institutions said they are accepting new awards

• **Salary Payment Policy:** Nearly all institutions had policy or guidance that enables the charging of salaries for people who may not be fully productive
  
  • Small percentage of institutions (12% public; 7% private/nonprofit; 6% AMCs) reported that policy was pending.
Baseline Survey: Key Findings

• **Caring for patients:** 72% of Academic Medical Centers, and more than half of other institutions re-directed personnel to COVID-related care or research activities, either formally or informally.

• **Donation/Re-assignment of Supplies:** Most institutions reported sharing supplies purchased on grants (e.g. PPE) to COVID-related patient care.

• **Tracking:**
  • About half of the responding institutions said that they plan to track who is and who is not working
  • Almost all institutions reported tracking both revenue and expenses
Themes Emerging from Baseline and 1st Pulse Survey

Institutions are still early in the ramp-up continuum

COVID’s economic toll

BUT institutions remain confident that they can accomplish their research objectives
Ramp-Down/Ramp-Up Continuum
Ramp-Down On Campus:
When did members move to remote research?

94 participating Institutions moved to remote research operations between March 8th & March 21st
Ramp-Down On Campus:
Status of your research activities? May Baseline

![Graph showing the status of research activities on campus.]

- Most or all classes moved online
- Most or all staff working remotely
- Most or all research labs operating remotely
- Most or all on-campus research labs closed
- Other major change (please specify)

Legend:
- Public
- Private or not-for-profit
- Degree-granting institution
- Academic medical center (clinical enterprises)
Status of Ramp-Up:
Academic Medical Centers. June 1-7
Status of Ramp-Up:
Public/Private Education & Research. June 1-7
Status of Ramp-Up: Independent Research Institutions. June 1-7

Most or all staff are working remotely - 4
Most or all labs operating remotely - 2
### Status of Ramp-Up:

What’s your timeline? June 1-7

<table>
<thead>
<tr>
<th>Value</th>
<th>Percent</th>
<th>Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reopening is underway</td>
<td>77.8%</td>
<td>70</td>
</tr>
<tr>
<td>Plan to begin reopening by mid June</td>
<td>11.1%</td>
<td>10</td>
</tr>
<tr>
<td>Plan to begin reopening by mid July</td>
<td>2.2%</td>
<td>2</td>
</tr>
<tr>
<td>Plan to reopen later in the summer</td>
<td>1.1%</td>
<td>1</td>
</tr>
<tr>
<td>No timeline right now</td>
<td>2.2%</td>
<td>2</td>
</tr>
<tr>
<td>A different plan: (click to view)</td>
<td>5.6%</td>
<td>5</td>
</tr>
</tbody>
</table>

Totals: 90
Status of Ramp-Up:
Research operations opening on campus. June 1-7

5. If your institution's on-campus research activity was 100% before the pandemic, at what percentage level would you estimate it is now? If there is none, please enter 0.

15.3% of institutions report 10% on-campus research activity

10.6% of institutions report 50% on campus research activity
COVID’s Economic Toll
Early indicators of economic impact on research from COVID

- Headlines show the pandemic has cost institutions millions
- Charging grants salaries of those who cannot work remotely
- Furloughs, lay-offs, salary freezes, pay cuts
Estimates of “idle” salaries charged to grants?

- 30.4% Information not available
- 22.8% Fewer than 50
- 19.0% 200 or more
- 7.6% 100-199
- 3.8% 50-99
- 16.5% None

June 1 – 7 Responses
6. Thinking of the latest fiscal year (current or upcoming) for which information is available, please check all statements that apply.

<table>
<thead>
<tr>
<th>None have happened or are planned</th>
<th>Some have already occurred</th>
<th>Some are planned</th>
<th>Some are under consideration</th>
<th>Contingent on whether OMB extends June 17 flexibility</th>
<th>Total Checks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research faculty &amp; staff furloughs and/or layoffs Checks Row Check %</td>
<td>36</td>
<td>23</td>
<td>17</td>
<td>28</td>
<td>6</td>
</tr>
<tr>
<td>Research faculty &amp; staff salary freezes and/or cuts Checks Row Check %</td>
<td>16</td>
<td>50</td>
<td>13</td>
<td>23</td>
<td>4</td>
</tr>
<tr>
<td>Total Checks</td>
<td>52</td>
<td>73</td>
<td>30</td>
<td>51</td>
<td>10</td>
</tr>
<tr>
<td>% of Total Checks</td>
<td>24.1%</td>
<td>33.8%</td>
<td>13.9%</td>
<td>23.6%</td>
<td>4.6%</td>
</tr>
</tbody>
</table>
BUT, Confidence in Ability to Achieve Research Objectives
Confidence scale / meeting research objectives on a schedule acceptable to funders – June 1-7
And finally, what is worrying institutions the most . . .
Concerns throughout

• Extension of flexibilities
• Availability of supplement funding
• Ramp-up & safety concerns for researchers, students, staff, including testing and tracing
• Audit and compliance of costs during the ramp down, especially related to “idle” time, furloughs and consistency across all sponsors
• Assisting and predicting the financial impact of the pandemic on institution – big picture, short & long term
• What will the new “normal” look like?
Questions

If you have any questions about the COVID-19 Research Impact Survey Results, please contact Kristin West, Director of Research Ethics & Compliance at kwest@cogr.edu
Committee Reports

COGR Board

June 12, 2020

Pamela Webb, COGR Board Chair, University of Minnesota

Patrick Schlesinger, Research Security & Intellectual Property (RSIP) Committee, University of California, Berkeley

Walter Goldschmidt, Ph.D., Contracts & Grants Administration (CGA) Committee, Cold Spring Harbor Laboratory

Naomi Schrag, Research Ethics & Compliance (REC) Committee, Columbia University

Joe Gindhart, Costing & Financial Compliance (CFC) Committee, Washington University in St. Louis
Committee Reports

COGR Staff

June 12, 2020

Wendy Streitz, COGR President

Toni Russo, Administrative Officer & Policy Analyst

Michelle Christy, Consultant

Robert Hardy, Research Security & Intellectual Property (RSIP) Committee

Jackie Bendall, Contracts & Grants Administration (CGA) Committee

Kristin West, Research Ethics & Compliance (REC) Committee

David Kennedy, Costing & Financial Compliance (CFC) Committee
Patrick Schlesinger (Chair), U. of Cal., Berkeley
Alexandra Albinak *, Johns Hopkins U.
Cindy Kiel, U. of California, Davis
Michael Moore *, Northwestern U.
Dan Nordquist *, Washington State U.
Elizabeth Peloso, U. of Pennsylvania
Jennifer Ponting *, U. of Chicago
John Ritter *, Princeton U.
Janna Tom *, U. of Cal., Office of the President
David Winwood *, Louisiana State U.
Kevin Wozniak, Georgia Institute of Technology
Robert Hardy (COGR Staff)

[Board and At-large (*) members]
• iEdison
  • NIST overseeing rebuilding of invention reporting system from NIH to NIST
  • Received numerous responses to RFI (stakeholders and agencies)
  • NIST workshop – June 22, 2020
    • Discussion of system development, feedback received, and additional input

• NIST – ROI Regulations
  • Return on Investment of federal dollars for research
  • Regulatory package has been submitted for OMB review
  • Contents have not been shared with IHE community
Research Security & Intellectual Property (RSIP)

- BIS Rule – Controls on Military End Uses and Users – China, Russia, Venezuela
  - Definition of Military End Use/User – any “function intended to support” MEU
  - Entity List already provides clear guidance
  - License required for items that support or contribute to list of alternative activities related to military items.
  - EEI filing – no min. value, ECCN needed, consumer electronics included
    - COGR letter submitted. BIS to issue a clarification

- GAO Report
  - Recommendations to agencies

- FBI Issues Threat Warning on COVID-19 Related Research
• DOE Order 142.3A
  • Requires FN approval for access to DOE information
  • Removes exemption for grant-funded research at IHEs
  • DOE HQ (Office of Science) agrees that it should not apply to universities

• Presidential Proclamation on Nonimmigrant Students from China (5-29-20)
  • Suspends entry to US -
    • F and J visas (except undergrads)
    • Affiliated with entity supporting the “military-civil fusion strategy”
  • Exempts FN working in field that would not contribute to “military-civil fusion strategy”
  • State to decide whether existing visas should be revoked
• Legislation – numerous difficult bills
• Portman/Carper “Safeguarding American Innovation Act”

• New federal research security council; but already have NSTC
• Denial of access of FN to new list of “goods, technologies, and sensitive information”; already have export control lists
• Broaden State Dept. ability to deny J-1 visitors based on new list
Contracts & Grants Administration (CGA)

- Walter Goldschmidts, Ph.D. (Chair), CSHL
- Allen DiPalma *, U. of Pittsburgh
- Stephanie Endy *, Case Western Reserve U.
- Jeff Friedland, U. of Delaware
- Jeremy Forsberg *, U. of Texas, Arlington
- Jennifer Lassner *, U. of Iowa
- Steve Martin *, Indiana U.
- Lisa Mosley *, Yale U.
- David Norton, U. of Florida
- Twila Reighley, Michigan State U.
- Craig Reynolds *, U. of Michigan
- Jennifer Rodis *, U. of Wisconsin
- Jackie Bendall (COGR Staff)

[Board and At-large (*) members]
CGA COVID-19 Related Activities

• Reviewed and updated Terms and Conditions Matrix providing agency information on COVID-19 for financial assistance awards

• Participated with other COGR Committees on weekly COVID-19 calls

• Participated with other COGR Committees to support COGR’s weekly NIH meetings with Drs. Lauer and Black meetings
Dr. Michael Gibbons
Project Officer, NSF HERD Survey-May 1, 2020
(CG and CFC joint meeting)

• NSF HERD Survey remains on track
• Open to discussing how best to address combined responses from multiple campuses
• Wiling to work with COGR concerning questions about COVID-19 in the next survey (level of interrupted research, unspent funds, R&D reassigned)
• Consider including questions concerning cost and burden for completing surveys
• Willing to work with COGR to develop strategies to quantify cost and measure burden
NIH’s posting of COVID-19 related flexibilities related to Training, Fellowship, and Career Development Awards are helpful. Are any additional points being considered?

- Payback service obligations for NRSA postdocs may be extended to 3 years after the end of their first year of NRSA support, not yet finalized
- Individuals receiving NRSA stipends can continue to do so during the COVID 19 pandemic. A brief check-in with the GMS should be considered, particularly for T32 programs regarding the status of the institution and what training and research can continue to be performed.
- If institutions have Graduate Research Assistants (GRAs) who will be starting coursework in the upcoming new academic year, or even this summer, and if classes are remote, tuition can be charged to appropriate NIH awards and grants.
• If T32 programs are unable to identify and appoint trainees because of COVID-19, they can consider utilizing the slots the next year.

• If a trainee’s progress is delayed, planned renewal applications for a T32 or applications for a fellowship should consider explaining the situation from both the trainee/fellow and mentor perspective.

• NIH is considering extending ESI status by an entire year for those negatively impacted by COVID-19, however, this has not yet been accepted or finalized.
• Return to lab cautions taken should be governed by institutional policies
• Communications with NIH Program Staff via email should be well thought out and succinct
• Many project related scholarly activities can be done during this time
• No minimum effort requirements are being considered for NIGMS supported R01s, R21s
• NIGMS continues to encourage the use of their R35 mechanism, 51% research effort
• NIGMS COVID related research through supplements from their Models of Infectious Disease Agent Study (MIDAS) program
• Funding for new awards and continuations will be made on the same time schedules
• Extra time is always a possibility, potential for additional funding may be challenging
• Statements noting anticipated delays due to visa and travel restrictions, delays in hiring etc. can and should be noted in competing renewal submissions
Research Ethics & Compliance (REC)

- Naomi Schrag (Chair), Columbia U.
- Lynette Arias, U. of Washington
- Lois Brako *, U. of Michigan
- Sara Bible *, Stanford U.
- Brian Smith *, U. of California, SF
- Karen Hartman *, Mayo Clinic
- J.R. Haywood *, Michigan State U.
- Mary Mitchell *, Mass General Brigham
- Kerry Peluso, Florida State U.
- Ara Tahmassian *, Harvard U.
- Debra Thurley *, Pennsylvania State U.
- Kristin West (COGR Staff)

[Board and At-large (*) members]
Completed

- **Foreign Influence on Research:**
  - Presentation June 11, 2020: *Foreign Influence on Research: Handling Cross-Cutting Issues*

- **COVID-19:**
  - FAQs on COVID-19 impact on human subjects research (posted 5/4/20)
  - FAQs regarding guidance from NIH on COVID-19’s impacts on NIH-funded awards. (updated 6/11/20)
  - Presentation June 10, 2020: *The Research Ramp-Up Continuum*

**Research Ethics & Compliance (REC)**

**Works in Progress**

**COI/COC:** Initiate a survey regarding steps institutions are taking in response to added federal agency requirements regarding conflict of interest, conflict of commitment and disclosures regarding foreign affiliations.

- Examining the burden created by these new requirements.
- Identifying best practices institutions have adopted to address COC issues.

**Research/Lab Security:** Discussing with Dept. of Energy (DOE) the possibility of a webinar regarding DOE’s efforts in the area of research security, including information regarding the cesium/cobalt irradiator replacement program.

**Research Misconduct** — Preparation of comments in response to Office of Research Integrity’s Request for Information on the sequestration of electronic evidence. Comments will be submitted prior to June 15, 2020 deadline.
Research Ethics & Compliance (REC)

Upcoming

Looking at strategies to accomplish research compliance objectives in the current resource-limited environment.
Costing & Financial Compliance (CFC)

Joseph Gindhart (Chair), Washington U., SL
Robert Andresen *, U. of Wisconsin
Cynthia Hope *, Georgia Institute of Technology
Sarah Axelrod, Harvard U.
Michael Daniels, Northwestern U.
Vivian Holmes *, Boston U.
Michael Legrand *, U. of California, Davis
Nate Martinez-Wayman *, Duke U.
Lynn McGinley, U. of Texas Medical Branch, Galveston
Jeffrey Silber, Cornell U.
Marcia Smith *, U. of California, LA
Cathy Snyder, Vanderbilt U.
David Kennedy (COGR Staff)

[Board and At-large (*) members]
Costing & Financial Compliance (CFC)

- COVID FAQs & Fed Agency Matrix
- Extending OMB Flexibilities
- New HHS/PMS FFR Portal (Phase I), FCTR (Phase II)
- G-Accounts (HHS still to close, but COVID delay)
- Revision to the Uniform Guidance
- HHS OIG / GAO
- Single Audit and 2020 Compliance Supplement
- NSF HERD Infrastructure Project
- Multi-year funded awards
- Graduate Student Retention
Thank you for Attending COGR’s Virtual June Meeting!

Visit us at www.cogr.edu