



# 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
- 1<sup>st</sup> 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 1<sup>st</sup> Pulse Survey



Institutions are still early in the ramp-up continuum



COVID's economic toll

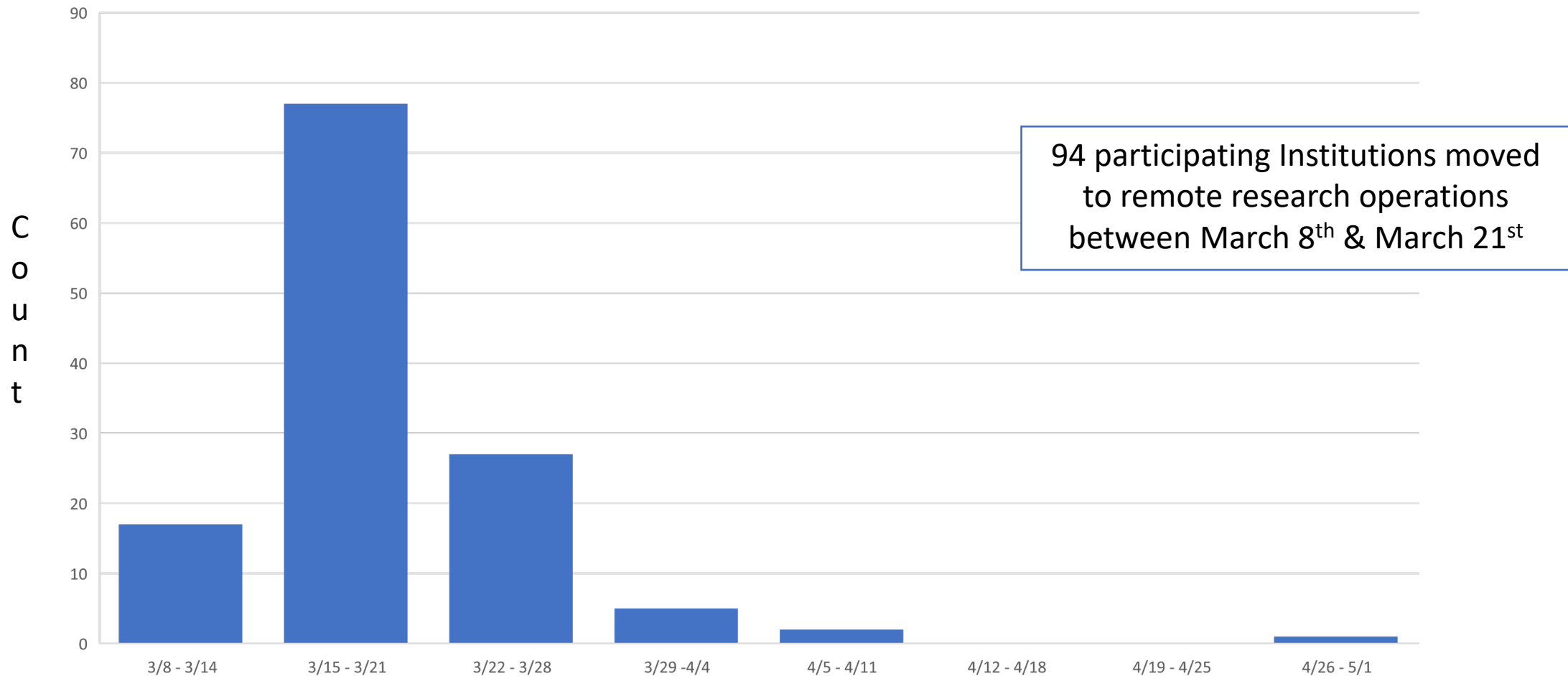


BUT institutions remain confident that they can accomplish their research objectives



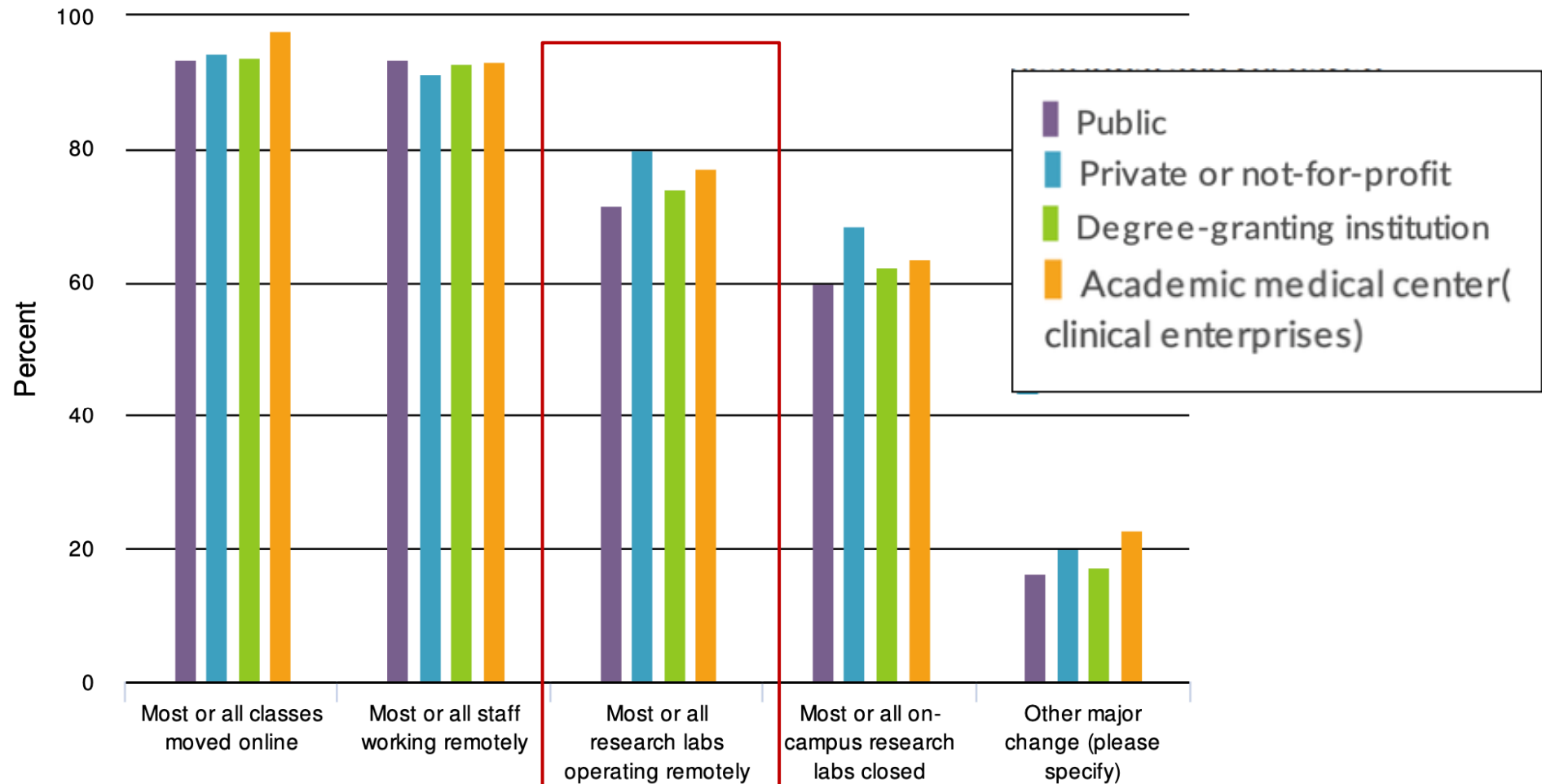
# Ramp-Down/Ramp- Up Continuum

# Ramp-Down On Campus: When did members move to remote research?

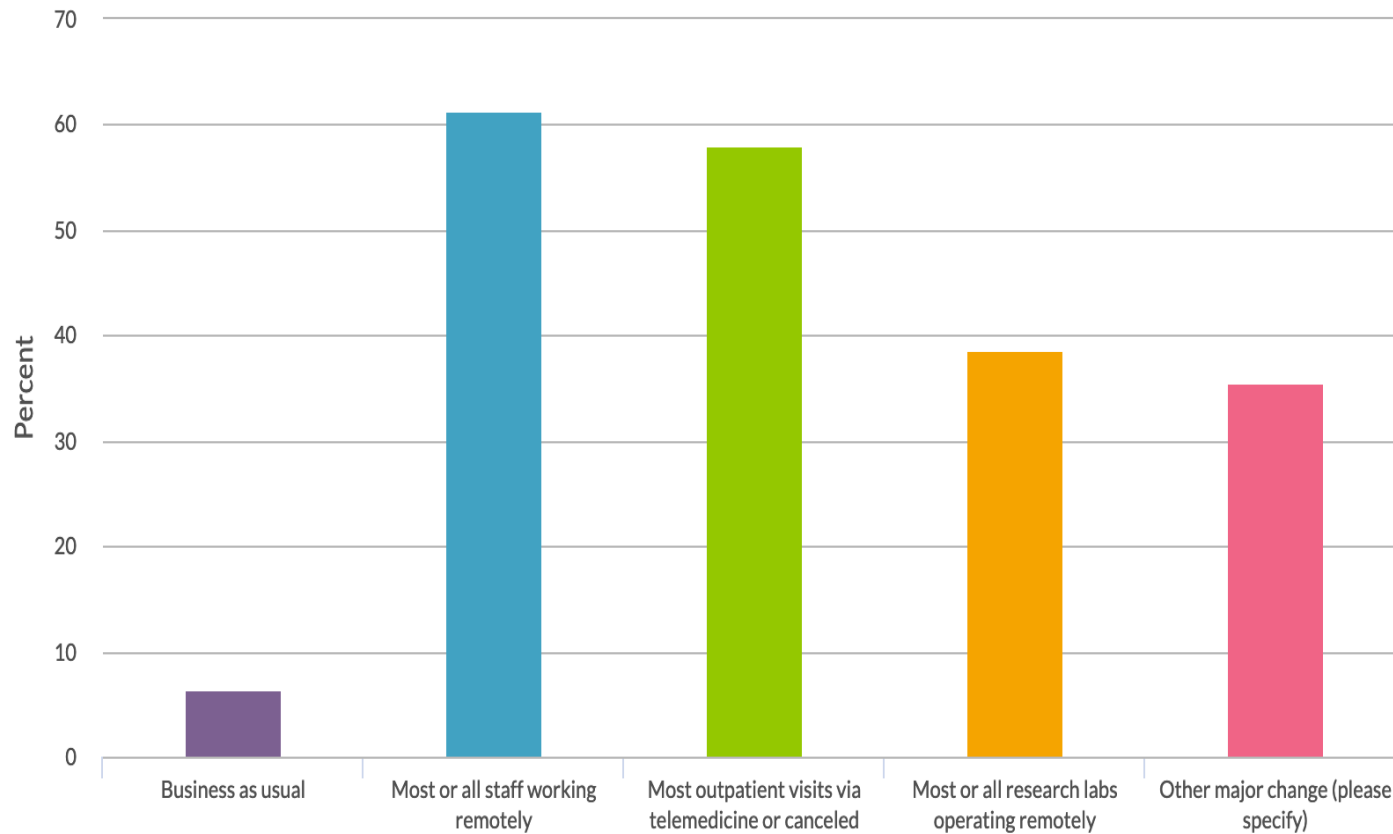




# Ramp-Down On Campus: Status of your research activities? May Baseline

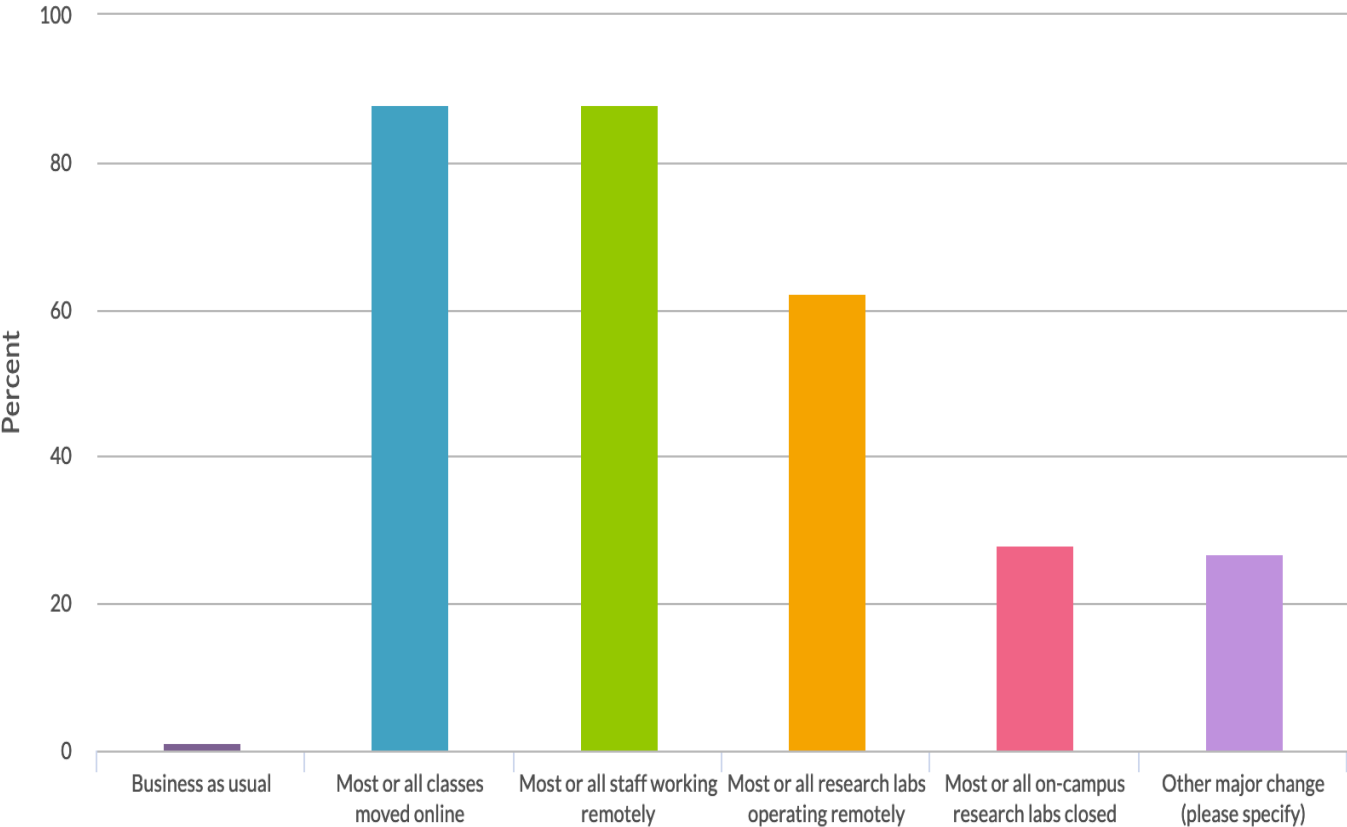


# Status of Ramp-Up: Academic Medical Centers. June 1-7



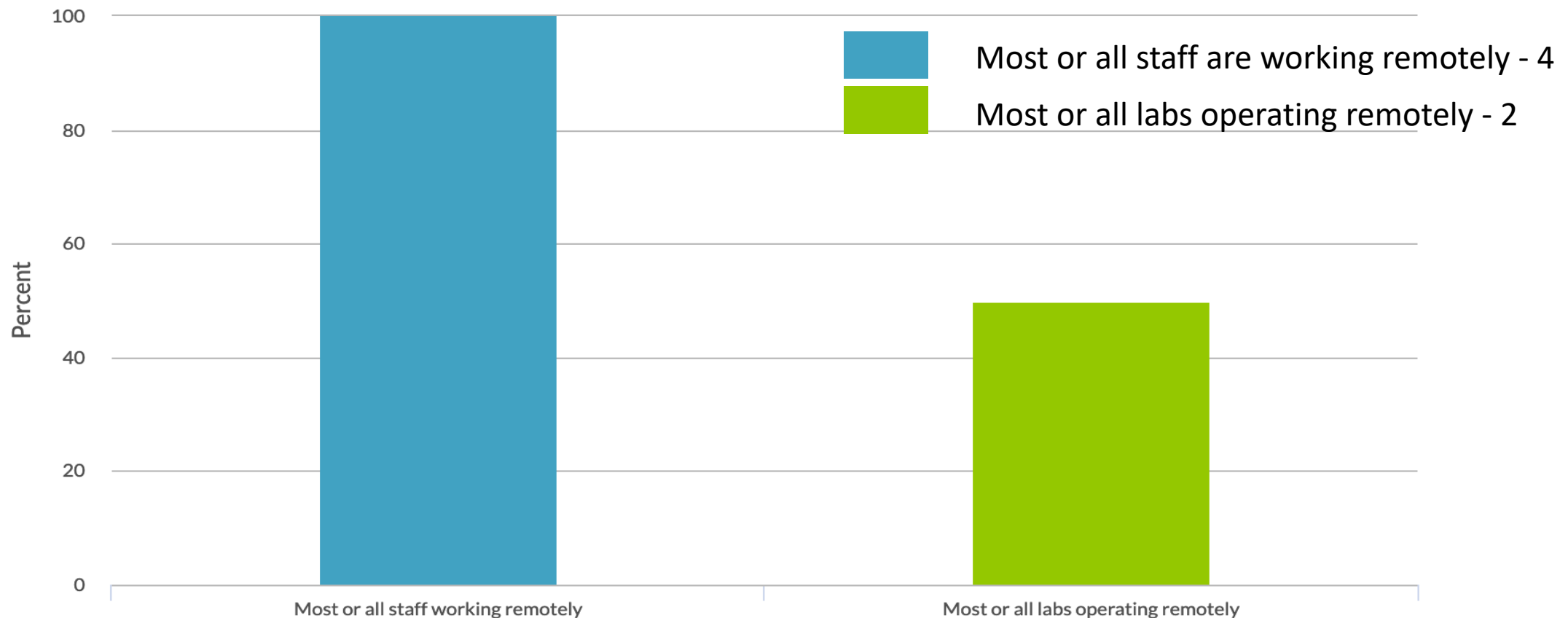
Value	Percent	Responses
Business as usual	6.5%	2
Most or all staff working remotely	61.3%	19
Most outpatient visits via telemedicine or canceled	58.1%	18
Most or all research labs operating remotely	38.7%	12
<a href="#">Other major change (please specify) (click to view)</a>	35.5%	11

# Status of Ramp-Up: Public/Private Education & Research. June 1-7









Value	Percent	Responses
Business as usual	1.2%	1
Most or all classes moved online	87.8%	72
Most or all staff working remotely	87.8%	72
Most or all research labs operating remotely	62.2%	51
Most or all on-campus research labs closed	28.0%	23
Other major change (please specify) (click to view)	26.8%	22

# Status of Ramp-Up: Independent Research Institutions. June 1-7



# Status of Ramp-Up:

## What's your timeline? June 1-7

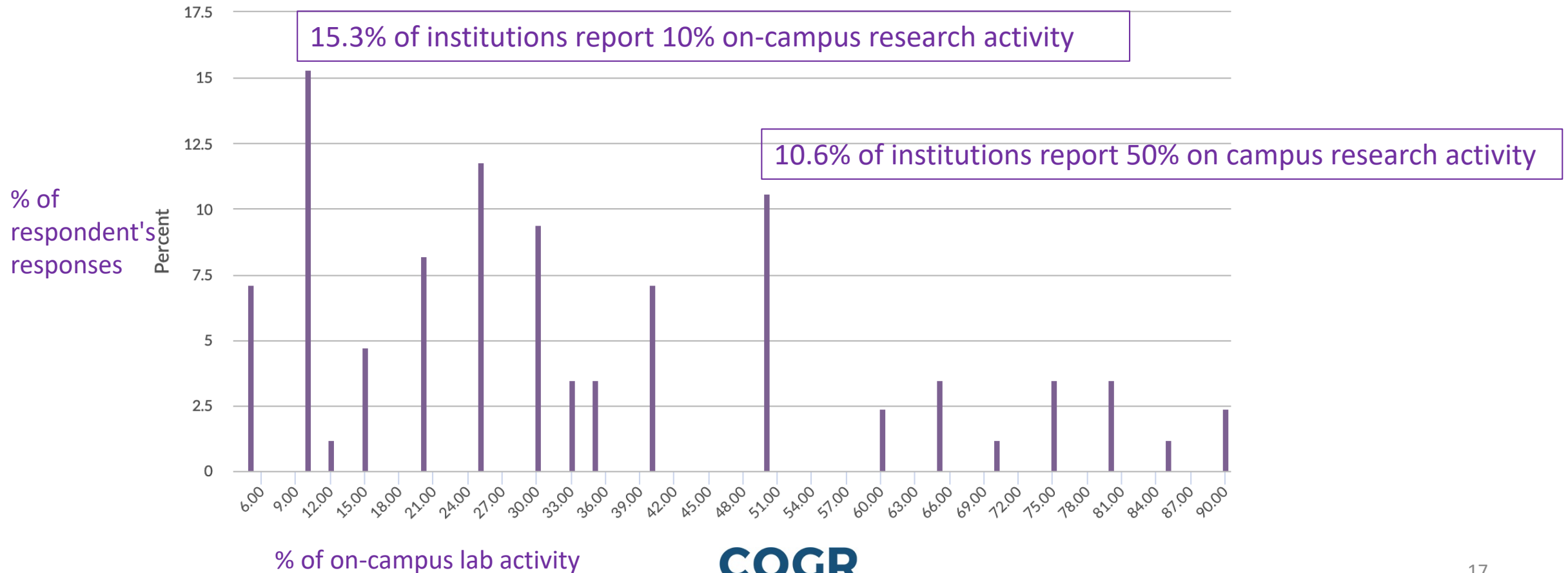
Value		Percent	Responses
Reopening is underway		77.8%	70
Plan to begin reopening by mid June		11.1%	10
Plan to begin reopening by mid July		2.2%	2
Plan to reopen later in the summer		1.1%	1
No timeline right now		2.2%	2
<a href="#">A different plan: (click to view)</a>		5.6%	5

**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.





# COVID's Economic Toll

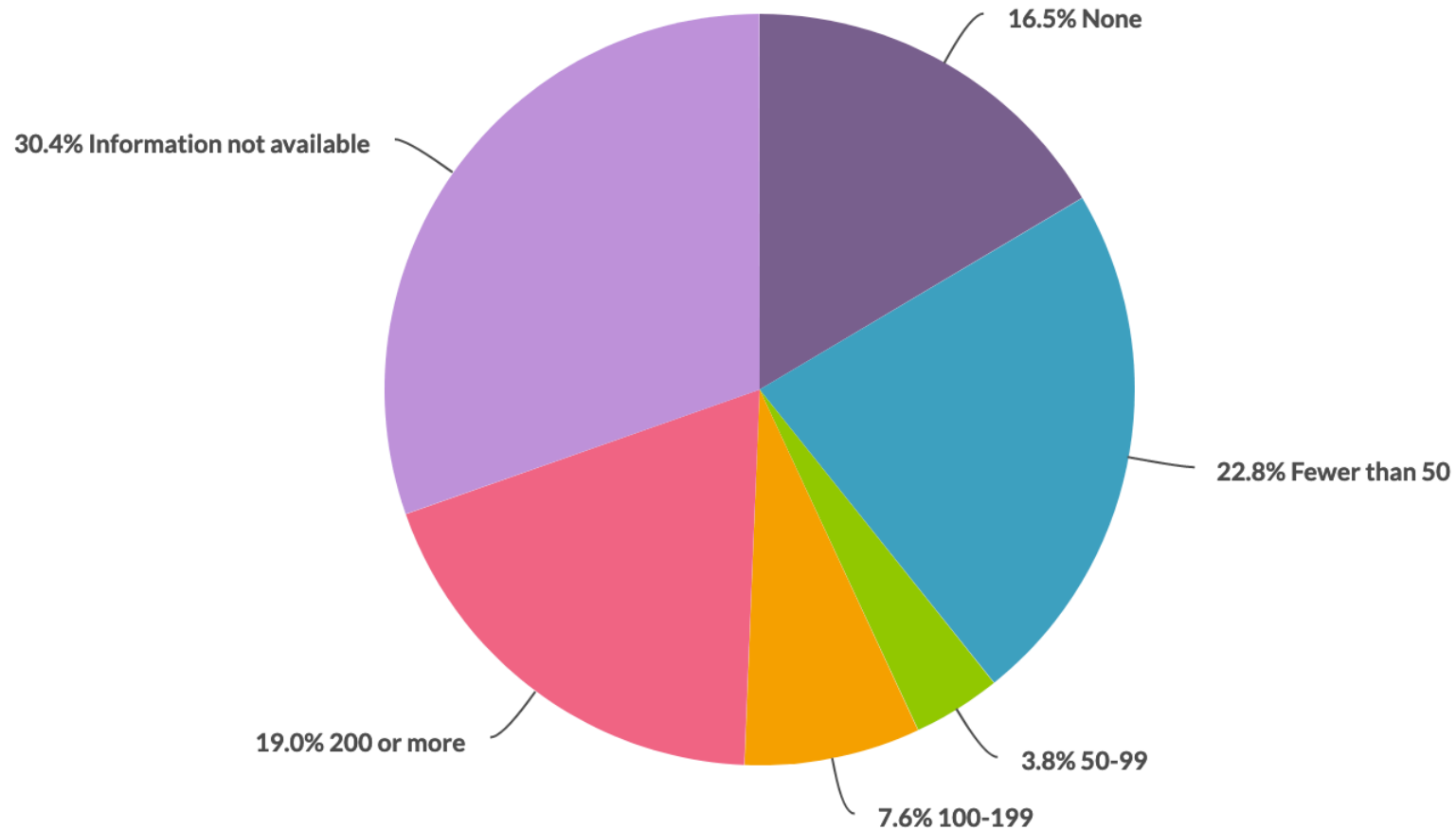


# Early indicators of economic impact on research from COVID

- 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?




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.

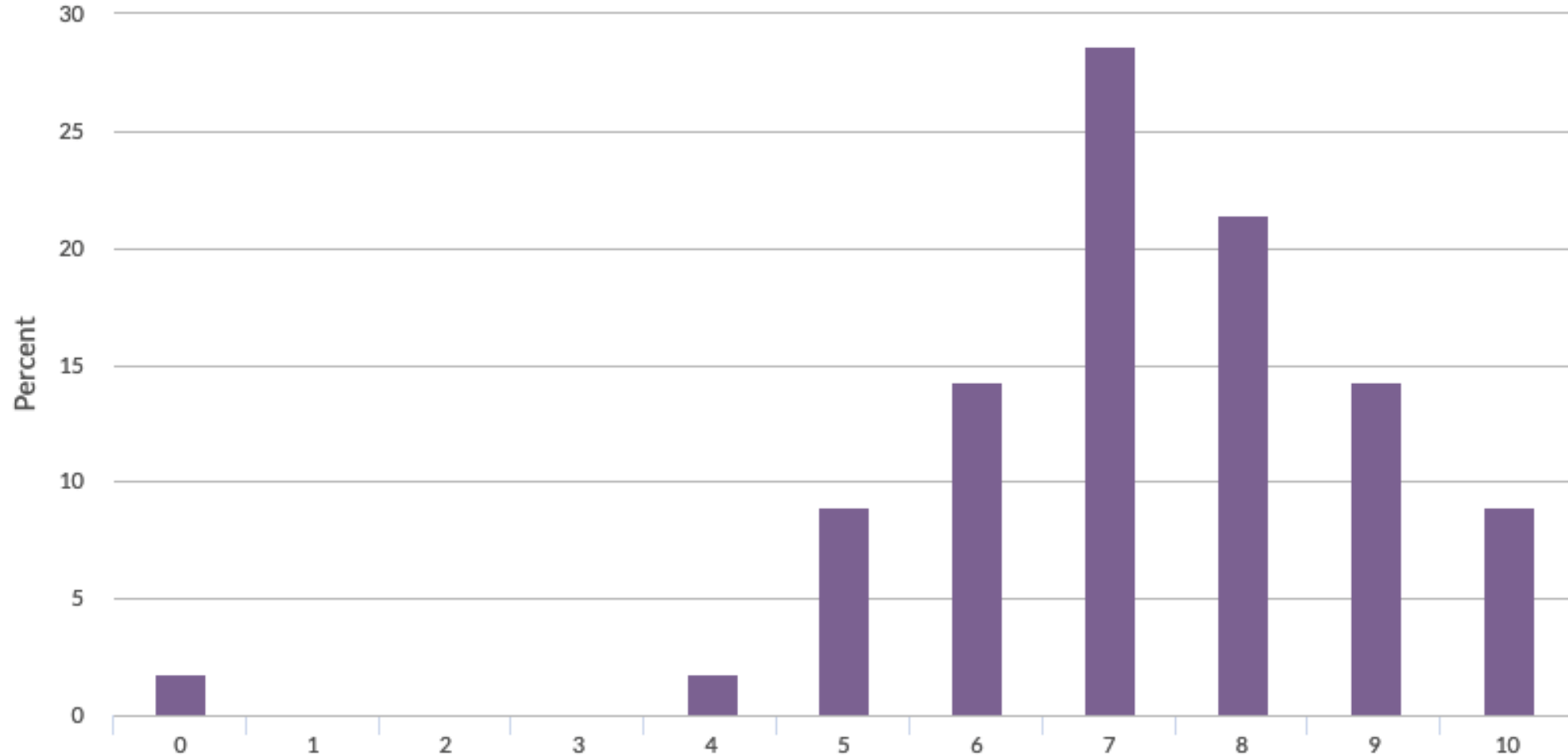
65% Current FY  
35% Next FY

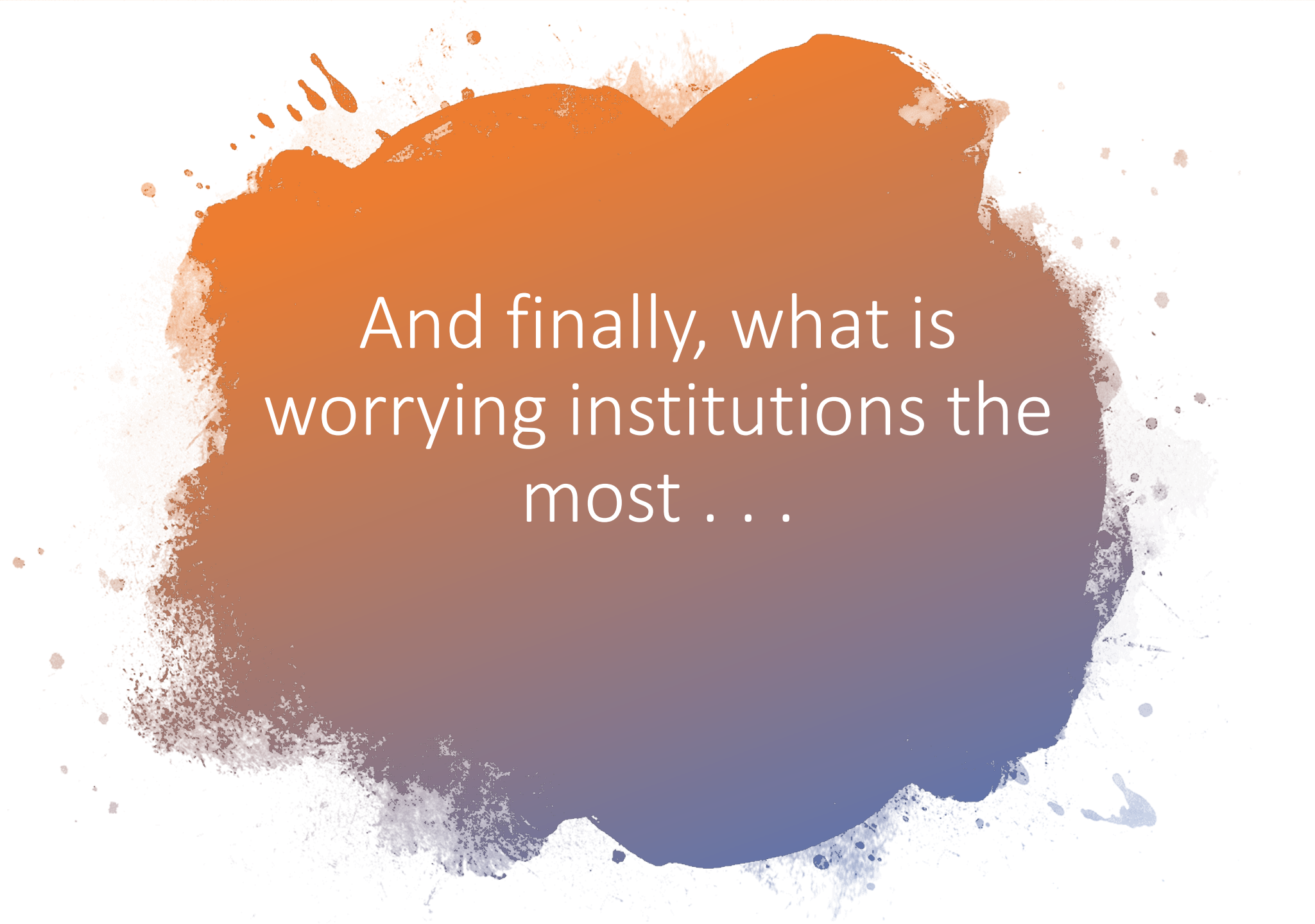
	None have happened or are planned	Some have already occurred	Some are planned	Some are under consideration	Contingent on whether OMB extends June 17 flexibility	Total Checks
Research faculty & staff furloughs and/or layoffs Checks Row Check %	36 32.7%	23 20.9%	17 15.5%	28 25.5%	6 5.5%	110
Research faculty & staff salary freezes and/or cuts Checks Row Check %	16 15.1%	50 47.2%	13 12.3%	23 21.7%	4 3.8%	106
Total Checks						
Checks	52	73	30	51	10	216
% of Total Checks	24.1%	33.8%	13.9%	23.6%	4.6%	100.0%



BUT, Confidence in  
Ability to Achieve  
Research Objectives

# Confidence scale / meeting research objectives on a schedule acceptable to funders – June 1-7



A large, abstract watercolor splash in shades of orange and blue serves as the background for the text. The splash is irregular and textured, with various shades of orange at the top and blue at the bottom, creating a gradient effect. The text is centered within this splash.

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](mailto: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 Goldschmidts, 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

# Research Security & Intellectual Property (RSIP)

- **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]**

# Research Security & Intellectual Property (RSIP)

- 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

# Research Security & Intellectual Property (RSIP)

- 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

## Research Security & Intellectual Property (RSIP)

- 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]**

## Contracts & Grants Administration (CGA)

### 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



## Contracts & Grants Administration (CGA)

Dr. Michael Gibbons

Project Officer, NSF HERD Survey-May 1, 2020

(CGA and CFC joint meeting)

- NSF HERD Survey remains on track
- Open to discussing how best to address combined responses from multiple campuses
- Willing 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

# Contracts & Grants Administration (CGA)

## Dr. Kay Lund – Director, Division of Biomedical Research Workforce, OER, NIH - May 8, 2020

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.

## Contracts & Grants Administration (CGA)

Dr. Kay Lund – Director, Division of Biomedical  
Research Workforce, OER, NIH - May 8, 2020 (con't)

- 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.

# Contracts & Grants Administration (CGA)

## Dr. Peter Preusch – NIGMS Program Official - May 15, 2020

- 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]

# Research Ethics & Compliance (REC)

## 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*
  - Companion White Paper: *Research Ramp-Up Road Map: A Guide to Considerations and Resources for Ramping Up On-Campus Laboratory, Animal & Human Subjects Research as COVID-19 Restrictions are Lifted (Version 1)* (posted June 11, 2020)

# 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

# Q & A

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Visit us at [www.cogr.edu](http://www.cogr.edu)

# Thank you for Attending COGR's Virtual June Meeting!