Annual Report

Research Administration Services | FY2016
Faculty of Arts & Sciences

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LETTER FROM THE ASSOCIATE DEAN

Patrick Fitzgerald
ASSOCIATE DEAN FOR RESEARCH ADMINISTRATION

Dear Colleagues,

Research Administration Services (RAS) is dedicated to supporting the research and scholarly activities of FAS faculty in collaboration with research and administrative staff. I am pleased to share the RAS annual report for the 2016 fiscal year, which highlights our recent accomplishments and describes several of the initiatives designed to provide excellent service and support to FAS and SEAS faculty.

Our FY16 achievements are especially noteworthy because they occurred during a year in which we experienced significant staff turnover. I am proud of the RAS staff who accepted promotional opportunities elsewhere at Harvard and gratified that their experience in RAS prepared them for positions with greater responsibilities. I am also indebted to the remaining RAS staff, and our new hires, who worked hard to ensure that we made substantial progress on our goals despite the loss of key colleagues. Staff departures are costly in many ways and present significant challenges for

managers, including workload redistribution, decrease in productivity and loss of expertise. This was true for RAS in 2016, but I'm pleased to report that by the close of the fiscal year, the majority of our open positions had been filled with extraordinarily talented individuals.

The RAS team initiated or contributed to a number of important projects and policy initiatives in 2016, both within FAS and across the university. The efforts highlighted in this report led to significant improvements in processes, systems and customer service. Much of our work required collaboration with administrators in the FAS, SEAS, central university offices as well as with colleagues at other Harvard schools. I am extremely proud of the committed RAS staff members who led and contributed to various projects and committees; their successful collaboration with colleagues across Harvard will facilitate positive change and increase the effectiveness of research administration.
I want to highlight the substantial progress made in

integrating research administration services for the FAS and the Paulson School of Engineering and Applied Science (SEAS). During the past year, RAS assumed responsibility for managing several key compliance functions for SEAS. Also, the Research Development (RD) team was expanded in order to extend the exceptional array of RD services to SEAS faculty. The integration project involved a partnership between current and former RAS staff as well as SEAS administrators. Together, these teams collaborated to plan and implement a new administrative structure for SEAS. We have already achieved key project milestones and aim to complete the transition by the end of December 2016. The reorganization will culminate with the elimination of the SEAS Research Administration Office (RAO) and with RAS providing school leadership for FAS and SEAS research administration. The partnership between RAS and SEAS

administration, led by Executive Dean Tim Bowman, has been a fruitful one, and I am very proud of the role RAS has played in helping to improve research administration service and support to SEAS faculty.

I would like to acknowledge Dean Michael Smith and Dean Leslie Kirwan for their continued support of RAS. Their advocacy for our work and their commitment to provide the necessary resources enable our staff to continue to provide excellent service to the faculty and staff of the Faculty of Arts and Sciences, and now SEAS.

I hope you find our annual report, and the accomplishments of the RAS team this past year, interesting and informative.
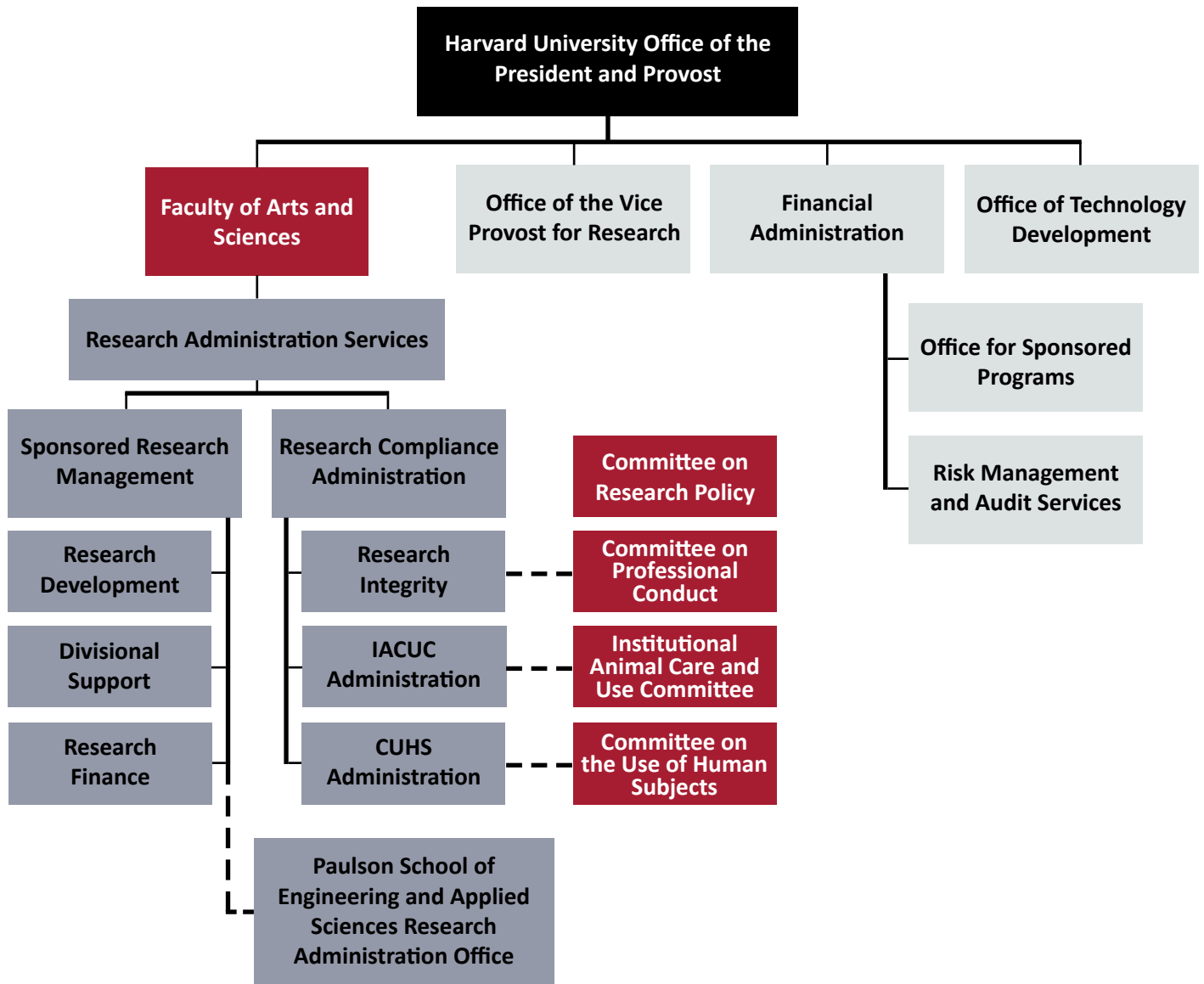
Sincerely,

Patrick Fitzgerald,
ASSOCIATE DEAN FOR RESEARCH ADMINISTRATION

November 5, 2016

RESEARCH ADMINISTRATION SERVICES supports the research and scholarly activities of FAS and SEAS faculty in collaboration with researchers and administrative staff

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                    │ Harvard University Office of  │
                    │ the President and Provost     │
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Harvard University Office of the President and Provost

- **Faculty of Arts and Sciences**
- **Office of the Vice Provost for Research**
- **Financial Administration**
- **Office of Technology Development**

Under Faculty of Arts and Sciences:
- **Research Administration Services**
  - **Sponsored Research Management**
    - **Research Development**
    - **Divisional Support**
    - **Research Finance**
  - **Research Compliance Administration**
    - **Research Integrity** --- **Committee on Professional Conduct**
    - **IACUC Administration** --- **Institutional Animal Care and Use Committee**
    - **CUHS Administration** --- **Committee on the Use of Human Subjects**

Committee on Research Policy

Paulson School of Engineering and Applied Sciences Research Administration Office

Under Financial Administration:
- **Office for Sponsored Programs**
- **Risk Management and Audit Services**

Crimson: The FAS Dean's Office, Dean of Administration and Finance, and Faculty Committees govern RAS
Light Gray: RAS partners with Harvard central offices

NOTE: this chart does not represent all RAS reporting relationships

RESEARCH ADMINISTRATION SERVICES

Established in 2007, Research Administration Services (RAS) joined administrators from both the Office of Finance and the Science Center under one Associate Dean, reporting directly to the FAS Dean of Administration and Finance.

RAS prioritizes customer service and strives to deliver efficient and valuable support to both faculty and administrators of the FAS. The team supports research across all disciplines, from the pursuit and management of sponsored funds to consultation on important animal and human subject guidelines for research. The team collaborates with departments, schools, and central offices with the ultimate goal of enabling researchers to do what they do best: perform exceptional, groundbreaking research.

FUNCTIONAL AREAS

Divisional Support prepares grant applications, reviews proposals to ensure adherence to FAS and Sponsor guidelines, provides post-award services as needed, and manages the FAS Temporary Research Administration Consulting (FASTRAC) program.

Research Development researches and communicates funding opportunities, and provides grantsmanship advice, proposal development support and resources and tools to advance applications for funding.

Research Finance supports departments, labs, and centers to manage sponsored funds and maintain fiscal responsibility.

Research Compliance advises researchers in the areas of research integrity, conflicts of interest, and export controls in conjunction with the faculty Committees on Research Policy and Professional Conduct.

Institutional Animal Care and Use Committee (IACUC) Administration supports the faculty-led IACUC, helping researchers to follow myriad regulations designed to foster humane use and care of animals in research.

Committee on the Use of Human Subjects (CUHS) Administration supports the faculty-led Institutional Review Board (IRB) for the University-Area, ensuring adherence to the basic ethical principles of human subjects research.

RESEARCH ADMINISTRATION SERVICES
## INDIVIDUAL FUNCTIONAL AREA REPORTS

Fiscal Year 2016

Divisional Support

Divisional Support (DS) sponsored research staff support faculty and administrators across all three FAS Divisions as well as the John A. Paulson School of Engineering and Applied Sciences (SEAS). A dedicated divisional representative is assigned to each FAS Division—Arts and Humanities, Science, and Social Science—as well to SEAS; in each of these areas, we provide comprehensive pre- and post-award research administration support. In addition, the FAS Temporary Research Administration Consulting (FASTRAC) team offers project-based consulting services, as well as pivotal support to departments and centers with short-term staffing vacancies and needs.

Our team collaborates with divisional and departmental leadership to provide sponsored research support from the preparation and review of non-disciplinary proposal components to the review and approval of proposal submissions. We work to both enhance proposal competitiveness and ensure compliance with sponsor and University guidelines and policies, as well as award terms and conditions.

To provide clear and timely information to both faculty and administrators, our team analyzes and interprets sponsor requirements, monitors sponsored awards for financial compliance, and offers ad hoc advice to departments, divisions (FAS), and faculty. Furthermore, we monitor funding compliance trends and liaise with FAS leadership to implement ways to mitigate risk and recover indirect costs. As RAS and SEAS more formally integrated in FY16, we also provided analogous services to SEAS Area Administration. Our team also advises divisional leaders on staffing and capacity issues with respect to sponsored award management. Lastly, we liaise between departments and central offices to help manage complex audit and reporting issues, including departmental cost sharing commitments and other school-level commitments (e.g., space, resources, institutional approvals, PI rights, etc.).

Reviewed Proposals by Sponsor Type
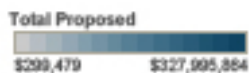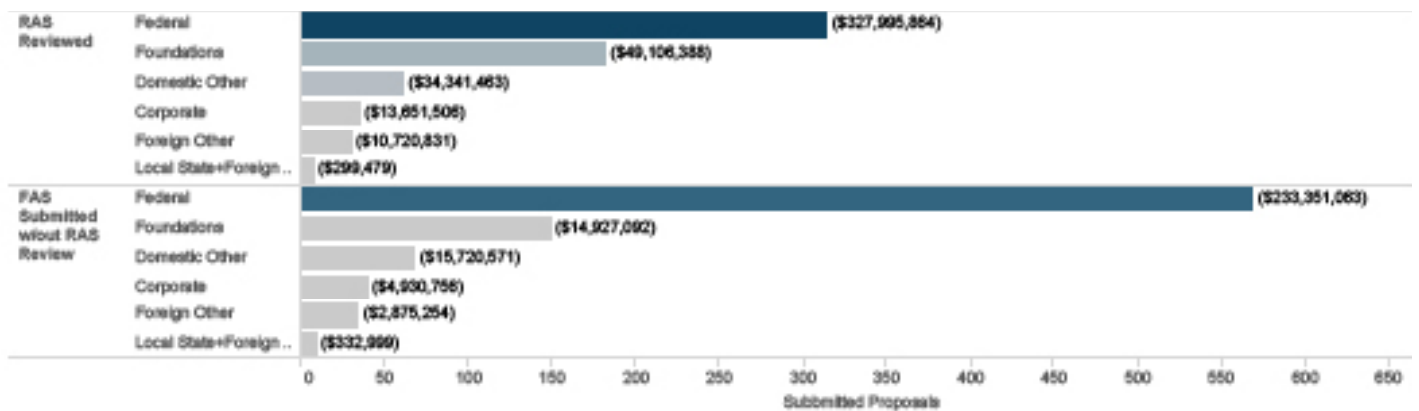
This graph displays FY16 FAS proposals that received RAS review versus those that did not. Within these categories, proposals are further divided by sponsor type.

The length of the bar indicates the number of proposals reviewed; the color hue represents the total amount of proposed dollars.

FY16 Accomplishments

Despite significant staffing changes within our team—over half our staff are new as of FY16—we continued to provide high-quality support for FAS departments and faculty. As shown in the chart above, the FAS submitted 1,479 proposals in FY16, of which our staff reviewed 621. FASTRAC provided coverage in at least 16 departments including SEAS, despite spending the last quarter of FY16 onboarding new staff members. Additionally, we provided expert consultation on a variety of other sponsored issues, such as cost sharing, strategic budget structuring, faculty/institutional eligibility, allowability of costs, and interpretation of sponsor guidance. Providing reliable, timely and excellent service to our client departments and researchers continues to be our top priority, even in times of immense staffing fluctuations.

Number of RAS Reviewed Requests, by Type of Request
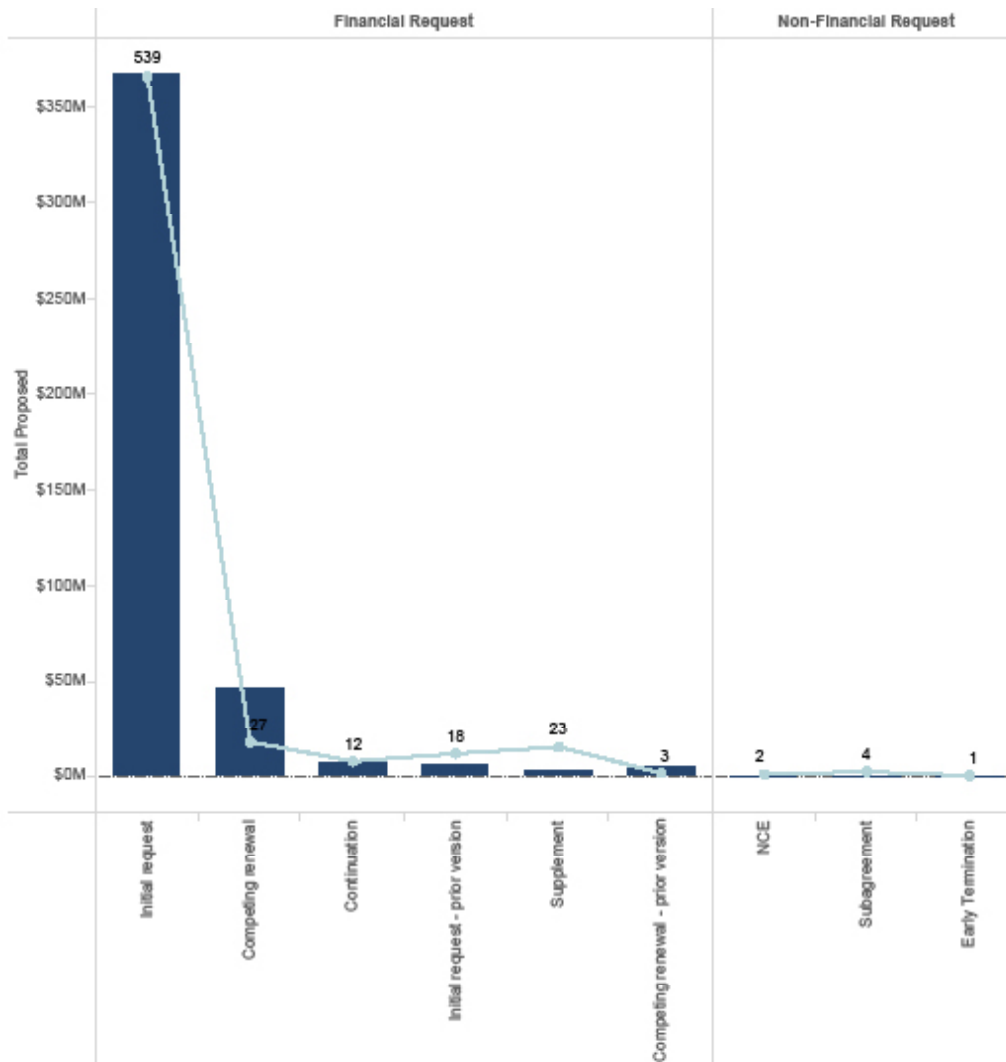
This graph displays the number of requests that RAS Divisional Support Staff reviewed as well as the total proposed dollar amounts for the Financial Requests

Divisional Support

In addition to maintaining a high-level of service, our team achieved the following accomplishments in FY16:

Harvard University Travel Policy

We aided in the launch of the revised Harvard University Travel Policy, modified to align with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Since travel is a substantial component of most federal awards, the change in the policy affected a majority of our clients. We partnered with OSP and other divisions of RAS to disseminate the changes and provide necessary trainings.

NSF Proposal and Award Policies Procedure Guide (PAPPG)

We provided in-depth sessions to discuss significant revisions to sponsor proposal and award requirements, such as the NSF PAPPG, modified in January. Our team collaborated with OSP to plan and host these sessions.

Harvard University Cost Sharing Policy

We participated in a university-wide committee to revise the Cost Sharing Policy, in which we provided transactional expertise and represented FAS and SEAS grants managers' perspectives.

RAS Council

We revamped RAS Council in response to departmental feedback. The Council—a monthly think-tank of department grant managers and our staff—was restructured to ensure it meets members' needs and provides a protected forum to craft departmental solutions, share best practices and talk through complex issues.

RAS Coffee Club, RAS Fridays, and RAS Listserv

We administered additional forums and communication tools designed to address departmental needs and disseminate information, such as RAS Coffee Club, RAS Fridays and RAS Listserv messages.

Research Excellence in Administration at Harvard (REACH)

We assisted in designing and teaching REACH curricula, including Foundations, Intermediate, and Advanced, as well as ad-hoc courses.

SEAS Restructure

We continued efforts initiated in FY15 to aid in the restructure of SEAS research administration. Following the dissolution of the SEAS Research Administration Office (RAO), RAS as a whole, and our team in particular, now provides overall support to SEAS faculty and area administrators, which consists of Assistant Directors for Research Administration and Finance (ADRAF), Research Portfolio Managers (RPM), and Area Directors. FASTRAC consultants have been integral to maintaining daily functions at SEAS during the transition period.

In conjunction with SEAS administration, we drafted and launched the new SEAS proposal review process; this is the first of several processes and guidance documents to be revised in light of the administrative restructuring.

Divisional Support

Research Development

Over the past fiscal year, the Research Development team (RD) continued to provide faculty with customized funding searches, grantsmanship advice, and proposal development support; timely communication of notable funding opportunities and important policy updates; and programming for both faculty and administrators. Our most significant development of the year was the expansion of our support services to include the John A. Paulson School of Engineering and Applied Sciences (SEAS) and the appointment of an additional FTE to support this expansion. Our team now serves over 800 faculty.

FY16 Accomplishments

Expanding our Service and Support to SEAS

In FY16, we began working closely with SEAS School leadership, administrators, and faculty to determine areas of interest and need. As a result, we identified priority areas and developed processes to streamline faculty nominations for early career awards and manage limited submission opportunities (LSO). Based on faculty feedback, we developed a new process to disseminate funding opportunities to the entire research community, and in July of 2016, we launched our inaugural SEAS Monthly Funding Newsletter. The Newsletter provides information on Federal, private, and Harvard-based funding opportunities for all research fields represented within SEAS. We conducted outreach meetings with all new SEAS faculty in the fall of 2015 and provided advice and support for early career proposal submissions including the Sloan Fellowship, NSF CAREER award, Packard, DOE Early Career award and other notable early career opportunities.

During July and August of FY16, SEAS faculty submitted 23 proposals ($11M requested); in July and August of FY17, SEAS faculty submitted 36 proposals ($25M requested). Although a variety of factors affect these numbers, it is promising to see the number of proposal submissions increase and the amount requested more than double as we start the new fiscal year.

NSF CAREER Workshop & Support

In FY16, we offered a new National Science Foundation (NSF) CAREER workshop. The purpose of the workshop was to alert eligible faculty about the program and provide advice and support to enable submissions. In May, we held a workshop for 13 faculty from FAS and SEAS, featuring first-hand perspectives from Harvard CAREER recipients, reviewers, a NSF program officer (Krastan Blagoev), and Harvard faculty members (Scott Edwards, Theodore Betley, and Felix Warneken). Following the workshop, we offered one-on-one support to attendees and all other eligible applicants in the FAS and SEAS. Subsequently, we held meetings with 12 faculty and provided sample proposals and support to develop broader impacts and education plans. Eight faculty members from FAS and SEAS applied for a total of $6M in funding from NSF CAREER Awards in 2016, and all eight applicants received direct support from our team.

New Faculty Institute & Support

FY16 marks the third year that Nina Zipser, Dean for Faculty Affairs and Planning, invited the Research Development team to present at the FAS New Faculty Institute. We provided a broad overview of our services followed by tailored advice for division-specific breakout groups. During the fall semester, our team met one-on-one with 30 new FAS and SEAS faculty members to build relationships, learn about their research areas and funding priorities, review RD services and support, and identify funding opportunities for current and future research projects. During our engagements with faculty, we also

Research Development

SAMPLE of SUCCESSFUL PROPOSALS SUBMITTED WITH RD SUPPORT, FY16

Emily Balskus, Morris Kahn Associate Professor of Chemistry and Chemical Biology
Camilly Dreyfus Teacher-Scholar Award

David Charbonneau, Professor of Astronomy
Blavatnik Family Foundation National Award for Young Scientists

Daniel Eisenstein, Professor of Astronomy
Simons Investigator Award in Physics

Kristin Koenig, John Harvard Fellow
NIH Early Independence Award

Matthew Desmond, John L. Loeb Associate Professor of the Social Sciences
W.T. Grant Scholars Program

Jeffrey Macklis, Max and Anne Wien Professor of Stem Cell and Regenerative Biology
Brain Research Foundation Scientific Innovations Award

Peter der Manuelian, Philip J. King Professor of Egyptology
NEH Humanities Collections and Reference Resources

Ian Miller, Professor of History
Mellon New Directions Fellowship

Kang-Kuen Ni, Assistant Professor of Chemistry and Chemical Biology and of Physics
Beckman Foundation Young Investigator Award
Packard Fellowships for Science and Engineering

Steve Ramirez, Junior Fellow of the Society of Fellows
NIH Early Independence Award

Mansi Srivastava, Assistant Professor of Organismic and Evolutionary Biology
Searle Scholars Program

provide advice on developing relationships with sponsors and connecting with previous Harvard award winners; we also offer proposal development services via sample proposals, templates for drafting proposal components, responsiveness reviews, and assistance developing non-disciplinary proposal components such as broader impacts plans, management plans, data management plans, post doc mentoring plans, and the selection of external evaluators.

Dean's Fund Planning

In March 2016, Dean Michael Smith announced the pending roll-out of the Dean's Competitive Fund for Promising Scholarship, a new internal funding source. In the months prior to this announcement, the Dean's Office enlisted our team to identify all internal funding sources available to FAS faculty and report on internal funding efforts at peer institutions. Using this information, we advised on the roll-out strategy, drafted RFPs, and served as the point of contact for award administration. In early summer, we worked closely with the award committee to finalize the RFP and application processes for the September 2016 roll-out.

National Institutes of Health Workshop

In FY16, we organized and planned a workshop for new faculty on strategies for applying for NIH funding. Professor Josh Sanes presented the workshop; 13 new faculty attended.

Funding Newsletters

Faced with growing demand for our services and support, we developed new funding opportunity newsletters and increased the number of faculty and administrators who subscribe to our existing newsletters. Each of the newsletters are sent out monthly, apart from the Brain Initiative, which alerts faculty immediately to new opportunities published under this Presidential focus area. Over the past year, no one chose to unsubscribe from these resources.

Research Finance

In collaboration with faculty, researchers, department administrators, the Office for Sponsored Programs, federal agencies and central administration, The Research Finance team provides guidance and assistance to ensure financial compliance and reporting of sponsored funds. We specialize in Post Award policies and procedures relating to cost-sharing, cost transfers, effort reporting, service centers, sub-recipient monitoring, award closeout and spending sponsored funds. We also provide audit support for the annual A-133 audit, and both federal and non-federal sponsored audits. In addition, we assist in the development of the University-Area Facilities and Administrative (F&A) cost rate.

FY16 Accomplishments

Our team provides extensive education and outreach to our departments, labs, and centers throughout the year. Committed to the professional development and ongoing personal development of all of our FAS Research Administrators, this year focused primarily on providing a series of trainings and drop-in sessions on the PI Dashboard, SPECTRA (FAS Supplemental Pay, Effort Commitment Tracking and Request Application), OBI Grants Financial Reporting, Cost Transfers, and the Travel Policy.

SEAS Support

As of November 2016, the SEAS Research Administration Office (RAO) was eliminated, and most of the research administration staff moved into department-like structures through the formation of 3 Administrative Areas. We now provide overarching leadership and support to SEAS, and aim to improve service to faculty and enhance the working relationships and processes for impacted staff.
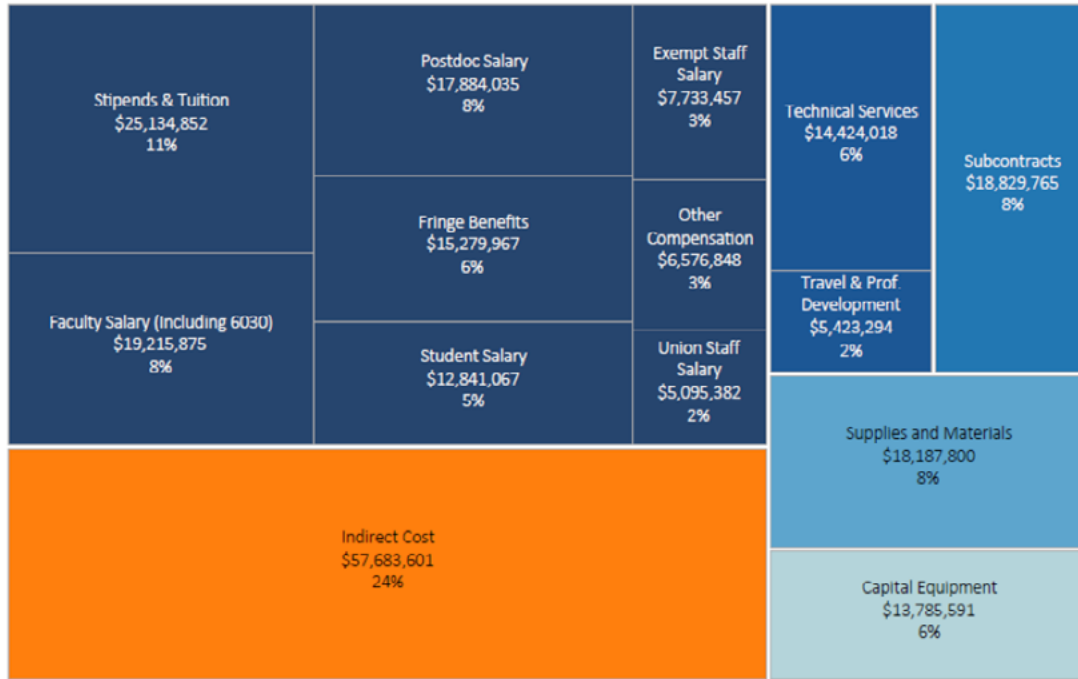
SPECTRA

FY2016 marked the first year that departments and their faculty could request supplemental salary through the new electronic system, SPECTRA, which launched in late FY2015. Our team worked closely with FAS Finance and Administrative Operations to offer several trainings and drop in sessions to support departments to adopt the new tool. In FY2016, we processed over 250 supplemental salary requests in SPECTRA. The online system replaced two paper processes: the supplemental request form, and the end-of-year effort commitment reconciliation process. The system is the first of its kind at Harvard, and provides more transparency and autonomy for staff that manage faculty supplemental salaries and effort commitments.

OBI Grants Working Group

The Modernization of Financial Reporting (MFR) Project is enhancing the University's financial reporting platform by implementing Oracle Business Intelligence (OBI) and converting all CREW grants financial reports, which are scheduled

FY16 Sponsored Expenditures
Total: $238,095,951 (Direct: $180,411,951 | Indirect: $57,683,601)

Stipends & Tuition
$25,134,852
11%

Postdoc Salary
$17,884,035
8%

Exempt Staff Salary
$7,733,457
3%

Technical Services
$14,424,018
6%

Subcontracts
$18,829,765
8%

Fringe Benefits
$15,279,967
6%

Other Compensation
$6,576,848
3%

Travel & Prof. Development
$5,423,294
2%

Faculty Salary (Including 6030)
$19,215,875
8%

Student Salary
$12,841,067
5%

Union Staff Salary
$5,095,382
2%

Supplies and Materials
$18,187,800
8%

Indirect Cost
$57,683,601
24%

Capital Equipment
$13,785,591
6%

Categories
■ Salary and Fringe   ■ Services   ■ Subcontracts   ■ Supplies and Materials   ■ Capital Equipment   ■ IDC

This treemap represents data for FAS, SEAS, and SCRB

to be decommissioned on December 1, 2016. Through participation on the Grants Working Group, we helped prioritize updates to current reports based on feedback from FAS Departments, as well as enhance grants reporting to meet the needs of our departments.

University-wide Internal Controls Initiative

Members of our team played a key role in this important University-wide initiative. As part of the long-term efforts by the University's Sponsored Administration Leadership Committee (SALC) to integrate the Federal OMB Uniform Guidance into our sponsored research policies and processes, key stakeholders from across the University met regularly for the past year to develop an assessment tool that identifies areas for improvement and opportunities to enhance the overall management and oversight of sponsored projects at Harvard. Over the summer and fall, we delivered the assessment through focus groups, and are currently in the process of analyzing the results to highlight potential areas for improvement. We will also present recommendations to senior leadership to inform strategic decisions that will assist University staff in the overall management of sponsored funds. Over 200 participants from the sponsored community contributed anonymously to this project.

Financial (PI) Dashboard

The Financial Dashboard is a tool developed for faculty and faculty administrators to inform decisions surrounding a faculty's financial portfolio including: financial balances, burn rates, commitments, projections, and budget-to-actuals/ reporting. The dashboard pulls data from multiple sources and simplifies the process of producing a financial snapshot. FAS successfully implemented the Financial Dashboard at the end of FY16 in two pilot departments: Psychology,

and Earth & Planetary Science. Our team participated in the kickoff meetings, assisted with account cleanup, and co-presented the Dashboard training sessions. The FAS Dashboard Leadership Team is currently developing an implementation work-plan for rolling the system out to other FAS departments and centers in the upcoming fiscal year.

Revised Travel Policy

In the fall of 2015, the office of University Financial Services rolled out a new Travel Policy. We consulted on this policy revision, which focused on revising the language governing travel on federal awards to align with the new OMB Uniform Guidance to ensure that the FAS remains compliant with federal regulations. In coordination with the Office of Sponsored Programs, we participated in trainings for many FAS departments and created a travel exception process with the FAS Office of Finance.

Concur

Harvard University is implementing a new system for processing employee expense reimbursements. We participated on the FAS Travel and Entertainment Engagement Council in addition to the Concur Sponsored Working Group to ensure the system will assist departments to comply with sponsored travel regulations. Through 2017, University departments and schools will migrate from Web Reimbursement to this best-in-class electronic Travel & Expense (T&E) system, Concur.

FY16 Subrecipients by Country ($26,560,777 Total)
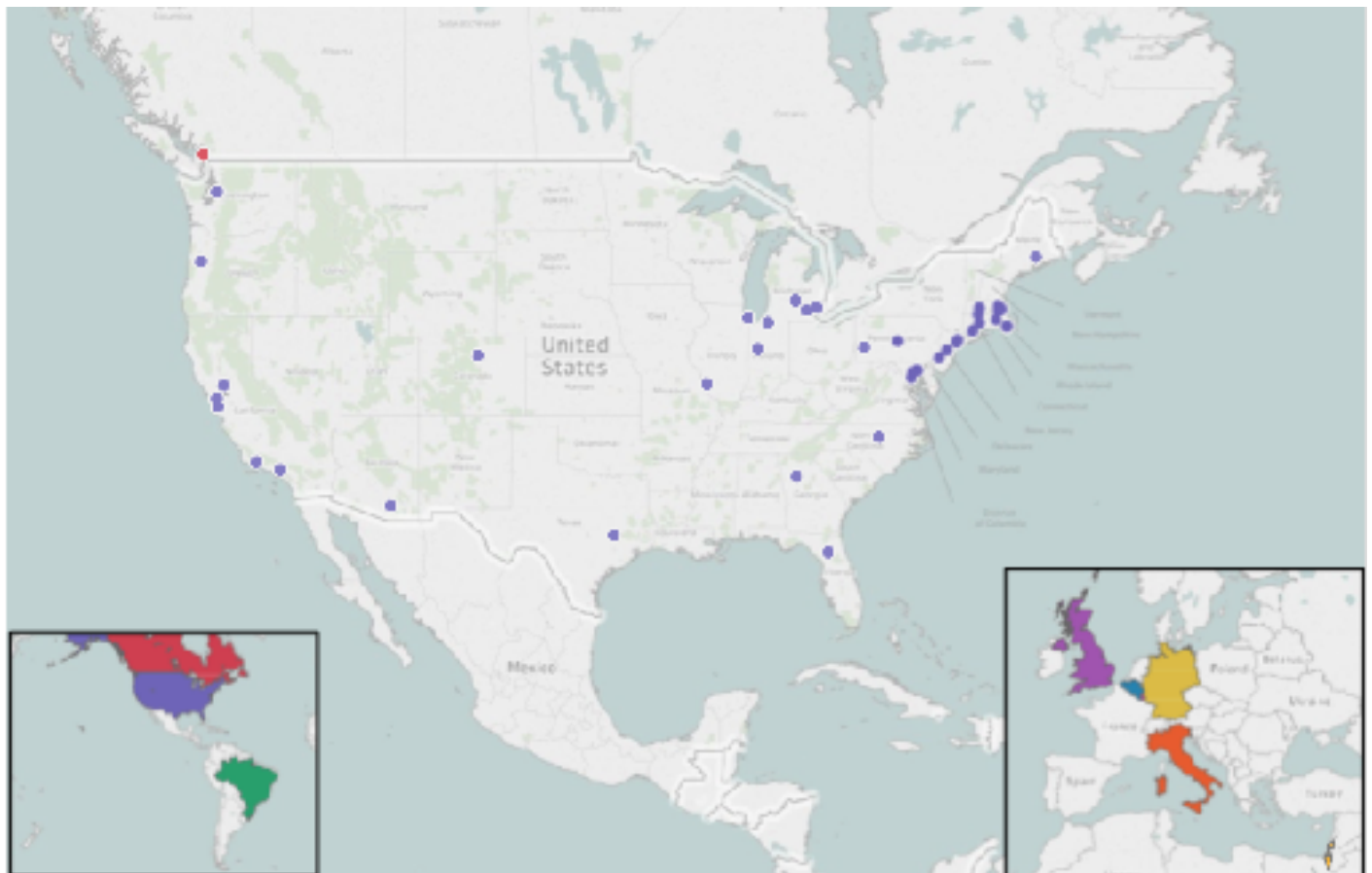
■ United States ($24,295,658)	■ United Kingdom ($380,885)	■ Belgium ($59,063)
■ Luxembourg ($779,721)	■ Brazil ($275,643)	■ Canada ($19,612)
■ Germany ($673,757)	■ Israel ($61,438)	■ Italy ($15,000)

This map represents subrecipient data for FAS, SEAS, and SCRB

Research Finance

Research Compliance

The Research Compliance team provides independent oversight of the FAS and SEAS research compliance programs, activities, and processes. We develop trainings and policies, as well as provide oversight and monitoring to assist members of the FAS and SEAS community to conduct responsible research. Our team ensures regulatory compliance in the key areas of Conflicts of Interest, Research Integrity, Export Controls, and the Responsible Conduct of Research.

Conflict of Interest

Conflict of Interest oversight was expanded in FY16 to include SEAS conflict of interest participants. All FAS and SEAS faculty members and those with teaching appointments (with a few exceptions) as well as any Investigator on a National Science Foundation (NSF), Public Health Service (PHS), or other sponsor that follows PHS conflict of interest regulations (PHS+) must submit an annual financial disclosure. In FY16, 1,471 participants, including 651 PHS+ Investigators, were required to report based on University and sponsor policies. Approximately 14% of financial disclosures resulted in a "needs review" status, which may include a significant financial interest, a fiduciary or management role, or receipt of royalties from licensed intellectual property. Most of the disclosures resulted in "no conflict". However, the FAS and SEAS have seven and five active conflict management plans in place, respectively.

Research Integrity

The Research Integrity Officer works with the Committee on Professional Conduct (CPC), a faculty-led standing committee, to reply to all allegations of research misconduct in the FAS and SEAS. The CPC receives 10 to 12 allegations of research misconduct in a given year. Of these, 2 to 3 cases move to the inquiry phase and, subsequently, 1 to 2 escalate to a full investigation. A full investigation can take from six weeks to six months. On rare occasions, however, complex investigations can take up to two years to complete.

Export Controls

The institution is responsible for ensuring that all faculty and departments are in full compliance with all federal export control regulations. Under various regulations instituted between 2013 and 2014, we reviewed and approved a total of 88 applications for H1B1 visas and 95 material transfer agreements for the FAS and SEAS. In addition, 8 proposals and research agreements were analyzed to ensure proposed export control language was acceptable to the FAS and SEAS. Finally, we provided guidance to faculty to determine which specific export regulations applied and provided assistance to acquire licenses from the appropriate regulatory agency as necessary.

Committee on the Use of Human Subjects Institutional Review Board

The guiding ethical principles of the Institutional Review Board (IRB)—embodied in the "Belmont Report": Ethical Principles and Guidelines for the Protection of Human Subjects of Research (The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research, April 18, 1979)—are respect for persons, beneficence and justice.

Harvard University policy and federal regulations require that all faculty, staff, and student research involving human subjects receive IRB review and approval. Our review board for Harvard University-Area researchers is the Committee on the Use of Human Subjects (CUHS), and our purpose is to weigh risks and benefits of participation in research and to protect the rights and welfare of research participants. Our CUHS staff provides support to an independent IRB committee including affiliated faculty and staff as well as non-affiliated community members. CUHS staff review human subjects research for all university area schools in Cambridge and Allston.

FY16 Accomplishments

Undergraduate-Initiated Research Activities Training Program
The Committee on the Use of Human Subjects (CUHS) office, in collaboration with the Office of Undergraduate Research and Fellowships, developed a comprehensive undergraduate research training program. The goal of the Undergraduate-Initiated Research Activities training program (UIRA), is to provide a platform by which to create better prepared undergraduate researchers.
Previous to this, the IRB was tasked with providing oversight for undergraduate projects whether or not the activity met the requirements for IRB review according to federal regulations. While IRB review provided a mechanism to ensure that a proposed project included appropriate precautions for protecting human subjects, it did not provide students with an educational component. The previous model generated frustration and anxiety among students and created long delays in the IRB submission queue for other projects.

The UIRA training program is comprised of in-person training sessions—offered several times throughout the academic year—a student-focused curriculum, and an online determination form that will assist students in assessing whether their project requires IRB review.

Working toward a more transparent approach
The IRB review process is not easy to navigate, especially to a nascent researcher. This year, we continued our office drop-in hours to answer questions, offer advice and guidance, and help individuals through the IRB review process.

Training and Outreach
Each Wednesday, the CUHS office holds office hours during which students and faculty may drop-in to seek guidance on IRB related questions or issues. Over the past year, we provided guidance to nearly 200 individuals. This is a significant increase from the previous year despite a hiatus in drop-in hours during the summer months due to workload constraints.

The CUHS office also provided eight outreach sessions specifically targeted toward undergraduates and 15 sessions to the larger research community. We are also on track to deliver twice as many training sessions in the upcoming months as compared to last year.

We also re-designed some of our existing training sessions. For example, we expanded sessions with Anthropology students, providing a two-part training—the first part on IRB history, underpinnings, and criteria for approval; the second part a round table Q&A to provide students with more nuanced information geared toward their field and populations of interest.

CUHS website

We continued to work on our website to improve the accessibility and value of the information presented. We now offer a brief and clear document on how to create and submit an application to the IRB, tips for speeding up the review process, and an overview of where to locate study documents—named "Where's My Stuff?" We intend to create and post even more resources in the upcoming year.
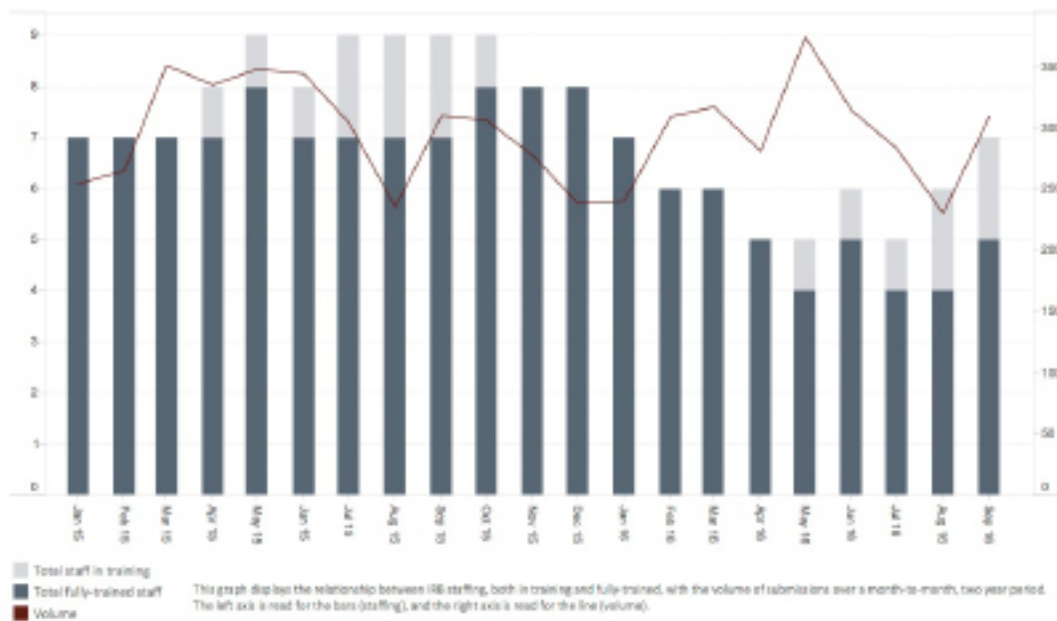
Key Activities to Improve Operations

As part of the re-accreditation process, the CUHS has been reviewing all current standard operating policies and procedures (SOPs). We are continually revisiting office practices, discussing consistency in the review process, and strengthening our internal processes.

Challenges

Over the past fiscal year, CUHS experienced a high degree of staff turnover (see chart below). While we hired some incredibly talented new staff members, the time invested in training new staff and the volume of the incoming workload prevented our office from operating at full capacity. These circumstances unfortunately resulted in lengthier turn-around times for most researchers. Fortunately, we will soon onboard our final staff member, and we are looking forward, and prepared, to provide better service to our research community.

Volume of Submissions in Relation to Staffing Levels

Total staff in training
Total fully-trained staff
Volume

This graph displays the relationship between IRB staffing, both in training and fully-trained, with the volume of submissions over a month-to-month, two year period. The left axis is a read for the bars (staffing), and the right axis is a read for the line (volume).
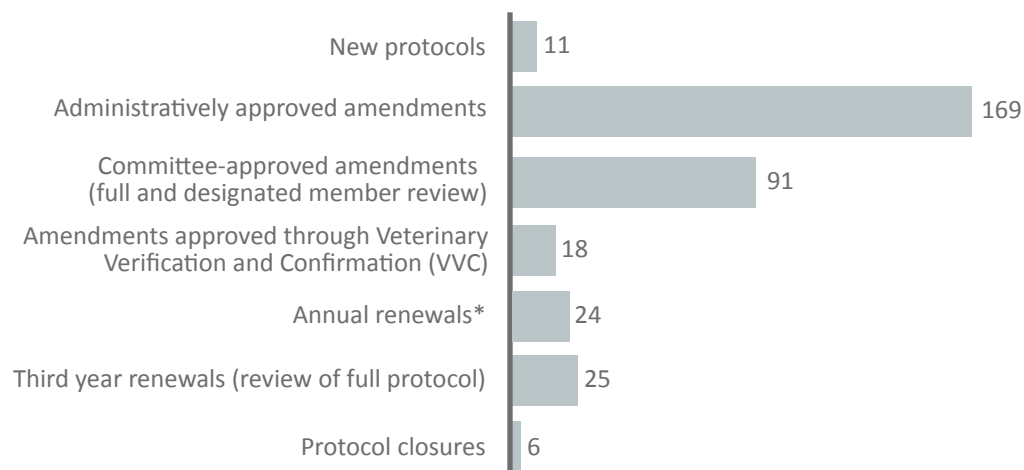
Institutional Animal Care and Use Committee

The Institutional Animal Care and Use Committee (IACUC) administrative staff serve both the FAS and SEAS in areas including the following:
- Support of IACUC functions as promulgated by federal, state, and local animal care and use rules and regulations;
- Oversight and application of the occupational health program for personnel working with or near animals, research personnel training program for the use of animals, and noncompliance tracking and corrective measure program;
- Vetting of sponsored research projects against approved IACUC protocols and confirmation of IACUC approval to funding agencies;
- Maintenance of institutional assurance, accreditation, registration, and license documents for the use of vertebrate species; and annual reporting to federal and city agencies.

FY16 Accomplishments

In FY16, the IACUC team maintained 100% compliance for those researchers and animal care staff who are required to be re-assessed on a triennial and annual basis in the occupational health program. The IACUC held ten full committee meetings, appointed and trained two new staff scientist members, and had no instances of non-compliance or animal welfare instances requiring reporting to the United States Department of Agriculture. In addition, the City of Cambridge annual inspection (12/03/15) and USDA routine site inspections (04/06/16 and 05/16/16) reported no findings.
In an effort to reduce administrative burden for researchers, the IACUC and Office of Animal Resources (OAR) teams

Protocol Actions Processed, FY16

New protocols	11
Administratively approved amendments	169
Committee-approved amendments (full and designated member review)	91
Amendments approved through Veterinary Verification and Confirmation (VVC)	18
Annual renewals*	24
Third year renewals (review of full protocol)	25
Protocol closures	6

*annual renewals only required for USDA and Department of Defense-funded protocols

significantly modified the eProtocol forms to include standardized language and content requirements, replaced select free-text fields with drop-down options, and eliminated redundant and non-required information. Additionally, the IACUC provided 35 pre-filled rodent procedures, which are available to be imported into protocols within the eProtocol system. The procedures include a built-in, commonly used drug formulary that will provide the pre-approved dosage and route and frequency of drug administration. Additionally, the procedures include a pre-approved, pre-operative preparation plan and post-operative recovery plan, as applicable.

We developed a brand-new, redesigned, more user-friendly website. Expanded guidance for grants managers to utilize in NSF, NIH, and Department of Defense proposals is housed on this website. Finally, we increased the frequency of our review of all IACUC policies and guidelines from an annual review to a minimum triennial review.

Type of Course	Number
Protocol Writing Sessions	2
Humane Care and Use of Animals Courses Held for Students	2
Animal Use Overview Sessions for SCRB Courses	3
Lab Training (includes non-compliance training)	11
Lab Manager Training*	6
OAR New Researcher Orientation (IACUC Section)	23
Responsible Conduct of Research IACUC Section	2
SCRB Lab Manager Meetings (IACUC Updates)	2
eProtocol Editor Trainings	15
Facilities Inspection Training for OAR Staff	1
Custom American Association for Laboratory Animal Science Learning Library online modules**	2

*Training was developed in FY16 to introduce new lab managers to their IACUC-related responsibilities
**Newly created modules included "Responsible Use of Laboratory Animals" and "Use of Peromyscus and Rhabdomys
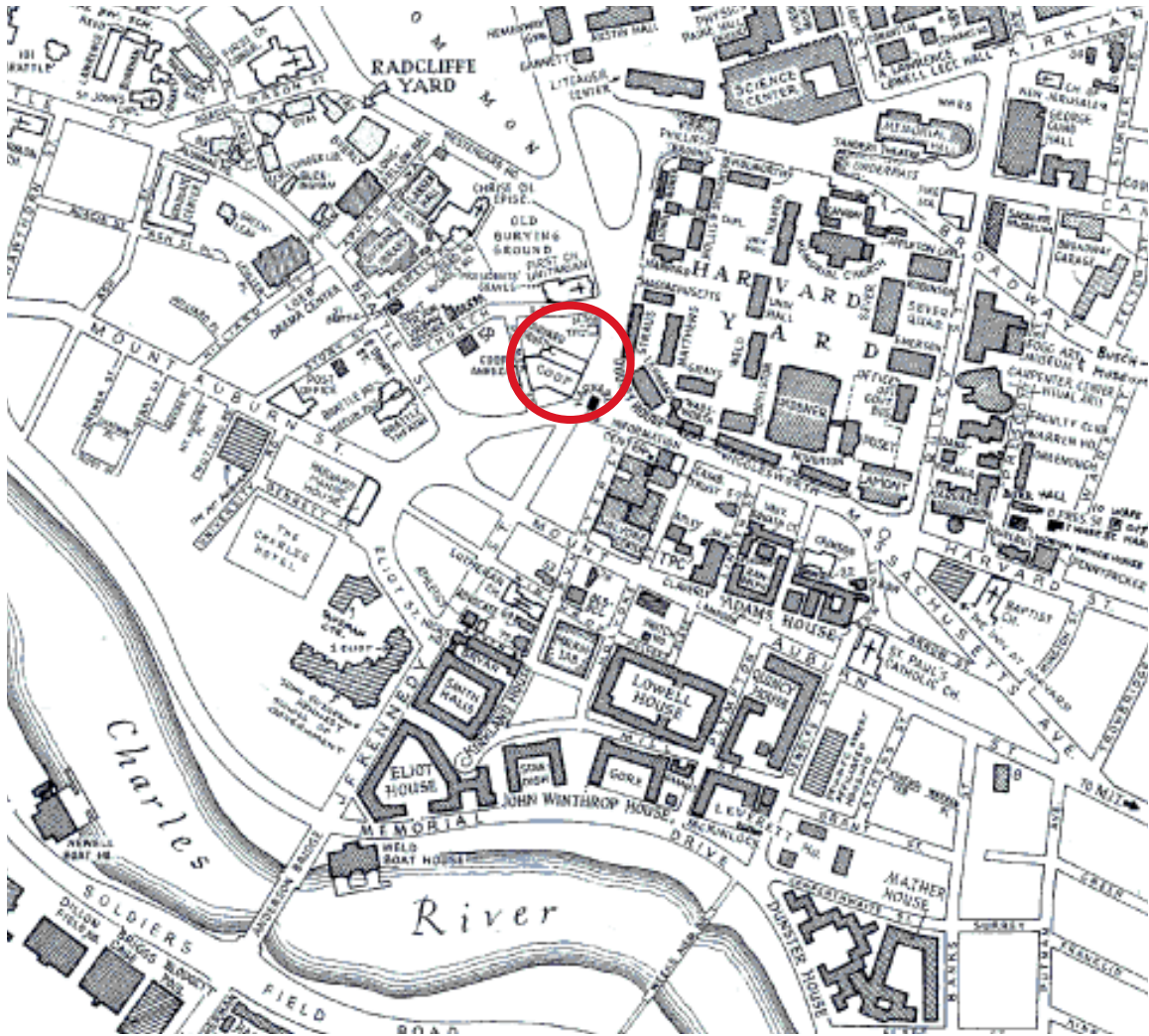
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