



# UPSTATE

## MEDICAL UNIVERSITY

### RESEARCH FORUM

Quarterly: Issue 37 Newsletter for The Office of Research Administration Spring 2010

**Ask REGELT.....**  
A new question and answers section of our newsletter.

**Submit your written questions to be answered by members of Research Staff and REGELT.**

Click the Ask ReGELT link below to submit a question.

[\*\*Ask ReGELT!\*\*](#)

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## *Disorders of the Nervous System*

### **Research Pillar: Disorders of the Nervous System**

More than forty-five Upstate faculty representing basic and clinical departments are involved in disease-oriented research that falls within the Disorders of the Nervous System pillar and many are supported by one or more NIH grants, giving it the designation as an area of research strength, as well as one most conducive to translation of discoveries from bench to bedside. Most research in this pillar falls into one of three areas: 1) developmental neurobiology of behavioral disorders; 2) disorders of the visual system; and 3) neural injury, neurodegeneration, and repair.

### **Developmental Neurobiology of Behavioral Disorders**

Basic and clinical researchers bring a diverse expertise in neuroscience, molecular genetics and epigenetics, behavioral science and brain imaging related to development and manifestation of behavioral disorders. VCFS, also known as Shprintzen Syndrome, was first identified by Upstate professor, Robert Shprintzen, Ph.D., et al. in 1978. With support from NIH, Jacobson Scholar Dr.

Wendy Kates' is seeking to identify biomarkers that predict schizophrenia, present in 30% of adults with VCFS. Dr. Steven Youngentob's NIH-funded research looks at olfactory stimulation from fetal exposure to nicotine and ethanol as contributing factors of risk for long-term use and abuse of these substances later in life.

Faculty in the Department of Psychiatry and Behavioral Sciences are researching the causes and treatments of a variety of other behavioral disorders, such as schizophrenia, autism, and ADHD. NIH awards are supporting schizophrenia research by Drs. Marina Myles-Worsley and Stephen Glatt and ADHD research by Dr. Stephan Faraone. With a Young Investigator Award from NARSAD, Dr. Zsuzsa Szombathyne Meszaros is seeking treatments for alcohol and nicotine dependent patients with schizophrenia.

### **Disorders of the Visual System**

Most of Upstate's vision researchers, including Drs. Peter Calvert, Barry Knox, Brad Motter, Francesca Pignoni, Daniel Tso, Andrea Viczien, and Michael Zuber, are dedicated to understanding retinal development and function. Their research is directed at determining the underlying mechanisms responsible for blindness and visual

impairment due to injury, abnormal development, and disease. Empire Scholar Francesca Pignoni, Ph.D., uses the genetically amenable Drosophila model system to understand how these processes of proliferation, cell fate specification, and cellular differentiation are integrated during formation of the eye.

### **Neural Injury, Neurodegeneration, and Repair**

Drs. Blair Calancie, Russ Durkovic, Donna Osterhout, and Dennis Stelzner are hoping to unlock the secrets to spinal cord regeneration caused by disease, degeneration or injury. with funding from NIH and the State Health Department/Wadsworth Center Spinal Cord Injury Research Program.

Researching causes, progression, and treatments for neurodegenerative diseases is another strength in this pillar area. Dr. Jeremy Shefner is co-chair of the Northeast ALS Clinical Trials Consortium (NEALS), a group that has organized and conducted large, multicenter clinical trials with NIH and other sponsorship. With funding from the ALS Association, Dr. Shefner is also evaluating two non-invasive biomarkers of ALS disease progression in ten sites throughout the US.

*Continued on page 3*



## *The VPR Update*

So many exciting things are happening regarding research at Upstate that I will hit the highlights with several bullets below.

- At the end of ten months of this fiscal year our research expenditures are up 19% which projects to \$39 million by year's end. Congratulations to you all.
- Our Research Administration group, including pre and post award, compliance and office of the VPR, received well deserved kudos for their wonderful work when they were named Team of the Year Campus at the President's Employee Recognition Award Ceremony on May 20, 2010. We applaud this outstanding group for the service that they provide to the Upstate research community.
- On May 18, 2010, Cynthia Dowd Greene joined us as Upstate Associate VP for Industry Relations. Cynthia (or Cindy) has previously held leadership positions at Bristol Myers Squibb and Rondaxe. She will be bringing her considerable expertise to Upstate to help us build our Industry Sponsored Research by acting as a matchmaker between our research faculty and appropriate bio-industry partners. Please welcome Cindy to Upstate.
- We will be holding our very first Faculty Research Collaboration Day on June 4, 2010 from 8 AM until noon. Our speakers for this seminal event will be Bernie Poiesz, Gerold Feuer, Zsuzsa Meszaros, and Frank Middleton. The purposes of this annual event are to create broader awareness across Upstate of the outstanding basic and clinical research which is being conducted and to stimulate collaborations
- IIBMST: The opening celebration for the International Institute of Biomedical Sciences and Technology (IIBMST) will be held at Upstate on July 20th and 21st, 2010. Our distinguished guests will include the leadership of the Technion and the National Cheng Kung University (NCKU). The Technion delegation will include:

Prof. Peretz Lavie, President  
 Prof. Oded Shmueli, Executive Vice President for Research  
 Prof. Yuval Shoham, Deputy Vice President for Research  
 Prof. Ido Perlman, Dean Faculty of Medicine

The NCKU delegation will include:  
 President Michael Lai, Academician Academy Sinica  
 Senior Executive VP Da Hsuan Feng, Interim Director of R&D  
 Associate Dean for Research, COM, Dr. Ih-Jen Su  
 Dean, COM, Dr. Charles CH Lin

The two days will include:

- a presentation by the IIBMST Executive Committee to the Leadership of NCKU, the Technion and Upstate on progress over the first year of IIBMST existence
- a discussion of future plans including research collaborations and possible student and faculty educational and research exchanges
- a Symposium on Vision Research honoring Bob Barlow
- a Global Health Symposium
- interaction of these leadership delegations with the community
- a celebration of the creation of this unique international collaboration

You will soon be receiving information on all of the events in greater detail.

I hope that this brief Update gives you a sense of some of the exciting research news at Upstate. To help in communication I am establishing an "Ask ReGELT Column" for all future Research Forums. You send us questions, in a form that can be printed, and I will select one to be answered in each issue of the Research Forum.

Steven R. Goodman, Ph.D.  
 Vice President for Research  
 Dean, College of Graduate Studies

*Continued from the front page.*

Drs. Sharon Brangman, Xin Jie Chen, and Michael Lyon are researching aspects of neural degeneration due to age, and Drs. Canute and Post, brain tumor prevention and therapy. Drs. Dosa and Turk focus their research on patients with lifelong disabilities, such as cerebral palsy, spina bifida, and polio. With proximity to the Veterans Administration Medical Center, where a major spinal cord injury center is currently under construction, and with a focus on neurodegenerative diseases that tend to strike in mid-to late-life, this research area is likely to grow through collaborations with the VA, especially as our population ages.

#### **News from Other Research Pillar Areas**

##### **Cancer**

The Upstate Cancer Research Institute Grand Opening Ceremony and Symposium on Thursday, June 10 includes a reception, opening ceremony, group tour, and symposium featuring internationally renowned speakers. Look for more details at <http://www.upstate.edu/pharm/>.

##### **Infectious Disease**

The National Institute of Allergy and Infectious Diseases (NIAID) has awarded Dr. Jennifer F. Moffat, Department of Microbiology & Immunology, a seven year contract through the "Animal Models of Infectious Diseases" program to provide a unique and flexible range of mouse models for evaluating therapeutics for human infectious diseases.

## *Research Administration Personnel Updates: The Comings and the Goings*

### *The Comings...*

In February, the Research Admin Office welcomed Jean Cardillo as IRB Coordinator. Jean replaced Patrick Hickey, who left Upstate to relocate to Texas. For Jean, this was a move back to Central New York after living in Durham, North Carolina for 12 years. While in Durham, Jean worked in the Duke University Medical Center for nine of those 12 years as IRB Coordinator. Jean looks forward to meeting and working with the Upstate research community.

Also joining the Research Admin Office this winter was Pat McCloskey, Regional Associate Director for Technology Licensing and Industry Relations. Pat is working with Upstate inventors and industrial partners to appropriately develop and license faculty inventions. Pat comes to Upstate from both the corporate and academic sectors, having experience in technology management and business development. Another new face in the office has been Marcene Sonneborn, SBIR Specialist at the CNY Technology Development Office, who comes to Upstate on Wednesdays to facilitate industry collaborations by assisting with the preparation and sub mission of competitive SBIR and STTR applications.

In May, Cynthia Dowd Greene joined the Research Admin Office as Associate Vice President for Industry Relations. Cindy will serve as a matchmaker, stimulating collaborations between Upstate's basic and clinical scientists together with industry to grow clinical trials and find licensees for Upstate faculty inventions, thus establishing Upstate's first IP office. She will develop relationships with start-up and existing bio-related industry designed to bring tenants to the CNY Biotech Research Center and create apprenticeship opportunities for Upstate's graduate students interested in biomedical careers in industry. Cindy brings a wealth of experience with industry to this position as a former partner in Rondaxe Pharma and positions with Newport Strategies, a Thomson Business, and Bristol-Myers Squibb.

### *... and the Going*

After more than 34 years of successfully getting applications submitted and assisting with the establishment of extramural accounts and grants administration as Director of the Sponsored Programs Office, Dave Temple is retiring in early July. Dave has requested that we send him off without a great deal of fanfare—no retirement gala, no brass band farewell, no fireworks. Please take a moment in the next few months to stop by Dave's office in 1111D and bid your farewell to this Upstate icon of research pre-award. Jennifer Rudes will replace Dave as Director of Sponsored Programs.

## *Research Administration on the Move*

Research Administration recently moved to new offices located in the northeast wing of Weiskotten Hall. VP for Research, Dr. Steve Goodman and his Administrative Assistant, Barbara Ames, are now located in 1118. Research Compliance is in 1109 and Sponsored Programs and Research Development are in 1111.

This move has brought varied research administration functions to one central location, where we are better able to serve and support Upstate's research enterprise. Don't wait for our open house, stop in now to visit us and check out our new digs.

## *Implementing the Strategic Plan for Strengthening Research at Upstate Medical University*

When Upstate's Strategic Plan for Strengthening Research was finalized and approved in 2008, Dr. Steven Goodman, VP for Research, brought a group of Upstate faculty together to take the second step—developing an implementation plan to assure that our Strategic Plan did more than take up space on a shelf.

The committee to develop the Strategic Plan Implementation included representatives of the four research pillars and foundational sciences, Upstate administration, and facilities planning. This team was tasked with developing a detailed series of action steps needed to achieve the goal of strengthening and growing our research enterprise. The first and most immediate concern to be addressed by this committee was how to plan ten years out in such economically turbulent times. Special accolades go to Dr. Tim Endy and Tom Pelis, PE, for suggesting the Gantt chart as the ideal implementation tool and teaching the rest of the committee members how to use this tool. The Gantt chart's ability to list, schedule and inter-relate action steps made it possible to develop an implementation plan that can accommodate a variety of "what if" economic scenarios over the ten year strategic planning period, as well as update and reschedule these actions as financial conditions change over time.

The Implementation Plan, lists five strategies designed to grow research:

1. Develop regional statewide, national, and global research partnerships.
2. Increase research expenditures.
3. Hire additional basic and clinical researchers within the designated pillar and foundational science areas.
4. Increase laboratory and office space to accommodate these new researchers.
5. Strengthen our recruitment, education, and research training of graduate students and postdoctoral fellows.

The Gantt chart of action steps will be updated bi-annually; with each update, as tasks are refined or re-phased, linked tasks will adjust accordingly. The plan's conclusion provides metrics to be utilized to measure success in completing actions steps and accomplishing strategies.

The Strategic Plan for Strengthening Research and Research Implementation Plan are posted on the Research Admin website home page at <http://www.upstate.edu/researchadmin/>.

## *American Medical Association Foundation Provides Research Support For Medical Students and Residents*

While most of us are familiar with the American Medical Association and the services and support provided to physicians, physicians in training, and the public, less is known about the AMA Foundation. Found on the web at <http://www.ama-assn.org/ama/pub/about-ama/ama-foundation.shtml>, the AMA Foundation is dedicated to improving the health of Americans through philanthropic support of quality programs in public health and medical education. In the public health arena, the foundation supports public education campaigns and community service efforts, such as health literacy and public health improvement projects, as well as award programs that recognize health professionals who make outstanding contributions to the fields of public health and medical ethics.

Because today's medical students and residents face great financial pressures, the AMA Foundation provides direct financial assistance through scholarships and grants, as well as links to other financial opportunities. The Seed Grant Research Program provides resources to medical students, residents, and fellows to conduct small basic, applied or clinical research projects. Two Upstate surgical residents, Drs. Shreyas Roy and Keri Seymour, have recently received AMA Foundation Seed Research Grants. Shreyas Roy, M.D., CM, working in the Nieman Lab, will use these grant funds to pilot test a surgically implantable device designed to prevent secondary lung injury from septic shock, a condition that affects more than 650,000 patients yearly and claims the lives of one in five afflicted. This device was designed by the research team in the Critical Care and Cardiopulmonary Research Lab in Upstate's Department of Surgery and is intended to prevent secondary lung injury in the septic patient.

With her Seed Research Grant entitled "The Effect of Statins and NO-statins on Thrombospondin-1 Induced Vascular Smooth Muscle Cell Proliferation & TSP-1 Expression in Hyperglycemic & Hypercholesterolemic Cells," Keri Seymour, M.D., will investigate the role of proteins in the extracellular matrix, ex. thrombospondin-1, in contributing to the proliferation of vascular smooth muscle cells in response to increased glucose and cholesterol. She is researching atherosclerosis, a vascular disease that is accelerated in patients with diabetes. The incidence of type 2 diabetes is dramatically increasing in the United States and the cost of diabetes to our health care system is estimated to exceed 200 billion dollars by the year 2020. She will further study the efficacy of new therapies to slow this process.

The AMA Foundation Seed Grant Research Program was created to encourage more physicians to consider research as a career option, and many grant recipients go on to publish their work, present at scientific meetings, and secure larger grants. For Drs. Roy and Seymour, this could be the start of long, successful careers in academic medicine.

The 2010 Seed Grant Research Program deadline has already passed, but applications for the 2011 program for research in Cardiovascular/Pulmonary Diseases, HIV/AIDS, Leukemia, and Neoplastic Diseases will be available shortly with a deadline of 12/6/10.

Information about the seed grant program is available at <http://www.ama-assn.org/ama/pub/about-ama/ama-foundation/our-programs/medical-education/seed-grant-research.shtml>. More resources for Upstate students, residents and faculty can be found at Community of Science ( <http://fundingopps.cos.com/> ), and in Funding Update, the weekly email funding alert issued by the Research Development Office and available on the web at [http://www.upstate.edu/researchadmin/sponsored\\_programs/funding/email\\_alerts/email\\_upstate.php](http://www.upstate.edu/researchadmin/sponsored_programs/funding/email_alerts/email_upstate.php).

### *Upstate Resident Dr. Shreyas Roy Also Receives Prestigious Award*

The Nieman Lab recently announced that Dr. Shreyas Roy placed first in the NYS Chapter of the American College of Surgeons 2010 Basic Science Category for his paper entitled, "Administration of COL-3, a Chemically Modified Tetracycline, Prevents the Acute Respiratory Distress Syndrome in a Chronic Porcine Sepsis and Ischemia/Reperfusion Model."

## *Community of Science Offers More than Funding Opportunities*

Thanks to generous support from the SUNY Research Foundation on behalf of multiple SUNY campuses, we have upgraded our Community of Science (COS) subscription. In addition to the database of funding opportunities, new enhancements are available to Upstate faculty, staff and students. From the home page (<http://www.cos.com/>), one can create a workbench to conduct, save, edit and share funding searches, and weekly emails tied to searches can be requested.

The COS Expertise database, designed to facilitate collaborations between researchers at different institutions, is another new tool. Because we did not have access to the Expertise database until recently, most of Upstate's faculty Expertise profiles (<http://expertise.cos.com/cgi-bin/searchexp?code=33749>) are very out of date. The Research Development Office would like to work with faculty and/or administrators to get all Upstate researchers into Expertise and update all profiles.

For more information about the full suite of COS services contact the Research Development Office at [humphreb@upstate.edu](mailto:humphreb@upstate.edu).



## NIH POLICY on: Genome-Wide Association Studies (GWAS)

A genome-wide association study is defined by NIH “as any study of genetic variation across the entire human genome that is designed to identify genetic associations with observable traits (such as blood pressure or weight), or the presence or absence of a disease or condition”.

This policy addresses the requirements for sharing of data obtained from GWAS studies which are supported or conducted by NIH. The expectation is that the genotype and phenotype datasets from such studies will be made available as soon as possible for use by the scientific community.

The National Center for Biotechnology has developed a database called **dbGaP** (Database of Genotype and Phenotype) which serves as the NIH GWAS data repository. The purpose dbGaP is to archive and distribute the results of studies which investigated the interaction of genotype and phenotype. The various NIH funding Institutes have established Data Access Committees (DACs) to review and approve requests for access to the GWAS data in the data repository.

NIH competing grant applications (including FOAs and RFPs) and contract proposals which include a genome wide association study (GWAS) are subject to this policy. The grant or contract proposal must include a plan to share the data obtained from the study with the NIH GWAS data repository. The NIH expects that the following minimum data be submitted:

1. A description of the study
2. Coded genotype and phenotype data (criteria described in policy)
3. Institutional Certification - approving the submission to the NIH

There may be reasons why data cannot be submitted. Examples are: informed consent issues, local laws, concerns about individual and group harm, etc. The NIH expects that the proposal include a description of why data cannot be shared.

When conducting human subject research, specific language about the inclusion of subject data in the NIH genotype and phenotype data base (dbGaP) must be included in research consent form. The study PI must obtain Institutional certification from the Upstate IRB prior to any submission of data to dbGaP. Review by the IRB ensures that subjects have given appropriate informed consent for sharing of their data.

To Access the full NIH policy and guidance please visit the GWAS web site at:

<http://grants.nih.gov/grants/gwas/>

*“The National Center for Biotechnology has developed a database called dbGaP (Database of Genotype and Phenotype) which serves as the NIH GWAS data repository”.*

### **College Face Sheet Update**

One of the ways we are now Tracking applications and grant awards is according to research pillar. To facilitate that tracking, the College Face Sheet (CFS) has been updated and requires you to indicate which research pillar (or pillars) your application addresses.

Thank you in advance for including this information on your college face sheet for your future grant submissions.

# Clinical Trial News from the QAIP

## *Informed Consent: What Can Go Wrong?*

### *A Top Ten List*

**1. missing consent documents**

*Strategy:* Make sure to maintain all original signed consent documents in study or subject files. Do periodic self audits of all signed consent forms.

**2. missing pages of signed consent documents**

*Strategy:* Ensure that all pages of the consent form are present before using. Consider routinely doing one sided copying to avoid printing errors.

**3. wrong version and/or unstamped consent document used**

*Strategy:* Keep the current consent in a "current" or "use only" file, and discard extra blanks when consent forms are expired or have been revised. Ensure that the consent form has the IRB stamp on each page.

**4. missing signatures**

*Strategy:* The person obtaining consent must sign and date the form at the same time as the subject does. If a witness signature line is included on the form, then obtaining a witness to consent is required. Consider petitioning the IRB to remove a witness from the consent process via amendment request.

**5. missing dates and/or backward or forward dating on consent forms**

*Strategy:* Ensure that each signature is individually dated when consent is obtained. Avoid the use of arrows to indicate the same date, and never backdate or forward date a consent document.

**6. signed consent document and/or Upstate Notice of Privacy Practices not provided to enrolled subjects (as applicable)**

*Strategy:* Always provide a copy of the signed consent form to the subject. If the study is subject to the HIPAA regulations, Upstate's Notice of Privacy Practices (NOPP) must be or have been provided to subjects. Document the subject's receipt of these items as applicable.

**7. consent obtained by someone not approved as a study team member**

*Strategy:* Persons obtaining consent for study participation must be listed on the IRB application. The investigator must indicate the appropriate personnel, in terms of education and background, who are authorized to obtain consent.

**8. handwritten changes made to a consent document**

*Strategy:* Implementation of any change must not occur prior to IRB approval unless the change is required to eliminate an immediate hazard to the subjects.

**9. amended consent form not signed after an IRB approved change (as applicable)**

*Strategy:* If the amendment request states how new information will be provided to already enrolled subjects, this plan must be enacted and documented as approved.

**10. assent of minor subjects not documented according to the IRB Application**

*Strategy:* Obtain written assent as stated on the IRB approval letter or the IRB meeting minutes, or document why assent was not obtained.

Investigators and their staff are encouraged to conduct periodic self-audits and study meetings. As always, if problems are found, the IRB Office should be contacted in a timely manner for assistance with the formulation of an action and/or resolution plan.

For further information please contact Robin Cerro, QAIP coordinator@ [cerror@upstate.edu](mailto:cerror@upstate.edu) or ext 44328.

**Compliance Office**

IRB Meeting Dates and Deadlines can be found on our website at:

[IRB MEETING DATES AND DEADLINES](#)

IBC Meeting Dates and Deadlines can be found on our website at:

[IBC MEETING DATES AND DEADLINES](#)

**Research Administration Seminars, Now Available on Web:**

Research Administration Seminars are now online at <http://www.update.edu/researchadmin/>.

You can also request a live seminar: visit our staff directory for contact information at <http://www.upstate.edu/researchadmin/directory.php>.

**Committee for the Humane Use of Animals (CHUA)**

Committee Chair: Dr. Michael Lyon , CHUA Coordinator: Ms. Karen Miller, Website: [www.upstate.edu/dlar/chua](http://www.upstate.edu/dlar/chua)

Upcoming Meetings*	Protocol Submission Deadlines (by 4:00pm)
June 14, 2010	May 17, 2010**
July 12, 2010	June 15, 2010
August 9, 2010	July 15, 2010
September 13, 2010	August 16, 2010**
October 18, 2010	September 15, 2010
November 8, 2010	October 15, 2010
December 13, 2010	November 15, 2010

\*Meetings scheduled during holiday weeks may be changed at the discretion of the Committee.

\*\*15<sup>th</sup> of this month falls on weekend.

**ATTENTION INVESTIGATORS:**

Do you get ketamine, buprenorphine, pentobarbital or other controlled substances through DLAR? If so, please plan on attending or sending a representative to one of the following informational session.

***New Controlled Substances Procedures***

Dr. Robert Quinn, Director, DLAR

June 8<sup>th</sup> or 15<sup>th</sup>, 3509 Setnor 3-4 PM

## State of the Art Fish Facility Opens in Weiskotten Hall

The freshwater tropical zebrafish (*Danio rerio*) has recently become an important model organism for biomedical research. Zebrafish are well-suited for studies of embryonic development, cancer, infectious disease and organ regeneration. In addition, the small sizes of the zebrafish make it an excellent system for high-throughput genetic and drug discovery screens.

The Department of Laboratory Animal Resources (DLAR) is pleased to announce the opening of a new zebrafish facility within the vivarium in Weiskotten Hall. The facility was spearheaded by Dr. Jeffrey Amack in the department of Cell and Developmental Biology and was jointly funded by a grant he received from the Hendricks's Fund, DLAR and Cell and Developmental Biology. This facility is available for use to all Upstate investigators using zebrafish in their work.

Some features of the system:

- Multiunit housing system from Aquatic Habitats
- 720 3-L tanks
- Total housing capacity of 21,600 zebrafish
- Shared water recirculating system with 10% daily change out of reverse osmosis treated water
- Water treatment includes multistage mechanical filtration, carbon filtration, UV sterilization, pH balance and electrolyte balance
- Multisystem water monitoring for dissolved oxygen, total gas pressure, pH, conductivity, water temperature, and salinity
- Data collection system can track trends in water quality
- Alarm system with auto dialer instantly notifies of system malfunction



New Zebrafish Facility in Weiskotten Hall

The recent rise in popularity of zebrafish stems, in part, from the ability to maintain large numbers of animals in a relatively small space and at low cost. Another attractive advantage for developmental biologists is the external development of zebrafish embryos. Embryos collected from zebrafish crosses rapidly (in 1-2 days) begin to develop vertebrate organ systems, including the cardiovascular, nervous, musculoskeletal, gastrointestinal and vision systems. Furthermore, zebrafish embryos are optically transparent, allowing researchers to study the development of cells and organs in a live embryo.

The Upstate zebrafish facility will house several different strains of mutant and transgenic zebrafish. These strains will be available to all Upstate investigators. Among the transgenic zebrafish will be strains engineered to express fluorescent proteins in specific tissues—such as the heart, blood vessels or neurons. A long-term goal is to use the facility to conduct a large-scale genetic screen, in which researchers from several labs participate in the identification of new mutations that affect multiple aspects of embryonic development. For more information visit <http://www.upstate.edu/dlar/>

## Celebrating Student Research at Upstate Medical University

### **Student Research Day Highlights**

Wednesday, March 31 marked the second annual Student Research Day at Upstate. The day began with ten platform presentations by students representing the Colleges of Graduate Studies, Health Professions, Medicine and Nursing in Medical Alumni Auditorium. A Student Poster Session and reception immediately followed the platform presentations in the 9<sup>th</sup> floor Weiskotten Hall cafeteria. More than 60 posters were displayed, with students from the four colleges present to discuss the research presented in their posters to other students, faculty, staff and the community in attendance.

### **Charles R. Ross Memorial Keynote**

More than 150 members of the Upstate community, including faculty, students and staff, crowded into Medical Alumni Auditorium on Friday, April 2 for the Charles R. Ross Memorial Keynote address delivered by Nobel Laureate Phillip A. Sharpe, Ph.D., Professor at the Massachusetts Institute of Technology and a world leader in molecular biology and biochemistry research. Dr. Sharp's presentation, "RNA's role in gene regulation," was well received by this attentive audience. Dr. Sharp was selected as the keynote speaker by a student planning group, and they were also able to program time for Dr. Sharp to meet and lunch with students prior to and following his keynote address.

## *New Policy Guides Relationships with Industry*

The Policy on Relations with the Pharmaceutical, Medical Device, and Biotechnology Industries, after several months of open dialog and comment about the policy, became effective in February 2010.

Concerns at this university and around the country that relationships with industry have the potential for interfering with what is best for the patient and compromising the integrity of research and education programs led to the development of this policy. At the request of President David Smith and Dean Steven Scheinman, Dr. Kathy Faber-Langendoen led a group of faculty, staff, and students across Upstate Medical University in crafting a comprehensive policy and set of guidelines to address those concerns. Dr. Steven Goodman chaired a key subcommittee, the Research Task Force that drafted guidelines for relations with industry in research and the training of scientists.

The policy applies throughout Upstate Medical University to all employees, including faculty, staff, students, residents, and others in training. Dr. Greg Eastwood serves as the Conflict of Interest (COI) Officer under the new policy. In the following, "Industry" refers to the pharmaceutical, medical device, and biotechnology industries together.

Key features of the policy are:

1. All faculty must disclose annually to their chair and the COI Officer all financial arrangements with Industry that exceed \$1,000 from any single company and other relationships with Industry, such as equity holdings and service as an officer, director, or advisor.
2. Individuals in a teaching capacity should inform their students and other learners of their relationships with Industry.
3. Gifts of any value from Industry, including research sponsors, are prohibited.
4. University resources, including but not limited to laboratory facilities, work products, results, or information developed with University funding or other Upstate support, should not be used for personal gain.
5. Individuals with any financial interest in Industry, or whose immediate family member (spouse, domestic partner, or child) has such an interest, must disclose it and withdraw from involvement in purchasing decisions or business transactions relevant to the conflicting interests.
6. Inventors and developers of intellectual property must declare their personal financial interests, and those of their family (spouse, domestic partner, or child), prior to the start of the licensing process.
7. All individuals on University review panels (e.g., IRB, IACUC, Research COI Committee, purchase evaluation committees) must declare potential conflicts at the time of their appointment.
8. Anyone involved in conducting or reporting Industry-sponsored research must report any possible personal conflict of interest related to the sponsored research.
9. Ghostwriting is prohibited.
10. Industry may provide support for continuing education and may request a general topic, but may not specify the content or the speakers.
11. Consulting and other outside professional activities must be pre-approved by the relevant supervisor (typically the department chair) and are limited to a maximum of 36 days annually, not including holidays and week ends, provided the individual continues to fulfill 100% of his/her commitments and professional obligations to the University.

The policy in its entirety and a summary of it, including additional requirements not mentioned above, are available directly from the Upstate Medical University home page by pressing the button at the lower left labeled "Policy on Industry Relations."

Dr. Greg Eastwood, as the Conflict of Interest (COI) Officer under the new policy, is available to respond to questions about the policy and provide guidance as to how the policy applies to particular situations. He may be contacted by e-mail at [eastwood@upstate.edu](mailto:eastwood@upstate.edu) or telephone at 464-8454.

## *Moving Biomedical Research from the Lab Bench to the Commercial Market*

In the current economic and political climate, generating both a qualitative and quantitative return on investment (ROI) for biomedical and healthcare research is critical. The Upstate Medical University is actively building a supportive infrastructure for researchers working on projects that may lead to new products and services to improve some aspect of the healthcare system.

There are two federal programs funding early stage (pre-feasibility) research leading to commercialization of medical and health-related innovations. Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) are federal grant programs for this early stage technology development.

Small for-profit companies are eligible to apply for over \$850,000 in funding over approximately three years to take a project from the lab bench to prototype. The agencies that primarily fund medically-oriented research include the National Institutes of Health and the Department of Defense. However, there are eleven federal agencies that participate in SBIR and STTR across a broad spectrum of technologies. Researchers may identify topics through other agencies if their projects relate to energy, education, homeland security, survival in space, and other causes important to the nation.

To assist Upstate researchers move their research into commercialization, Dr. Steven R. Goodman has invited the Central NY Technology Organization (TDO) to be present on campus to offer SBIR and STTR consultation and advice about business development strategies to researchers. Marcene Sonneborn, SBIR and Business Development Specialist at TDO for over 18, years will be on campus on Wednesdays to support Upstate's expanded initiatives in technology transfer and commercialization. Funded through a New York State Office of Science, Technology and Innovation (NYSTAR) contract to TDO, Marcie will work closely with Upstate's team to obtain funding and develop commercial innovations. She will be situated in suite 1109/1111, and can be reached at 315-425-5144 during the week. While onsite she can be reached on her cell phone at 315-243-3600 or through her email at msonneborn@tdo.org.

### What are SBIR & STTR?

Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards are federal grant programs for early stage innovative technology development. Eleven federal agencies independently and competitively award grants in categories of research supporting their strategic priorities:

- Dept of Agriculture
- Dept of Commerce
- Dept of Defense

- Dept of Education
- Dept of Energy
- Dept of Health & Human Services
- Dept of Homeland Security
- Dept of Transportation
- Environmental Protection Agency
- Nat'l Aeronautics & Space Admin.
- National Science Foundation

Products and services developed through these programs profit the company and the country. Over 50% of both innovations and new jobs are created by small businesses. By supporting companies during the early, high-risk, stages of development, the government stimulates innovation and helps to build a strong economy.

### Three-Phase Program

Following submission of proposals, agencies make SBIR awards based on small business qualification, degree of innovation, technical merit, and future market potential. Award recipients then begin a three-phase program:

- **Phase I** is the start-up phase. Awards of up to \$150,000 for approximately six months support exploration of the technical merit or feasibility of an idea or technology.
- **Phase II** awards up to \$1 million for as many as two years to expand Phase I results. During this time, research and development is performed and the developer evaluates commercialization potential. Only Phase I winners are considered for Phase II.
- **Phase III** is the period during which Phase II innovation moves from the laboratory into the marketplace. No SBIR funds support this phase, but companies are eligible for contracts to implement the technology on a non-competitive basis.

### Qualifications

Businesses must meet certain eligibility criteria to participate in the programs:

- American-owned & independently operated
- For-profit
- Principal researcher employed by business
- Company size less than 500 employees

### **TDO – Your Partner in Success**

TDO provides innovative companies with hands-on SBIR & STTR assistance.

- Strategies on approaching SBIR/STTR
- Coaching on licensing issues
- Coaching through the proposal writing process
- Proposal review before submission to the funding agency
- Transition assistance, Phase I to Phase II and Phase II to Phase III
- Understanding what improvements are needed to a rejected proposal
- Commercialization assistance

**Research Administration /  
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Thanks to the following Upstate  
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To be added or deleted from  
these mailings please contact:  
[Kathy Pazaras](#) or [Barbara  
Humphrey](#).

**From the Research Accounting Office;**

**Procedures for Cost Transfers**

Expenditures should be charged to the appropriate award when they are incurred. If it is necessary to transfer expenditures to a different award, the cost transfer should occur within 90 days from the original transaction. The award to which a cost is transferred must benefit from the goods or service related to that charge, and the charge should be allowable under sponsor guidelines.

You may **NOT** transfer costs to cover cost overruns, to avoid legal or sponsor restrictions or for other reasons of convenience.

A cost may be transferred if it is a correction of a clerical error, a reallocation of expenses where multiple projects benefited, and/or the transfer of pre-award costs to a sponsored project. There are two types of cost transfers, payroll cost transfers and non payroll cost transfers. Below are the procedures for each.

**Payroll Cost Transfers**

Payroll cost transfers to federal awards are expected to be processed by the end of the applicable effort certification period. Exceptions to the timely submission of payroll cost transfers will be considered on a case-by-case basis, and will require written justification from the Principal Investigator to include an explanation of the specific nature of the error, description of why the cost was not properly assigned initially and an explanation of steps taken to avoid transfers of this nature in the future.

**Non Payroll Cost Transfers**

Non Payroll cost transfers are to be requested in a timely manner, which per federal guidelines is 90 days from the original transaction. Exceptions to the timely submission of non-payroll cost transfers will be considered on a case-by-case basis, and will require additional written justification from the Principal Investigator to include an explanation of the specific nature of the error, description of why the cost was not properly assigned initially and an explanation of steps taken to avoid transfers of this nature in the future.

If you have any questions or concerns about the Cost Transfer policies please contact Gina McMahon, Research Accounting at X4665 [mcmahong@upstate.edu](mailto:mcmahong@upstate.edu)

**From the Sponsored Programs Post Awards Office;**

**Account Close-Out Policy**

When the sponsor does not require the Research Foundation to return any unexpended funds at the conclusion of the project, the direct costs remaining unexpended shall be transferred to a balance account which shall be established in support of research and educational purposes for the investigator. Any remaining unexpended indirect costs shall be absorbed by the campus administration. In cases where the indirect cost rate is less than 10%, a flat rate of 10% of the remaining funds will be assessed by the campus.

**Fixed Price Balance Accounts**

Periodically Sponsored Programs Post Award receives questions regarding the type of expenditures allowed on balance accounts. Fixed Price Balance Accounts are established when a sponsored grant or contract concludes and the sponsor does not require The Research Foundation to return any unexpended funds. Any residual funds are deposited into a balance account which is established in the name of the Principal Investigator. Deposits from other sources are not allowed. These accounts are established in support of research and educational purposes. Expenditures can be made only for research or educational purposes. Expenditures for purposes such as office parties, donations, or personal use are not allowed.

For Questions please contact Deb Weber X4666 [weberd@upstate.edu](mailto:weberd@upstate.edu) or Stephen Rusinko X4228 [rusinkos@upstate.edu](mailto:rusinkos@upstate.edu)