The PennERA (Electronic Research Administration) Team is preparing for a campus-wide release of the Proposal Development application of the PennERA system to investigators and other research personnel in advance of the June 2007 electronic proposal submission deadlines.

What is Proposal Development?

In addition to meeting the mandatory government requirements for electronic submission, Proposal Development is a web-based application that will help streamline the process for preparation, review, approval, and submission of all proposals. Initial focus will be on proposal development that will meet Grants.gov electronic system requirements, but the overall goal is to ensure that all proposals will benefit from these streamlined processes.

Benefits of the Proposal Development application include:

• Reduction in time/cost to prepare and submit proposals to sponsors
• Streamlining internal review and approval of proposals
• Integration of funding opportunities and investigator profiles with proposals
• Standardization of templates for sponsor forms and budgets
• Data validations for many elements in Grants.gov proposals, prior to submission
• Ability to conveniently copy and reuse information from previous proposals
• Electronic submission of proposal data for sponsors able to accept electronic submissions
• Penn’s capture and ability to report on data that formerly went directly to sponsors
Timeline

The PennERA team is using a phased implementation strategy to roll out the application to researchers across campus:

• February 2007—The application is currently being used by a group of “early adopters,” in select ORGS from Nursing, Vet, SAS, and SOM.

• Full campus rollout is targeted in time for preparing applications for June 2007 submissions, with training beginning in late March for remainder of Schools and departments.

Users will be contacted directly with detailed information about access, training dates, and end-user support.

NIH-only submissions

Initially the Proposal Development application will be available to create, route, approve, and submit only NIH proposals. Other sponsors/mechanisms will be added to the application as the software allows. Please refer to the PennERA web site for the NIH mechanism types available through Proposal Development at http://project.pennera.upenn.edu/project/current_phase/PDfundingopps.pd.

Proposal Development help available

Help information about Proposal Development is available on the PennERA web site:

• Advisories—For important information about the Proposal Development application, please check the Advisories web page at http://project.pennera.upenn.edu/advisories.
• End-user support—For complete information on end-user support, please visit the PennERA Help page at http://project.pennera.upenn.edu/help.asp.

More information about PennERA

For more information about PennERA, please visit the PennERA web site at https://www.pennera.upenn.edu/. If you have any questions, comments, or suggestions, please send an e-mail to pennera@pobox.upenn.edu.

ORS Announcements

Deborah Fisher has been appointed as the Director, Pre-award Non-Financial Administration.

Kim Garrison, has been asked to serve as Acting Director, Post-Award Financial Administration.
Implementation of NIH Fiscal Policy for Non-Competing Grant Awards – FY 2007

**Notice Number:** NOT-OD-07-049

**Key Dates**
Release Date: February 22, 2007

**Issued by**
National Institutes of Health (NIH) (http://www.nih.gov)

NIH has received an appropriation for the remainder of FY2007 through P.L. 110-005: Revised Continuing Appropriations Resolution, FY 2007. This now allows NIH to fully implement the FY2007 fiscal policies announced December 15, 2006 in Notice-OD-07-030.

**Non-competing Research Awards**

To implement the FY2007 fiscal guidance, non-competing research awards will be awarded at 97.1% of the FY 2007 committed level. Future year commitments also will be adjusted accordingly. Institutes and centers (ICs) will maintain the flexibility to supplement such non-competing awards on a case by-case basis according to scientific and programmatic imperatives. However, such supplements will not be considered as part of the base for future budgetary adjustments.

Non-competing awards previously issued in FY 2007 at reduced levels will be revised to restore funds to the level indicated above. This policy does not apply to Career Awards, SBIR/STTRs, and Ruth L. Kirschstein-National Research Service Award (NRSA) Individual Fellowships & Institutional Training Grants.

For other Notices applicable to FY2007 funding, see also:

- Notice of Legislative Mandates, NOT-OD-07-050
- Salary Limitations on Grants, Cooperative Agreements and Contracts, NOT-OD-07-051
- Ruth L. Kirschstein National Research Service Award (NRSA) Stipend and Other Budgetary Levels Effective for Fiscal Year 2007, NOT-OD-07-052

Inquiries

Questions about specific awards may be directed to the Grants Management Specialist identified in the Notice of Award.

Not receiving our newsletter? Please visit our homepage to subscribe to our listserv. http://www.upenn.edu/researchservices/ (see bottom right corner)
Tips for the NIH March 5th Deadline: Resubmission, Revision, Renewal

The March 5 receipt date for renewal, resubmission, and revision R01 applications is right around the corner. Here are some FAQs to assist with issues specific to this deadline.

1. NIH and Grants.gov seem to use different terminology for application type, how do I know which term is correct for my situation?
Grants.gov has brought us new terminology for the Type of Application field of the SF424 (R&R) Cover Component (box #8). NIH is trying to change all of its materials to correctly reflect the new terminology, but it will take some time. Please use the handy chart below as we work through this terminology change.

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<tr>
<th>New Grants.gov Term</th>
<th>Old NIH Term</th>
<th>Notes</th>
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</thead>
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<tr>
<td>New</td>
<td>New</td>
<td>An application that is submitted for funding for the first time. Includes multiple submission attempts within the same round. (Type 1)</td>
</tr>
<tr>
<td>Renewal</td>
<td>Competing Continuation</td>
<td>Previous years of funding for the project have elapsed. Competing for additional years of funding to continue original project. (Type 2)</td>
</tr>
<tr>
<td>Revision</td>
<td>Competing Supplement</td>
<td>Request for additional funds for a current award to expand the scope of work. Applicants should contact the awarding agency for advice on submitting any revision/supplement application. (Type 3)</td>
</tr>
<tr>
<td>Resubmission</td>
<td>Revision or Amended Application</td>
<td>Application previously reviewed. A revised or amended application addresses reviewer feedback. (A1/A2)</td>
</tr>
<tr>
<td>Continuation</td>
<td>Progress Report</td>
<td>NIH does not use the SF424 (R&amp;R) for Continuation Applications. (Type 5; Progress Reports for Simplified Non-competing (SNAP) are submitted directly to eRA Commons for others paper is still submitted)</td>
</tr>
</tbody>
</table>

2. What do I do if more than one application type seems to fit my situation?
In the PHS 398 paper world, applicants could identify more than one application type for a single application. However in the new SF424 (R&R) world, only one option can be selected. An easy rule of thumb is that any application that is submitted in response to review feedback should be marked as a resubmission. So, if an applicant is submitting a resubmission of a renewal or a resubmission of a revision, then resubmission should be chosen as the single application type.

3. What do I put in the Federal Identifier field of the SF424 (R&R) cover component?
If “Type of Application” is “New”, you can leave the Federal Identifier field blank on the first submission attempt. However, the Federal Identifier field becomes a required field when submitting a Changed/Corrected application to address errors/warnings. When submitting a Changed/Corrected “New” application, enter the Grants.gov tracking number of the previous submission attempt (e.g. GRANT00123456). If you are unable to find the tracking number, enter “N/A”.

If “Type of Application” is “Renewal”, “Revision” or “Resubmission”, enter the IC and serial number of the prior application/award number (e.g. CA123456). For these types of applications, do not change the Federal Identifier field when submitting Changed/Corrected applications.
4. When submitting an application again to address errors or warnings, how do I indicate on the form that the current submission supersedes the previous? On the SF424 (R&R) cover component, box #1 Type of Submission should be set to “Application” on the initial application submission. Box #1 should be set to “Changed/Corrected” for all subsequent submissions of the same application to address errors or warnings.

Note that box #8 Type of Application remains the same from one submission attempt to the next within the same receipt deadline.

See the section of the application guide titled “Correcting Errors” for additional information.

5. What part of the application/award number is the IC and serial number?
NIH’s grant application/award numbers consist of the following parts:

- A single-digit Application Type
- A three-digit Activity Code
- A two-letter IC Code
- A six-digit Serial Number
- A two-digit Grant Year (preceded by a dash to separate it from the serial number)
- Additional suffix information that may include the letter “S” and related number for a particular supplement record, the letter “A” and related number to identify an amendment and/or the letter “X” and related number to identify a fellowship’s institutional allowance record.

For example, 3R01CA123456-04S1A1 would indicate an amendment (A1) to a supplemental (Type 3) application for a traditional research project (R01) referred to the National Cancer Institute (CA). The number further identifies the application serially as the 123456 new proposal submitted to the NCI, and indicates that this is the first supplemental application (S1) to the fourth year (-04) of the support to this project. In this example, the IC and serial number would be “CA123456”.

Additional information on the NIH grant application/award identification numbering system can be found at: http://grants.nih.gov/grants/funding/ac.pdf.

6. Is it OK to scan portions of the original PHS 398 application when submitting a revision, renewal or resubmission?
If you are making the move from paper to electronic forms, please resist the temptation to scan sections of the paper forms. There are times when scanning simply can’t be avoided, but (when possible) it is best to work from the original documents that can be appropriately edited for the current submission, converted to PDF format and attached to the new application. Additional benefits of working from original documents include clearer images and the ability to extract text from the application image. For PDF tips see: http://era.nih.gov/ElectronicReceipt/pdf_guidelines.htm
NIH revised its business plan in May 2006 and no longer requires an original PI signature as part of a submitted application. Accordingly, applicant organizations are required to retain the PI’s dated unique signature for each submitted application. To meet the new requirement ORS revised the Proposal Transmittal Form in April 2006 and its use is now required. The form can be found at: http://www.upenn.edu/researchservices/pdfs/transmittalform0904.pdf

The official announcement of the NIH Change in Business Process was published in the April 2006 ORS Newsletter (page 6). To view the newsletter go to: http://www.upenn.edu/researchservices/newsletters/april2006.pdf

Key Revisions to the Proposal Transmittal Form

Pay careful attention to the statement “I understand that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties.”

The Approval and Certification Section is located on Page 2 of the Proposal Transmittal and Approval Form in the center of the page.

The International Component Section is located on Page 1 of the Proposal Transmittal and Approval Form in the bottom right corner.

Very important to check if the project has an International Component or may be subject to Export Control Laws. Contact your ORS representative if you are unsure.

INTERNATIONAL COMPONENT and/or EXPORT CONTROL
A. This project has an International Component    YES □   NO □
B. To the best of my knowledge, this project
 □    is
 □ is not subject to Export Control Laws

Please see the ORS web site at http://www.upenn.edu/researchservices/exportcontrols.html for guidance on making this determination.
Getting to Know......

Deborah Fisher

Years at Penn: 3 years

Years in Research Services: 3 years

ORS Responsibilities: Pre-award administration for SEAS, GSE, Wharton; pre-award director for ORS.

Hobbies/Interests: Golf, Shopping, socializing with good friends

Favorite Restaurant: Philadelphia has so many great restaurants, it is impossible to have a favorite

Favorite ways to spend a vacation: golfing, re-decorating, reading on the beach

What Co-workers say:

Deb is a wonderful colleague and a great asset to the department. She’s always ready to pitch in and work on extra projects and she has a great sense of the “broader-vision” which is an asset to us all.

Deb’s “laugh” could make even the most miserable person smile!

Deb is reliable and knowledgeable

For More Information on Grants.gov and Electronic Submissions Click Here
ORS Monthly Quiz

1) When does the initial phase of the Grant & Contract account close-out process begin?
   a. At least six months prior to the end date of the project
   b. At least three months prior to termination of the award
   c. Before the fund freezes
   d. At the end of the adjustment period

2) All of the following can be considered best practices to ensure a smooth close-out process EXCEPT:
   a. The PI should be contacted immediately with any issues regarding F&A cost or EB charges
   b. All purchase orders should be finally closed to relieve any open encumbrances
   c. Any necessary adjustments discovered must be made within 90 days of the month end in which the expense was incurred
   d. All direct cost must be reviewed for completeness, accuracy and allowability by the PI and BA

3) Generally, how long is the adjustment period?
   a. Thirty days following the end date of a project
   b. Forty five days after the end date of the project
   c. The amount of time required by the sponsor for the submission of the financial report, less thirty days
   d. The amount of time required by the sponsor for the submission of the financial report, plus thirty days

4) According to OMB Circular A-21 alcoholic beverages are considered an (See OMB Circulare A-21 Section J -- http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html#j)
   a. Allowable Cost
   b. Unallowable Cost

5) According to OMB Circular A-21 donations and contributions are considered an (See OMB Circulare A-21 Section J -- http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html#j)
   a. Allowable Cost
   b. Unallowable Cost

Answer key for the Monthly Quiz can be found on Page 11

For Information on Upcoming Training visit the ORS website:
http://www.upenn.edu/researchservices/training.html
Frequently Asked Questions’s

Where do I find Sponsor Programs banking information if a sponsor wants to send a payment electronically?

To find banking information for Sponsored Programs you should contact your Contract Administrator or Bob Speakman (bspeakma@pobox.upenn.edu) and they will complete the Sponsor’s form and forward to the sponsor.

Note: The account information on the Treasurers Office website is for the General University account and NOT for Sponsor Programs.

How do I determine whether an annual financial report (FSR) is required on an NIH R01 Award?

You should look in the Notice of Grant Award (NOGA) of the Research Award (R01), it will explain whether the grant is subject to the Streamlined Non-Competing Award Process (SNAP).

Prior to SNAP’s introduction in 1996, annual financial reports (FSR’s) were required on all NIH research grants. After SNAP was introduced, the financial reports were required only at the end of a segment. For example, an R01 which is subject to SNAP, will generally be awarded for 5 years and the financial reports will be due 90 days following the end of the 5th year. No financial annual reports will be due at the end of the first 4 non-competing years but reports will be due at the end of the 5th year. Likewise, if the NOGA indicated that the award was excluded from SNAP, annual reports would be due 90 days following the end of each budget period in the segment.
Did You Know.......??

........If a request to close a PO is denied by Accounts Payables due to an expired flexfield, a manual encumbrance journal can be done and the batch name can be sent to Kevin McBride via email (kevin05@pobox.upenn.edu), the journal will be processed and the encumbrance will be relieved.

......That the Anti-Kickback Act of 1986 is defined as, an act to deter subcontractors from making payments and contractors from accepting payments for the purpose of improperly obtaining or awarding favorable treatment. See: http://www.usdoj.gov/usao/eousa/foia_reading_room/usam/title9/crm00927.htm

........ Penn’s Conflict of Commitment policies were created under the principle that faculty owe their primary commitment and allegiance to the University. A Conflict of Commitment is defined as Non-University activities which include involvement with commercial ventures in roles such as serving on the board of directors or on the scientific advisory board, acting as a manager or scientific director, consulting, and the like. These activities create commitments with the potential to compete with the primary commitment to the University--teaching, research, and service during the academic year (which is 9 months for some faculty and 11 months for others). See: http://www.upenn.edu/almanac/v43/n22/conflict.html

........ Penn’s Conflict of Financial Interest policies were created under the principle that a faculty member has a responsibility to respect the financial well-being of the University. A Conflict of Financial Interest is defined as a relationship/s with a commercial entity, a faculty member could assume responsibility for the financial well-being of that commercial entity that might produce a conflict of interest by competing with the financial interests of the University. Fiduciary responsibility for a company is created when a faculty member is appointed to the Board of Directors of the company or becomes an officer or manager in the company. If the company is a supplier to the University or holds a patent license from the University, the potential for conflict is augmented. See: http://www.upenn.edu/almanac/v43/n22/conflict.html
Office of Research Services

Did You Know.......??

......... Penn’s **Conflict of Research Integrity** policies were created under the principle that Faculty should maintain the highest level of scientific integrity in the conduct of research. The complete, objective, and timely dissemination of new findings through publications and presentations, is essential for research integrity. A Conflict of Research Integrity is defined as the potential for personal gain must not jeopardize or appear to jeopardize the integrity of the research process, including the choice of research, its design, the interpretation of results, and the reporting of results. If an investigator has a significant financial interest in a commercial venture, then there may be a temptation to dedicate research effort to development of saleable products or processes for that company. A faculty member is particularly at risk of conflict if he/she has a sponsored research agreement (SRA) from the company in which he/she has a financial interest. Furthermore, the possible conflict may increase in proportion to the impact the company-sponsored research could have upon the value of the faculty member’s financial interest. See: [http://www.upenn.edu/almanac/v43/n22/conflict.html](http://www.upenn.edu/almanac/v43/n22/conflict.html)

......... Penn’s **Conflict of Educational Mission** policies were created under the principle that students and post-doctoral fellows must be assured of an educationally appropriate training program. A Conflict of Research Integrity Education is a salient mission of the University, and training programs should be designed to give priority to the educational needs of students and research trainees such as postdoctoral fellows. Sometimes the goals of a commercial entity that sponsors research at the University may be in conflict with the goals of an optimal training program. See: [http://www.upenn.edu/almanac/v43/n22/conflict.html](http://www.upenn.edu/almanac/v43/n22/conflict.html)

Answer Key to ORS Monthly quiz: 1:b; 2:a; 3:c; 4:b; 5:b
Training Opportunities:

**Upcoming ORS Brown Bags:**

**February 28, 2007:** Agreement Types and Related Issues  
Time: 12:00 - 1:15  
Location: Ben Franklin Room/Houston Hall  
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**March 12, 2007:** Determining Allowability  
Time: 12:00 - 1:15  
Location: Golkin Room/Houston Hall  
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**March 28, 2007:** Cost Sharing Procedures and Perspectives  
Time: 12:00 - 1:15  
Location: Ben Franklin Room/Houston Hall  
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**Upcoming NCURA Events**

[Financial Research Administration (FRA) VII](http://www.ncura.edu/conferences/fra7/) -- April 1-3, 2007 Gaylord Texan Resort Grapevine, TX

**ORS Quizzes and FAQ’s:**
Take a moment to look at our quizzes or FAQ section for more guidance on administering 5-funds here at Penn. Both can be accessed by clicking **Training** on our home page ([http://www.upenn.edu/researchservices/](http://www.upenn.edu/researchservices/)).

**Research Compliance Tutorials and Other Education:**
For further guidance on administering 5-funds here at Penn, please visit the Research Compliance Training and Education page at [http://www.upenn.edu/researchservices/rc/pages/training.htm](http://www.upenn.edu/researchservices/rc/pages/training.htm).

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**February Contributing Authors, ORS Newsletter:**

- **Liza Craig,** Grant Accountant, Post Award Financial Administration, Office of Research Services
- **Alice Dunleavy,** Associate Director- Pre-Award Administration, Office of Research Services
- **Kim Garrison,** Acting Director, Post Award Financial Administration, Office of Research Services
- **Christopher Guy,** Grant Accountant, Post Award Financial Administration, Office of Research Services
- **Teresa Leo,** PennERA/PennERS Communications Specialist, Information Systems and Computing
- **Anita Mills,** Associate Director, Sponsored Programs Compliance Training, Office of Research Services
- **Lauren Oshana,** Associate Director- Pre-Award Administration, Office of Research Services
- **Robert J. Speakman,** Manager Cash Applications, Office of Research Services
- **Todd Swavely,** Associate Director –Penn ERA, Project Manager, Office of Research Services
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**NIH Deadline**

- R01's Renewals, Resubmissions, Revisions
- K Awards
- R03, R21, R33, R21/R33, R34, R36 Renewals, Resubmissions, Revisions
- New Investigator R01 PILOT ONLY

**ORS Brown Bag**

- 12:00 – 1:15
- Determining Allowability
- Hot Topics – Post Award


For more information about the courses listed above go to: [http://www.upenn.edu/researchservices/training.html](http://www.upenn.edu/researchservices/training.html)

Register for course mentioned above go to [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

2007 March
Pre-Award Administration Staff

The Pre-award staff is responsible for processing proposals, reviewing, negotiating, and accepting awards (except for corporate contracts), as well as, providing post-award non-financial administration for these accounts. Questions concerning issues such as no-cost extensions, carryover requests and other administrative matters should be directed to the appropriate pre-award contact. Questions concerning industrial clinical trial agreements and sponsored research agreements should be addressed to the Corporate Contracts Group.

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• Biostatistics – SOM
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• Institute for Environmental Medicine – SOM
• Institute for Human Gene Therapy – SOM
• Institute for Neurological Sciences – SOM
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• Dean’s Office – SOM
• Diabetes – SOM
• Endocrinology – SOM
• Gastrointestinal – SOM
• General Internal Medicine – SOM
• Infectious Disease – SOM
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• Renal – SOM
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• Law School
• Morris Arboretum

--continued--
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• School of Art and Sciences
• School of Social Work
• Student Services
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• Genetics – SOM
• Hematology/Oncology
• Neurosurgery - SOM
• Orthopedic Surgery – SOM
• Pediatrics – SOM
• Physiology – SOM
• School of Medicine, Institute for Medicine & Engineering – SOM
• Radiation Oncology
• Radiology

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• Annenberg Center for Performing Arts
• Annenberg School for Communication
• Cell & Developmental Biology – SOM
• Center for Bioethics – SOM
• Dermatology
• Geriatrics – SOM
• Microbiology – SOM
• Ophthalmology – SOM
• Otolaryngology – SOM
• School of Nursing
• School of Veterinary Medicine

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JOE HILL – GRANT/CONTRACT ASSISTANT
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Post-Award Administration Staff

The main functions handled by these ORS staff members are the preparation of financial invoices and reports, coordination of audits, collection of receivables, cash management functions, and close out of funds. The Federal Compliance Group handles facilities and administrative costs, employee benefit rates, effort reporting, and compliance issues. Contact Information for all areas is provided below.

**PennERA GROUP:**

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About Our Organization...

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The Office of Research Services (ORS) oversees the administrative support of the University’s externally funded research and is responsible for implementation of University policies established for this purpose. An important part of the ORS mission is service to the research faculty, through the provision of information and advice for the development of applications, and assistance in the administration of awarded grants and contracts.

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• Coordinates negotiations of awards;
• Accepts awards for the University, including the signing of contracts;
• Provides oversight and guidance to faculty and staff concerning the proper management of sponsored projects;
• Prepares all financial reports to sponsors.

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