Office of Research Services
-- Research Administration News --

Special Interest Articles:

• Staff and Faculty Appointment Letters – Important in an audit? -- See page 8

• Upcoming Training -- See page 9

• ORS will be closing at 2 p.m. on December 23, 2004

Individual Highlights:

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Happy Holidays from the Staff of ORS

Best wishes for a wonderful holiday season and a prosperous new year!
**PennERS Update**

ERS

- The pilot roll out of the Effort Reporting System is scheduled to begin on 2/28/05. The revised roll out is due primarily to software readiness from the vendor. There will be approximately 200 end users during the pilot.
- The following organizations have been selected for the pilot roll out of ERS:
  - SEAS (1306) MECHANICAL ENGINEERING
  - SOM (4132) ME-MEDICAL ETHICS
  - SOM (4231) DM-DIABETES/ENDOCRINE ADMIN
  - SOM (4532) PA-PATH CANCER BIOLOGY
  - SOM (4602) AG-INSTITUTE ON AGING ADMIN
  - SOM (4613) EM-INSTITUTE FOR ENVIRONMENT
  - SAS (0113) HISTORY AND SOCIOLOGY
- Training for the pilot Departmental Coordinators (DC), Pre & Post reviewers will take place during the week of 2/14/05.
- Certifiers will not be required to attend training. Power point instructions will be provided.
- Approximately 90 DCs have attended one of the three orientation sessions given in November & December.
- A dry-run of the DC, Pre & Post Reviewer training course will be held on 12/21/04.

**WESD (Web Enabled Salary Distributions)**

- Approximately 435 End Users have been trained
- No major issues have been reported
- 24 proxy assignments have been made
- 182 updates to payroll have occurred since roll out on 10/11/04
- 83 salary plans have been added since roll out on 10/11/04

If you have any questions, please feel free to contact effort@pobox.upenn.edu.

**Did you know that.........?**

Sponsored Projects Policy No. 2114 requires that faculty must sign their own effort report.

The National Science Foundation has revised its Cost Sharing Policy. The revision to the Policy will eliminate NSF program-specific cost sharing requirements, leaving only the statutorily mandated one percent cost share in place, for further information click here.

If you missed NCURA’s Annual Meeting in Washington, DC you still have time to register for their FRA VI conference in Orlando, FL February 20 – 22, 2005, see The National Council of University Research Administrators for more information.

The Sponsored Projects Manual is posted on ORS’s website. This Manual is designed to assist both faculty and administrators in the administration of all awards. It can be reviewed by clicking here.

When changing the distribution on an effort report the salary reallocation must be completed simultaneously.
Progress Reports using the newly revised “U.S. Department of Health and Human Services Public Health Service Non-Competing Grant Progress Report” (PHS 2590, rev. 9/04) instructions and forms will be accepted immediately. All progress reports received on or after May 1, 2005 must use the new version.

The newly revised instructions and forms are available at http://grants.nih.gov/grants/forms.htm. The forms available on the website continue to be provided in two formats—MS Word and PDF-fillable using Adobe Acrobat Reader Software. Free Adobe Software may be accessed at http://www.adobe.com/products/acrobat/readstep.html. Grantees are strongly encouraged to access the instructions and forms via the Internet because they provide valuable links to current policy documents and allow easy navigation of the instructions. For further information, contact GrantsInfo@nih.gov.

As in the past, grantees should read the instructions carefully. The following is a list of notable changes.

**Notable Changes to the PHS 2590 Instructions (rev. 9/04):**

- Instructions have been revised to incorporate the new business process for centralized receipt of non-competing progress reports to all NIH Institutes/Centers. The new centralized mailing address is also included.
- The submission requirement has been changed—grantees need only submit a signed original and one signed copy.
- Information has been included promoting the use of the eSNAP system in the eRA Commons.
- SNAP Instructions have been rewritten to clarify which mechanisms are generally included in SNAP.
- The refined definition of “Key Personnel” implemented in the NIH Grants Policy Statement (rev. 12/03) has been incorporated throughout the instructions.
- The new category “Other Significant Contributors” introduced in the PHS398 (9/04 version) has been incorporated throughout the PHS2590 instructions as appropriate.
- The SNAP progress reports instructions for the first 2 SNAP questions have been modified as follows:
  - SNAP Question #1, Changes in Other Support: If there is a change in active support for key personnel, complete Other Support information is now to be submitted (previously only submitted the changes).
  - SNAP Question #2, Changes in level of effort: This question has been reworded to clarify its applicability so that it is clear that it only applies to the Principal Investigator and other personnel specifically named on the Notice of Grant Award.

- Key Personnel Report Format Page: The request for a Social Security Number is now limited to only the last four digits.
- All applicable policy changes that have been implemented since the 5/01 version have been incorporated; e.g., requirement for update on data sharing plan; requirement for update on sharing model organisms; and requirement for Human Subjects Education for any new key personnel and other significant contributors involved in human subjects research.
- Specific instructions for SBIRs & STTRs for progress report submission have been added.

Inquiries about preparing a specific progress report should be directed to the program official and/or grants management specialist in the awarding component.

General inquires about the changes to the actual form pages and instructions may be directed to:

Division of Grants Policy  
Office of Policy for Extramural Research Administration  
National Institutes of Health  
6705 Rockledge Drive, Suite 350  
Bethesda, MD 20892  
Telephone: (301) 435-0938  
FAX: (301) 435-3059  
Email: GrantsPolicy@od.nih.gov
The newly revised “Application for a DHHS Public Health Service Grant” (PHS 398, rev. 9/04) instructions and forms are now available and will be accepted for submission/receipt dates on or after December 1, 2004. All applications received on or after May 10, 2005 must use the new instructions and forms. During the transition period, applications using the previous version (rev. 5/01) of the PHS 398 will be accepted through May 9, 2005. However, after this date, applications submitted using instructions and forms other than the PHS 398 (rev 9/04) will be returned to the applicant.

The newly revised instructions and forms are available at [http://grants.nih.gov/grants/forms.htm](http://grants.nih.gov/grants/forms.htm). The forms available on the website continue to be provided in two formats—MS Word and PDF-fillable using Adobe Acrobat Reader Software. Free Adobe Software may be accessed at [http://www.adobe.com/products/acrobat/readstep.html](http://www.adobe.com/products/acrobat/readstep.html). Applicants are strongly encouraged to access the instructions and forms via the Internet because they provide valuable links to current policy documents and allow easy navigation of the instructions. This is particularly important with this version due to the interactive format of the instructions. For further information, contact GrantsInfo@nih.gov.

SBIR/STTR applicants who are preparing an application for the December 1, 2004 submission date may use the previous PHS 398 version (rev. 05/01) in accordance with instructions in Chapter IV of the PHS 2004-2 Omnibus SBIR/STTR Grant Solicitation. However, applicants who wish to use the new forms should use the following set of instructions (MS Word / PDF), in accordance with instructions in Chapter IV of the PHS 2004-2 Omnibus SBIR/STTR Grant Solicitation. The PHS 2005-2 Omnibus Solicitation, with updated instructions, will be released on or around January 14, 2005.

As in the past, applicants should read the instructions carefully. The following is a list of notable changes.

### Notable Changes to the PHS 398 (rev. 9/04):

This edition of the PHS 398 has been extensively rewritten with a focus on clarity and special emphasis on simplicity and plain language.

#### Overall Format Changes

The format has been organized into three distinct, but integrally linked, parts:

- **Part I**: Instructions for Preparing the Application
  - Efforts have been made to include only instructional material related to the preparation, submission and review of your application.
  - When applicable, instructions have been revised to incorporate appropriate policy changes. However, detailed information pertaining to policies, assurances, definitions and other information is now found in Part III: Policies, Assurances, Definitions and Other Information.

- **Part II**: Supplemental Instructions for Preparing the Human Subjects Section of the Research Plan
  - This section includes instructions for preparing the human subjects section of the research plan (Section e) and related policies related to Human Subjects Research.
  - This section is organized in a question/answer format to guide application writers through the decision making process regarding the involvement of human subjects in the proposed research.

- **Part III**: Policies, Assurances, Definitions and Other Information
  - This section contains non-instructional information relating to policies and assurances, incorporates all policy changes since the last (5/01) PHS398 revision, and includes links from Part I (“Instructions”) as necessary.
  - Definitions have been harmonized with those used in the NIH Grants Policy Statement.
  - This section includes a description of various grant mechanisms that NIH uses to fund research.
Changes of Note to Specific PHS 398 Form/Format Pages:

**Face Page:**
- Title—Form field length has been increased to 81 characters
- eRA Commons User Name field has been added. This data item is currently optional
- Human Subjects Research box has been modified to include a new data element for Clinical Trials.
- The IPF option data field in block 9 has been eliminated

**Form Page 2:**
- Now 2 pages (Form Page 2 & Form Page 2-continued with 5 distinct sections—Description, Performance Sites, Key Personnel, Other Significant Contributors, and Stem Cells.
- Description/Abstract: Instructions have been added requiring the PI to succinctly (2-3 sentences) describe the relevance of the proposed research to public health. Plain language is suggested.
- Key Personnel Section: A field has been added for the eRA Commons User Name. This new data item is currently optional.
- Other Significant Contributors: This is a new field that allows the PI to identify individuals who have committed to contribute to the scientific development or execution of the project but are not committing any specified measurable effort. (Biographical sketches will be required for these individuals; Other Support information will not be required.)
- Human Embryonic Stem Cells: Previously embedded in the Description, information pertaining to projects that involve human embryonic stem cells has now been requested as a separate form field. A link to the Human Embryonic Stem Cell Registry is provided.

**Form Pages 4 and 5:** Budget pages have been modified to implement the broader application of the policy on Direct Cost Limitations (e.g., excluding consortium/contractual F&A costs when determining eligibility for any application with a direct cost limitation.) Specifically, the “Consortium/Contractual Direct Costs” budget row has been moved to above the “Subtotal Direct Costs” line. Instructions have been revised to implement the new policy.

**Modular Budget Format Page:** The budget data fields have been modified to implement the new policy on Direct Cost Limitations. Specifically, users must now separate the Consortium F&A costs from the other Direct Costs. Instructions have also been revised to implement the new policy.

**Biographical Sketch Format Page:** A field has been added for the eRA Commons User Name. This data item is currently optional.

**Personal Data Page:** Applicants are now requested to provide only the last four digits of the Social Security Number. While providing this information remains voluntary, it is hoped that by limiting the data to only the last four digits, individuals will be more receptive to providing it. This vital information continues provide the agency with accurate identification, referral, and review of applications and for management of PHS grant programs.

**Key Personnel Report Format Page:** The request for a Social Security Number is now limited to the last four digits.

**Checklist Form Page:**
- A field has been added for “Change in Grantee Institution”.
- Foreign Application: Two distinct options are now provided 1) Grants at Foreign Institutions or 2) Domestic Grants with Significant Foreign Involvement. This data area also includes a text entry section to list countries involved.

**Specific Changes of Note to the PHS398 Instructions**
- The Foreword now contains general information about the NIH Extramural Research and Research Training Programs, including useful “Quick References”, contacts within HHS and guidance for “whom to contact when.”
- Font Size Requirement: NIH now requires the use of Arial-11 or Helvetica-11 point font.
- NIH Peer Review Criteria have been updated to better accommodate interdisciplinary, translational, and clinical projects.
• Instructions for Modular and Non-Modular Budgets and have been revised to implement the new policy on Direct Cost Limitations; e.g., excluding consortium/contractual F&A costs when determining eligibility for any application with a direct cost limitation.
• Research Plan instructions now include a distinct section on Resource Sharing.
• Research Career Development Award Instructions:
  • Added clarifying instructions for completing sections of Form Page 2
  • Changed requirement in Career Award Instructions for Checklist Page. This page is now required at time of submission.

• Institutional Training Grant Instructions: Added clarifying instructions for completing sections of Form Page 2
• SBIR/STTR Instructions: Clarification has been added on the preparation of the Final Progress Report.

Inquiries on any changes to the forms and instructions may be directed to:

Division of Grants Policy
Office of Policy for Extramural Research Administration
National Institutes of Health
6705 Rockledge Drive, Suite 350
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Telephone: (301) 435-0938
FAX: (301) 435-3059
Email: GrantsPolicy@od.nih.gov

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NIH Reminder:
Program Announcement Needed to Identify R03 and R21 Applications

Notice Number: NOT-OD-05-010

Key Dates
Release Date: November 24, 2004

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

Background

In 2003, NIH standardized many features of the small grant (R03) and exploratory/developmental research grant (R21) to accommodate investigator-initiated applications (websites listed below under Inquiries). However, many Institutes and Centers (ICs) do not accept R03 applications, and many accept R21 applications only in response to specific funding opportunities. Applicants have been advised that R03 or R21 applications assigned to an IC that does not participate may be withdrawn from the review process.

Currently, there are approximately 250 active Program Announcements that utilize the R03 or R21 mechanism. Some are issued by a single IC and many are cosponsored by multiple ICs. These vary in the budget allowed, duration, eligibility requirements, page limits for the Research Plan, appendix materials allowed, number of revisions allowed, and other features. In some cases the location of the review (the Center for Scientific Review or an Institute/Center group) may vary according to the mechanism.
Appropriate assignment of R03 and R21 applications is critical to ensure that the IC designated and the review location are consistent with guidelines. Furthermore, review groups may be reviewing a variety of grant mechanisms (often R01, R03, and R21) in a single meeting. It is important for the reviewers to be correctly informed about the type of grant mechanism and any special features for the applications.

The NIH uses the information provided on line 2 of PHS 398 to correctly identify R03 and R21 applications. The cooperation of applicants is needed in providing this important information. The inclusion of this information will also ensure that the text of the appropriate Program Announcement is provided to the review group.

**Implementation**

Investigators submitting R03 or R21 applications must include an appropriate Program Announcement number and title on line 2 of PHS 398. If there is an indication that the application is intended to be a R03 or R21 but no Program Announcement number is listed, the Principal Investigator may be contacted and given a few days to identify an appropriate Program Announcement before the assignment of the application is completed. The application must conform to the specific features (budget limit, length of Research Plan, eligibility requirements, etc.) of the Program Announcement identified. The scientific topic must fit the research interest of at least one of the sponsoring ICs. If no appropriate Program Announcement is identified, the application may be delayed in the review process or have to be returned without review.

**Inquiries**

Investigators will find information about the R03 and R21 programs at the following sites:

- R03: [http://grants.nih.gov/grants/funding/r03.htm](http://grants.nih.gov/grants/funding/r03.htm)


Each of the Institutes and Centers also list their current Program Announcements: [http://www.nih.gov/icd/](http://www.nih.gov/icd/)

Investigators who wish to submit a R03 or R21 application and are having difficulty identifying an appropriate Program Announcement may also contact Institute/Center staff or:

Division of Receipt and Referral  
Center for Scientific Review  
Room 2030 MSC 7720  
6701 Rockledge Drive  
Bethesda, MD 20892-7720 (20817 for non United States Postal Service deliveries)  
301-435-0715  
301-480-1987 (fax)
Frequently Asked Questions . . .

Should I retain copies of appointment/salary increase letters for staff and faculty?

Yes. Penn’s HR policies require these letters to be issued and retained (see HR Policy 101). As part of an audit or site visit, sponsors often request copies of the appointment, termination and/or salary increase letters for faculty and staff. To avoid potential issues and/or disallowances, you must ensure that these staff and faculty letters are retained and are readily accessible for audit purposes.

Please note that appointments of temporary or part time staff must have documentation of rate of pay and period of appointment authorized by the PI.

Is the appointment letter the same for staff and faculty who are paid from grant funds?

No. These staff must be notified that their employment is contingent upon receipt of grant funds. HR can assist you in this process. HR Policy 101 includes sample appointment/offer letters for those whose employment is offered under this condition.

For more information on these letters, please see the following Human Resources policy:

HR Policy 101: STAFF REQUISITIONING, RECRUITMENT, SELECTION, REFERENCE CHECKS, EMPLOYMENT OFFER, AND OFFER LETTERS  http://www.hr.upenn.edu/policy/policies/101.asp

For further assistance regarding related issues, please contact your assigned representative in the University of Pennsylvania’s Human Resources Office.

Getting to know your ORS Staff:

Rose Mazur
Assistant Director

Years at Penn: 16.5
Years in Research Services: 3.5
What she does: Assistant Director
Hobbies/Interests: Classical Music, Reading and Yoga
Favorite Restaurant: Fountain Room at Four Seasons.
Favorite ways to spend a vacation: Visiting different cities in the USA
What Co-workers say:
…. Her varied professional experiences often bring a new perspective to the office.
…. She’s a very loyal employee.
…. We enjoy her sense of humor and love to see her dance.
Training Opportunities:

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/).

Outside Upcoming Training:

National Council for University Research Administrators (NCURA)

Financial Research Administration Conference, FRA IV
Orlando, February 20 – February 22.
For further information or to register, please go to http://www.ncura.edu/conferences/fravi/.

Research Involving Recombinant DNA Molecules:

PENN Guidelines.

All researchers should be aware of the requirement to have recombinant DNA research, including human gene transfer, reviewed and approved by the Institutional Biosafety Committee. Please refer to the EHRS website, http://www.ehrs.upenn.edu/protocols/rDNA.html, where further information and PENN specific recombinant DNA registration forms are available.

December’s Contributing Authors, ORS Newsletter:

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Kerry Peluso, Director of Post Award Financial Administration, Office of Research Services
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Alice Tangredi-Hannon, Institutional Compliance Officer, Office of Audit and Compliance
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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• Endocrinology – SOM
• Gastrointestinal – SOM
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• Neurosurgery - SOM
• Orthopedic Surgery – SOM
• Pediatrics – SOM
• Physiology – SOM
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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.

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  Pediatrics Admin
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  Otorhinolaryngology: Head and Neck Surgery

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  Molecular & Cellular Engineering

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  Materials Science & Engineering
  Mechanical Engineering
  Minority Programs

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  • Graduate School of Education
  • Law School
  • Morris Arboretum
  • University Museum
  • School of Arts and Sciences:
  • Chemistry
  • Linguistics
  • School of Medicine Departments:
  • Center for Bioinformatics
  • Institute for Medicine & Engineering

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• The College
  • General University
  • School of Social Work
  • Van Pelt Library
  • Wharton School
  • School of Arts & Sciences:
  • All except Chemistry, Linguistics, Economics and Physics
  • School of Medicine Departments:
  • Cancer Biology
  • Diabetes
  • Rehabilitation Medicine

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• Graduate School of Fine Arts
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  • Wharton School
  • Law School
  • School of Engineering and Applied Science:
  • Electrical Engineering
  • Computer Science and Engineering
  • Institute for Research in the Cognitive Sciences
  • Systems Engineering
  • School of Arts and Sciences:
  • Economics
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About Our Organization...

Our Mission

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.

In this role, ORS

- Supports the schools and centers in the development of proposals for grants and contracts;
- Reviews and approves all proposals before submission to the potential sponsor;
- 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.

In addition to these functions, ORS is responsible for billing of contracts management of letters of credit for payment of grants, preparation of the facilities & administrative and employee benefit rate proposals and rate negotiations, management of the effort reporting system, and oversight of service center rate development. ORS reports jointly to the Senior Vice President for Finance & Treasurer and Vice Provost for Research.

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