NIH Revises Grants.gov Implementation Schedule

After carefully considering input from the applicant community, analyzing the results of the first few submission rounds, and examining the timing of key submission dates in relation to other NIH initiatives, NIH has adjusted the implementation timeline for electronic application submission to provide an additional four months (one submission round) before the transition of the NIH traditional research grant (R01) mechanism and all subsequent mechanisms (see updated timeline <http://era.nih.gov/ElectronicReceipt/files/Electronic_receipt_timeline_Ext.pdf>). The transition date for the U01s, NIH’s Research Cooperative Agreements, has also shifted to allow this mechanism to transition with the other complex research mechanisms in October 2007.

The new timeline will benefit both NIH and the applicant community by providing both with additional time to address business process and internal infrastructure changes needed to support this large endeavor. It also will allow NIH to learn from the experience of additional electronic submission cycles and provide NIH with the opportunity to bring together two major initiatives, electronic submission and allowing multiple principal investigators on research grant applications. The experience NIH and the applicant community gain from the pilot will help inform the larger R01 transition scheduled for February 2007.

Updates on the status of the transition to electronic submission and the new form set are posted on the NIH eRA <http://era.nih.gov/ElectronicReceipt/index.htm> Electronic Submission of Grant Applications Web site.

The Office of Research Services will continue its current schedule of training and other preparatory activities that it has posted.
NSF Grants.gov Implementation Strategy

As part of the National Science Foundation (NSF) Fiscal Year 2006 Grants.gov implementation strategy, NSF has identified specific programs that will either authorize or require use of Grants.gov to prepare and submit proposals to NSF.

NSF will revise each of the funding opportunities identified to incorporate Grants.gov submission requirements throughout the fiscal year. Once the funding opportunity has been revised and posted to Grants.gov FIND, the application package will become available in Grants.gov APPLY. The application package will contain the appropriate PureEdge forms, NSF specific forms and the NSF Grants.gov application guide. Applicants are advised that until the funding opportunity has been revised, the NSF FastLane system must be used to prepare and submit grant applications to NSF.

The complete listing of NSF programs that will either authorize, or require, use of Grants.gov to prepare and submit proposal to NSF in FY 2006 can be found at http://www.nsf.gov/bfa/dias/policy/docs/grantsgovlisting06.pdf.

The complete announcement with proposal preparation and submission instructions can be found at http://www.nsf.gov/bfa/dias/policy/docs/grantsgovadvisory06.pdf.

Establishment of Multiple Principal Investigator Awards for the Support of Team Science Projects

Notice Number: NOT-OD-06-036

Key Dates
Release Date: February 7, 2006

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

In 2006 the National Institutes of Health (NIH) will begin to implement a Federal-wide policy to allow formally more than one Principal Investigator (PI) on individual research awards. This presents a new and important opportunity for investigators seeking support for projects or activities that clearly require a “team science” approaches and which do not fit the single-PI model. The multiple-PI model is intended to supplement, and not to replace, the traditional single PI model. The overarching goal is to encourage collaboration among equals when that is the most appropriate way to address a scientific problem. Although the number of applications submitted with more than one PI is expected to be relatively small compared with those that continue to use the traditional single-
PI format, we know that the impact on multidisciplinary efforts may be great. The NIH will make the multiple-PI option available for applications submitted in response to a selected group of Requests for Applications (RFAs) and Program Announcements (PAs) with May-June 2006 receipt dates. It is likely that additional initiatives will be selected to pilot this activity for receipt dates in the October time frame. Based on experience from these pilot initiatives, it is expected that the multiple-PI option will become available for most investigator-initiated research grant mechanisms submitted for January 2007 and later application receipt dates. The NIH will announce those specific RFAs and PA selected to pilot the multi-PI option as well as future plans for expansion to other mechanisms in the NIH Guide to Grants and Contracts at http://grants.nih.gov/grants/guide/index.html#search.

A Multiple Principal Investigator website (http://grants.nih.gov/grants/multi_pi/) has been created to provide general information on the new policy. This includes: background and features of the multiple-PI policy; major issues to be considered in its implementation; PI roles and responsibilities; distribution of credit; allocation of funds; and awards to more than one institution. Much of this information is located in the “Frequently Asked Questions” (FAQ) section of the website. Many of the questions listed in the FAQ section are based on communications received in response to Requests for Information (RFI) published by the NIH and by the Office of Science and Technology Policy, Executive Office of the President. Results from these RFIs are also available at the Multiple Principal Investigator website. There has been additional outreach to the scientific community through a recently published article in “NIH Extramural Nexus,” (http://grants2.nih.gov/grants/nexus.htm) the NIH’s bimonthly extramural update that is available free to all who request it.

Many procedures for implementation of the policy to recognize formally multiple PIs on individual research awards are still in the planning stages, and the NIH looks forward to continued input from the scientific community. All potential applicants are encouraged to access the NIH Guide for Grants and Contracts for official notice(s).

Inquiries
For additional information please visit the Multiple Principal Investigator website at http://grants.nih.gov/grants/multi_pi/ and feel free to send email to multi_PI@mail.nih.gov.
Polaris – Penn’s Online Laboratory Animal Resource Information System

Since November 2004, ULAR staff has worked with Solix, an external vendor, to rewrite and develop enhancements to Polaris, Penn’s Online Laboratory Animal Resource Information System. The project has received significant input from ISC staff, the Office of Regulatory Affairs and advisory teams comprised of researchers and administrators from the Schools of Medicine, Veterinary Medicine and Arts and Science.

Since 1995, ULAR staff has used Polaris to track animal purchases, manage census, and create invoices for animal procurement, housing, animal care, and special services. For the first time, the research community will have access to Polaris and will be able to requisition animals, view invoices, access cage card information, and update account information via a web interface.

The decision to upgrade Polaris was made after comprehensive review of available animal facility management software. While it was clear that Polaris required a significant upgrade, this homegrown system offers greater functionality than available commercial systems. Vice Provost for Research, Dr. Perry Molinoff, approved the project and provided funding for development. ULAR staff immediately initiated the in-depth review and evaluation of needs for the design of Polaris 4.0. At this writing, the system is being tested and instructor-led training for ULAR staff and online training for the research community are in development.

Rewrite – upgrades services that are currently provided
- Integrate Polaris databases so that all areas of ULAR have access to the same information
- Improve ULAR’s ability to provide efficient and accurate service to the research community
- Improve and streamline business processes
- Ensure compliance with federal and university guidelines and regulations

Enhancement – new services, including value-added services for research community
- On-line animal requisitioning
- On-line access to invoices by both business administrators and scientists
- On-line access to cage card information
- On-line account administration
- Improved interfaces with university systems (PennERA, BEN Financials, Penn Community)

Rollout of Polaris 4.0 will occur in April 2006. Online training for the research community is in development and will be available in March 2006. View only access will be available for principal investigators only and will not require training.

ULAR’s website, http://www.ular.upenn.edu/polaris/ is the primary source of information on Polaris. The Polaris Team has also used the Director’s E-Letter (subscription information available on the ULAR website, Polaris demos, and inserts with monthly bills.)
PennERA Update

View access to tracking modules complete

The PennERA (Electronic Research Administration) team recently launched view-only access to the Proposal Tracking module of the PennERA system to appropriate school and department research personnel. In January, view access to the Proposal Tracking module for School and Department level research administrators was implemented. This access to the PennERA system is part of an effort to improve service to the University’s broader research community.

Users were provided with demo-style training sessions, where features of the application and navigation were presented. Ongoing training sessions on view access to the Proposal Tracking module will be offered every three weeks. To register for a training session, go to http://knowledgelink.upenn.edu, authenticate with your PennKey and PennKey password, then click “Training - Optional” in the left toolbar. When the course list loads, scroll down to the course titled “PennERA Proposal Tracking Inquiry Only” and click “Enroll.”

Training covers the following topics:

- Navigation and orientation to PennERA Proposal Tracking
- Techniques for obtaining information on proposals, awards, requests, and increments
- How to gain a snapshot view of a project’s administrative information, including the ability to compare proposed and awarded dates, amounts, and status history

Human Subjects Protocol Request for Exemption module coming soon

The PennERA team is currently working on a web-based application that will allow Human Subjects investigators to electronically submit claim of exemption information for research they feel is eligible for IRB review exemption status. This application is targeted for rollout in Spring 2006 and will replace the current Claim of Exemption Form that is currently in use.

Anticipated benefits of the Request for Exemption module include:

- Streamlines the submission, review, tracking, and approval process for Human
Subjects Requests for Exemptions

- Provides, manages, and tracks Departmental approval and routing of the information
- Reduces data entry by automatically creating a protocol record in PennERA
- Integrates the Request for Exemption module with the PennERA Human Subjects module for tracking and reporting of review activities and protocol status
- Populates Investigator data from Penn Community

Initial rollout of the application will be to a pilot group of social and behavioral researchers in the following ORGs:

0120 - Psychology
0602 - Bio-behavioral and Health Sciences
0603 - Family and Community Health
3200 - Grad School of Education
3500 - Social Policy & Practice
3600 - Annenberg School for Communication
4413 - Addictions
4452 - Radiology

Pilot participants (both faculty and administrators in these ORGs) are being contacted directly with more detailed information.

More information about PennERA

Additional updates about PennERA will be provided throughout the project. For the most current information, please visit the PennERA web site at https://www.pennera.upenn.edu/ and click on the “PennERA Project” tab at the top of the page. If you have any questions, comments, or suggestions, please send an e-mail to pennera@pobox.upenn.edu.

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Vice President of Information Systems and Computing
--Andrew B. Rudczynski, Ph. D.
Executive Director of Research Services and Associate Vice President of Finance
--Joseph R. Sherwin, Ph.D.
Director of the Office of Regulatory Affairs
Export Control Regulations concerning Laptops and Software

This article is designed to provide guidance to researchers utilizing laptop computers and the software contained in the laptop (collectively referred to as “laptop”) in situations which trigger export control regulation concerns. Researchers may trigger such concerns when they take the laptop abroad to conduct research, when they allow an individual in a foreign country to use the laptop or when a foreign national in the United States has access to the laptop (“deemed export”).

It has become very commonplace for researchers to travel with their laptops and assume that they do not need to be concerned with the export control regulations. However, this may not be the case and researchers need to be aware of the potential for export control regulations impacting the use of laptops. Laptops are covered by the Export Administration Regulations (“EAR”) and, in some cases, the International Traffic in Arms Regulations (“ITAR”). Export regulations vary, based on the country to which you are traveling and the purpose for which you intend to use your laptop. In addition, a licensing exception may apply to the export of the laptop in question, and if so, a researcher potentially could take that equipment abroad without violating the EAR or ITAR.

In most cases, routine use of commercially available laptops which remain within the personal control of the researcher in University research efforts abroad will not generate concerns with export controls. An exemption to export control licensing requirements will most likely exist if the following apply:

1. Software on the laptop does not contain source code for 64-bit encryption software or mass market encryption products.
2. The laptop is not on the United States Munitions List (“USML”) under the International Traffic in Arms (items with an inherently military application, so highly improbable to include commercially available laptops. Check with ORS for more information).
3. The laptop will not be put to a military use or used in outer space.
4. There is no reason to believe that the laptop will be used in research that could be used in the development of weapons of mass destruction.

If all 4 points listed above are true, then in most cases, Penn researchers working abroad will qualify for the Temporary Export Exception for export of the laptop if the following factors apply:

1. The laptop is returned to the U.S. within one year.
2. The laptop is a “tool of the trade” being used as a usual and reasonable tool of trade in lawful research
3. The Researcher will retain effective control of the laptop while abroad by retaining physical and secure control of the laptop
4. The Researcher will accompany the laptop abroad.
5. The Researcher is not traveling to Iran, Syria, Liberia, the Balkans, Zimbabwe, Burma, Cuba, Libya, N. Korea or Sudan.

This scenario is the one most likely to apply. Other exceptions may apply or you may actually need to apply for a license. If you are unsure if your “export” of a laptop would implicate export control regulations or have any other questions, please contact Donald Deyo, Esq. in the Office of Research Services at deyo@pobox.upenn.edu.
Frequently Asked Questions

Has there been a change to the ORS Expenditure Review process?

Review of Foreign Travel Reimbursement Requests and Requests for Extra Pay/Other Compensation Charged to a Sponsored Project

Effective immediately, ORS’ Post Award Group will be responsible for the review of all travel and payroll requests which require ORS approval. In the past the Pre Award group has handled this responsibility. This sometimes resulted in the need for departments to respond to Post Award closeout inquiries regarding expenditures which had already been reviewed in ORS. It is anticipated that having Post Award staff handle the initial inquiries will somewhat reduce these type of inquiries. In addition, the Post Award Staff has access to additional systems and information which will allow for a more complete review and better enable the University to ensure compliance with federal requirements and sponsor’s guidelines.

There will be no change in the process required by departments for these items. They should be submitted as they have been in the past. However, inquiries will come from the ORS Post Award Staff rather than the ORS Pre Award Staff. Please note that since additional areas are being reviewed, the number and types of questions may increase during the initial period and somewhat beyond. In addition, as Post Award Staff become familiar with this new process and the details of each situation, additional inquiries may be made to departments. Efforts will be made to minimize this as much as possible. We appreciate your patience during this period.

What is the process of ORS review of foreign travel?

Travel expenses charged to a sponsored project must follow University policy unless the sponsor imposes greater restrictions on the award. Financial Policy 2367 Travel and Entertainment: Sponsored Agreements states that it is “the responsibility of the traveler and the PI to know the terms set forth in the award of a sponsored project with reference to allowable travel expenditures.” The Office of Research Services is available to assist in the determination of the allowability of particular charges and whether or not prior approval from the sponsor is required. Also available from Research Services is a Travel and Entertainment Expenditure Justification Form which can be used to document the reason for the travel, as well as the approval of the PI. It is highly recommended that this form be kept in the grant file along with a copy of the reimbursement request.

Foreign travel to be charged to a federal award must follow the Fly America Act which requires
the use of a United States flag carrier. More information on these rules can be found at [http://www.finance.upenn.edu/comptroller/travel/foreign/flyamerica.shtml](http://www.finance.upenn.edu/comptroller/travel/foreign/flyamerica.shtml). Prior approval from Research Services must be obtained if a traveler needs to deviate from this policy.

To ensure compliance with the rules surrounding foreign travel on a federal award, Research Services must review and approve all foreign travel advances and reimbursements. The above referenced justification form must accompany any reimbursement requests that are to be approved by Research Services. Please note that this form requires a written justification outlining how the travel directly benefits the project being charged.

According to [Financial Policy 2367](http://www.finance.upenn.edu/comptroller/forms/#Payroll), Research Services must review and approve all foreign travel charged to a federal grant or contract. No other travel needs Research Services review but must be in conformity with Financial Policy 2367 and in compliance with the applicable sponsor’s policies. The [Travel and Entertainment Expenditure Justification Form](http://www.finance.upenn.edu/comptroller/forms/#Payroll) must accompany all travel forms sent to Research Services for approval.

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**Standardized Payroll Form for Temporary Hourly Paid Employees**

Temporary hourly paid employees must use the [Penn Temporary Hourly Time Reporting Form](http://www.finance.upenn.edu/comptroller/forms/#Payroll) available on the ORS web site, or a form that contains all of the elements outlined in the Memorandum dated September 28, 2005, which announced this new procedure.

The requirement to use a standardized form was the result of the discovery during a federal audit of Penn’s time reporting system that there were multiple versions of the form in use, and many lacked sufficient information to relate the hours worked to a specific project.

In addition, a significant number of these temporary employees were performing services in departments other than their home org, resulting in effort reports distributed to departments that did not have knowledge of the grant activity and were unable to certify to the effort, resulting in significant delays in having the effort reports certified.

The new procedures outlined in the September 28, 2005 memorandum were established to require specific elements of information to be included on weekly time report forms beginning October 1, 2005. A copy of that memorandum and a sample time report form that meets the new requirements can be found on the ORS web site at [http://www.upenn.edu/researchservices/effortreporting/](http://www.upenn.edu/researchservices/effortreporting/). The form is also available on the Payroll Office web site at [http://www.finance.upenn.edu/comptroller/forms/#Payroll](http://www.finance.upenn.edu/comptroller/forms/#Payroll).

Important! Since the additional information provided on the new weekly time report form meets audit requirements, these non-exempt temporary hourly paid staff are not included in ERS, the web based effort reporting system.

In order to ascertain the effectiveness and compliance with the new procedures, ORS will conduct a sample testing of random departments to determine if the process is being followed and the records are able to sustain audit.

If you have not been using the approved form, then use the blank effort report form also available on the ORS web site and fill it out with a summary of the payroll data for the last effort reporting quarter and have it certified. If you have any questions please direct them to Bob McCann at 898-1469.
Job Openings in Research Services

ACCOUNTANT B
Grade 25
Duties: Performs general ledger review and reconciliations; prepares financial statements and billings; provides University Business Administrators with grant accounting advice; prepare journal entries and trial balances. Initiates and coordinates the account close-out process in coordination with the responsible department administrator. Tests for accuracy, completeness and compliance with federal guidelines and/or other contractual agreements. Performs other related duties as required.

Qualifications: Bachelor’s Degree in accounting or business required and 0 to 2 years of experience. Ability to prioritize tasks, demonstrated strong communication and organizational skills; demonstrated proficiency with PC software (MS Word & Excel); knowledge of Ben Financials a plus.

POST AWARD ASSISTANT DIRECTOR
Grade 28
Duties: Performs, oversees and receives general ledger review and reconciliations; reviews financial statements and billings. Ensures timely billing and reporting. Provides post award staff and University staff with sponsored projects advice and (varying levels of) training. Oversees and manages special projects. Provides general supervision of 4-5 accountants. Tests for accuracy, completeness and compliance with federal guidelines and/or other contractual agreements. Responsible for financial administration of 30 - 50% of Penn’s sponsored projects. Other duties as assigned.

Qualifications: Bachelor’s Degree in accounting or business required and 5 to 7 years of experience or equivalent combination of education and experience. Working with grants or research administration. Minimum of three years supervisory experience required. Experience working at the University of Pennsylvania strongly preferred. Ability to prioritize tasks, demonstrated strong communication and organizational skills; demonstrated proficiency with PC software (MS Word & Excel); knowledge of Ben Financials a plus.

PENNERA ASSOCIATE PROJECT LEADER
Grade 28
Duties: As a member of the PennERA (Electronic Research Administration) Core Team, to evaluate research business practices campus-wide as well as within Research Services and to recommend alternatives for improved practices and procedures. Provide functional leadership for specific initiatives or subprojects with PennERA and to serve as an interface between the project team and University organizations. Provide oversight of implementations and transitions of both electronic and business practice initiatives. Facilitate the design and delivery of research administration training.

Qualifications: A Bachelor’s Degree is required and 3 years to 5 years of experience or equivalent combination of education and experience. The position requires a strong and broad-based background in research administration in a university environment. Good personal communication and organizational skills are essential to success in position. Some knowledge and comfort working with software systems is desirable. Facilitate the design and delivery of research administration training. Special Requirements Background Check Required

For additional information or to submit an application, please visit Jobs@penn (https://jobs.hr.upenn.edu/applicants/jsp/shared/frameset/Frameset.jsp?time=1129302184971).
Did You Know.....??

...The National Science Foundation (NSF) will no longer publish consultant daily rates. It will be the responsibility of the University to determine reasonable reimbursements for consultants engaged as independent contractors paid from NSF awards.

...PIs who have not submitted the required interim and final progress reports both will not receive future funding from the NSF until the reports are completed. This means that if a PI has submitted a final progress report but did not complete the required interim progress reports future funding from the NSF will be withheld.

...Representatives from ORS and OACP conduct on-site educational programs for faculty regarding sponsored projects administration. To learn more about the program contact either Andy Rudczynski at x3-9249 (email: abrud@pobox.upenn.edu) or Alice Tangredi-Hannon at x8-1934 (email: aath@pobox.upenn.edu).

Training Opportunities:

Sponsored Programs at Penn:
This is a two day workshop which covers the fundamentals of Sponsored Projects Administration at Penn. Topics include Proposal Preparation & Processing, Contract Negotiation, Award Acceptance and Account Set-up, Financial Compliance & Allowability, Post Award Management, Reporting Tools and Data Sources, Closeouts, and Audits. Please visit http://www.upenn.edu/researchservices/training.html for more information.

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/).

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.
ORS Monthly Quick Quiz

1) When booking a flight for foreign travel, it is allowable to use a non US Flag Carrier when:
   
a) It costs at least 25% less than using a US Flag Carrier.
b) There is no US Flag Carrier which flies to your destination.
c) It would allow you to fly direct rather than having a stopover.

For answer, visit http://www.fic.nih.gov/grantsinformation/Travel.html.

2) Travel charged to sponsored projects must be in compliance with both University travel policies and Sponsor regulations. True or False?

For answer, visit http://www.upenn.edu/researchservices/manual/sponsoredprojectshandbook.html#.Toc84300141.

Research Compliance Tutorials Available

Available on the ORS Web Site are tutorials on the subjects of Allowability, Cost Transfers & Documentation; Export Controls, and Effort Reporting. Please take a few moments to view these tutorials. The tutorials and other compliance related information can be found at http://www.upenn.edu/researchservices/rc/pages/training.htm.
Getting to Know......

Emerson Taylor
PennERA User Support

Time at Penn: 3 months
Time in Research Services: 3 months
ORS Responsibilities: Central Tier 1 support for PennERA.
Hobbies/Interests: Running, horseback riding, and reading; landscape architecture and the design of sustainable, socialized spaces.
Favorite Restaurant: Sakura (Providence, RI)
Favorite ways to spend a vacation: Relaxing and enjoying life in good company.

What Co-workers say:
...friendly, humorous and a quick study; can tolerate even my goofy sense of the world. Getting to know and work with Emerson has been a pleasure.
...she’s bright and eager to become an integral part of the PennERA team and of Penn. She has a sense of humor that makes the job fun.

February’s Contributing Authors, ORS Newsletter:

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Teresa Leo, PennERA/PennERS Communications Specialist, Information Systems and Computing
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Kerry Peluso, Director of Post Award Financial Administration, Office of Research Services
Andrew B. Rudczynski, Associate Vice President for Finance and Executive Director, Office of Research Services
Todd Swavely, Associate Director –Penn ERA, Project Manager, Office of Research Services
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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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 outs 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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