

## Office of Research Services -- Research Administration News --

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## **ATTENTION:** Notifications of Pending NIH Non-Competing Grant Progress Reports (PHS 2590) are available ONLY in Electronic Form

**NIH has transitioned the notification of Non-Competing Grant Progress Reports from a hard copy mailing of preprinted face pages (PHS 2590) to an electronic format.**

As previously announced in ORS' Newsletter and discussed in the May 2, 2002 NIH Notice on this topic <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-047.html>, the last hard copy mailing of pre-printed face pages was mailed in late June for those progress reports with November 2002 start dates. The NIH Office of Extramural Research has launched a website of Non-competing Progress Report due date information ([http://era.nih.gov/userreports/pr\\_due.cfm](http://era.nih.gov/userreports/pr_due.cfm)). This website can be queried using the Institutional Profile Number (IPF) to return a list of "due" progress reports for the institution. **Penn's IPF is 6463801.**

As a convenience for the faculty, Research Services will access the website monthly and send out electronic reminders to Principal Investigator and Business Administrators to alert them when an application is due. As this new system is implemented, please keep in mind that progress reports are due two months prior to the beginning of the next funded year and it is the responsibility of the Principal Investigator to submit the progress report on time.

**It is strongly recommended that each department review this list for upcoming due dates.** The necessary forms can be found at: <http://grants.nih.gov/grants/forms.htm#applications>

Progress reports should continue to be mailed directly to the NIH awarding Institute/Center. A list of Institute/Center mailing addresses for progress reports is found at: [http://grants.nih.gov/grants/type5\\_mailing\\_addresses.htm](http://grants.nih.gov/grants/type5_mailing_addresses.htm)

If you have any questions regarding these procedures, please contact your contract administrator at Research Services.



## PennERA: Moving Toward Implementation of Phase I

Three components of the PennERA system will be released this spring as part of the first phase of the PennERA project. PennERA (Electronic Research Administration) was conceived and organized as a multi-stage project with new and improved systems and processes being implemented at phased intervals.

SPIN Plus, Protocol Tracking, and Proposal Tracking, the new components that will be released, are described below. These base applications will provide a solid foundation for the more extensive protocol and proposal development modules to come in later phases. During Phase I implementation, Protocol Tracking and Proposal Tracking will be available to users in the Office of Research Services (ORS) and the Office of Regulatory Affairs (ORA). We anticipate that rollout to ORS and ORA will begin in spring 2003. In the same timeframe, the SPIN Plus application, currently a vendor-hosted application available from a link on the Vice Provost for Research's web site, will be migrated to an onsite server accessible via PennNet to facilitate future integration with the proposal preparation process.

No special plug-ins will be required to use the new applications. Authorized users will only need to authenticate with their PennKeys and PennKey passwords before accessing the system with a standard web browser.

When the new applications are released, complementary changes will be made to BEN Reports and the Account Information Sheet (AIS) form. The changes to BEN Reports will be to the protocol information being displayed in BEN Reports only. We do not anticipate any changes to grant financial reports at this time. The current AIS form will be redesigned to reflect the newly automated account setup process. Prior to implementation, we are migrating to a more universal sponsor code numbering system and working toward a single point of entry of sponsor information to ensure more integrated access to sponsor data.

To ensure successful implementation of PennERA, a Research Reps group, which includes senior representatives from each of the Schools and Centers, has been formed. This group meets monthly to learn about updates, new enhancements, and benefits; to refine communication and implementation strategies; to share ideas; and to offer valuable feedback to the project team.

In addition to the Research Reps groups, Working Groups of knowledgeable end users from various Schools/Centers, Research Services, and Regulatory Affairs are being constituted to provide additional information regarding requirements and to address specific issues related to business processes during the implementation phases of the project.

One such group, the Reports Working Group, has been assembled to help us assess and implement the necessary changes to reports, including BEN Reports.

### Phase I Implementation Components

#### 1. SPIN Plus

SPIN Plus is a comprehensive service that provides authorized investigators with the most current information on available funding opportunities for projects. SPIN Plus consists of three modules:

- SPIN—An up-to-date listing of funding opportunities from national and international governmental and private funding sources
- GENIUS—A searchable expertise profile system that contains profiles and/or curriculum vitae of investigators who choose to make their profiles public
- SMARTS—A system that matches GENIUS profiles with the SPIN funding opportunities and automatically delivers daily updates via e-mail

*Anticipated benefits include:*

- An additional venue to discover funding opportunities
- A reduction in time spent searching for opportunities by having a central repository with this information
- A potential vehicle for identifying and locating co-investigator talent
- A common database of faculty profiles
- The potential for increasing sponsored projects funding

## **2. Protocol Tracking**

The Protocol Tracking system is a secure web-based application that manages protocols currently active or under review by the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and/or the Safety Committee. It consists of three modules—Human Subjects, Lab Animals, and Hazardous Materials (to be implemented in later phases). Each module provides authorized users the ability to create, generate, and distribute agendas, minutes, and associated communications to investigators.

*Anticipated benefits include:*

- Ability to store an electronic version of a protocol
- Ability to track more information per review
- Improved capabilities to monitor compliance
- Ability to alert IRB members and Chairs about adverse events more quickly through the electronic alerts of the system
- Complete amendment tracking
- Additional protocol information available through BEN Reports
- Enhanced access to protocol information for reviews

## **3. Proposal Tracking**

Proposal Tracking is a secure web-based system for collecting, tracking, and reporting on application and award information for proposals. It includes real-time ad-hoc reporting capabilities, document merge functionality, an e-mail management system, and instant reporting on all proposals and awards.

*Anticipated benefits include:*

- Interface with BEN Financials for the more automated creation and maintenance of Sponsored Program funds
- Reduction of duplicative data entry
- Common database of people, organizations, and sponsors
- More complete multi-year proposal and award data for reporting and planning purposes

## Other Initiatives: PennAEs Update

On November 25, the Penn Human Subjects Adverse Events Reporting (PennAEs) component of the PennERA system was released to selected members of Penn's academic research community. This phased rollout followed a successful pilot release of the system in September.

- The system will continue to be released in phases to facilitate the orientation and support of new users of the system. Additional members of the University community will be given access in the coming months. As hands-on use expands, there may be enhancements to terminology and navigation features of the system. This evolutionary approach to a new system and associated processes will help ensure that PennAEs will facilitate and enable improved tracking and information collection.

If you have any questions or would like more detailed information about the PennAEs component of the PennERA system, or if you wish to register to use PennAEs, please send an e-mail to [pennaes@pobox.upenn.edu](mailto:pennaes@pobox.upenn.edu) or contact Chris Sandy at 215-746-6266.

For more information on PennAEs, including training materials and a glossary of terms, visit the PennAEs web site at <http://www.finance.upenn.edu/ftd/weblearn/PennAEs/index.html>.

## More Information about PennERA

Additional updates about PennERA will be provided throughout the project. For the most current information, please visit the PennERA project web site at <http://www.pennera.upenn.edu/>. If you have any questions, comments, or suggestions, please send an e-mail to [pennera@pobox.upenn.edu](mailto:pennera@pobox.upenn.edu).

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**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**

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## Where can I get more information about administering my grants?

Office of Research Services Web Site:

[www.upenn.edu/researchservices/](http://www.upenn.edu/researchservices/)

Research Investigator's Handbook:

[www.upenn.edu/researchservices/rih/intro.html](http://www.upenn.edu/researchservices/rih/intro.html)

A Quick Guide for Faculty:

[www.upenn.edu/researchservices/pdfs/newfacbk.pdf](http://www.upenn.edu/researchservices/pdfs/newfacbk.pdf)

University of Pennsylvania Cost Sharing Policy:

[www.upenn.edu/researchservices/rs/costshare.html](http://www.upenn.edu/researchservices/rs/costshare.html)

Contact an Office of Research Services Staff Member:

[www.upenn.edu/researchservices/rs/contact.html](http://www.upenn.edu/researchservices/rs/contact.html)

National Conference for University Research Administrators (NCURA):

[www.ncura.edu](http://www.ncura.edu)

## **NIH REMINDER TO APPLICANTS ABOUT REQUIREMENT TO SUBMIT COMPLETE AND UP-TO-DATE OTHER SUPPORT INFORMATION**

As announced by NIH on February 13, 2003 (NID-OD-03-029), NIH requires submission of complete and up-to-date "other support" information before an award can be made. Other support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts are not included. Applicants should not include information on other support in the PHS 398 competitive grant application submission, but should be prepared to follow "just-in-time" procedures to submit current other support information upon the request of NIH Institute/Center staff when the application is under consideration for funding. Grantees must also report any changes in other support as a part of the annual progress report.

Information on other support assists awarding agency staff in the identification and resolution of potential overlap of support. Overlap, whether scientific, budgetary, or commitment of an individual's effort greater than 100 percent, is not permitted. The goals in identifying and eliminating overlap are to ensure that sufficient and appropriate levels of effort are committed to the project; that there is no duplication of funding for scientific aims, specific budgetary items, or an individual's level of effort; and only funds necessary to the conduct of the approved project are not included in the award.

Budgetary overlap occurs when duplicate or equivalent budgetary items (e.g., equipment, salary) are requested in an application but are already provided for by another source. Commitment overlap occurs when a person's time commitment exceeds 100 percent, whether or not salary support is requested in the application.

While information on other support is only requested for key personnel(excluding consultants), no individuals on the project may have commitments in excess of 100 percent.

Scientific Overlap occurs when: (1) substantially the same research is proposed in more than one application or is submitted to two or more different funding sources for review and funding consideration, or (2) a specific research objective and the research design for accomplishing that objective are the same or closely related in two or more applications or awards, regardless of the funding source.

The Institute/Center scientific program and grants management staff review other support information prior to award. Resolution of overlap occurs at the time of award in conjunction with applicant institution officials, the principal investigator, and awarding agency staff. NIH staff continue to monitor changes to other support information throughout the project as part of the annual progress reviews.

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### **Training Opportunities:**

**Closeouts**, Tuesday, March 18, 10 a.m. For further information and to register, please go to <http://www.finance.upenn.edu/ftd/> .

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## Frequently Asked Questions.....

### What is Effort Reporting?

Simply put, effort reporting is a method of documenting the distribution of charges for personal services. [OMB Circular A-21: Cost Principles for Educational Institutions](#), requires that Penn's payroll distribution system:

- Reasonably reflect the activity effort for which an employee is compensated
- Use a method that recognizes the principle of after-the-fact confirmation so salary costs distributed represent actual costs, hence effort reporting



*Effort Reports for the Fall 2002 Semester have been issued and are due back in ORS on Friday, April 25, 2003.*

### What is the Importance of Effort Reporting?

Federal regulations applicable to sponsored research at colleges and universities ([OMB Circular A-21](#), Section J.8, entitled "Compensation for Personal Services") require that each institution maintain an acceptable effort reporting system. The purpose of an effort reporting system is to provide a reasonable basis for distributing salary charges among direct activities (e.g., sponsored research, instruction, and clinical activity) and between direct and indirect activities (e.g., between sponsored research and administration). Since Effort Reports are the source documents to support salary charges to sponsored projects, it is essential that this data be based on reasonable estimates of actual effort expended in the various effort categories.

Providing inaccurate effort estimates on the Effort Report form, whether knowingly or through carelessness or mismanagement, may result in mischarges of costs to the federal government and other sponsors. **Each individual with responsibility for effort reporting must therefore thoroughly understand the proper method of completing Effort Report forms and ensure effort percentages reported on the forms reasonably reflect actual effort expended during the report period.** (See "Sponsored Projects Policy #2114 Personnel Activity (Effort Reporting)" at <http://www.finance.upenn.edu/vpfinance/fpm/2100/2114.shtml> and <http://www.upenn.edu/researchservices/spmanual/effort.html> )

### Are effort reports a useful tool for determining current and committed effort in preparing proposals for submission to a sponsor?

**No.** Effort reports are a snapshot of how an individual's salary was distributed in a previous semester. They are not indicative of current distributions. As an example, a faculty member may receive an award with a start date of November 1st, and their distribution is changed to allocate 25% of their salary to that award. The effort report for the fall semester will only have two months of salary distributed to that award (November & December), so even though the person is now devoting 25% of their time to the award, over the six month fall semester only 8% of their salary was charged to that award, so the effort report will list 8% effort.

For further guidance on issues related to Effort Reporting, please contact Bob McCann, Director of Cost Studies at [mccannr@pobox.upenn.edu](mailto:mccannr@pobox.upenn.edu) or 215-598-1469.

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<http://www.upenn.edu/researchservices/rs/subscribe.html>

## 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. Greg Curley is now responsible for Account Information Sheets (AIS's) for all industrial clinical trials and sponsored research agreements.

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- Institute for Environmental Medicine – SOM
- Institute for Human Gene Therapy – SOM
- Institute for Neurological Sciences – SOM
- Medical Genetics – SOM
- Neurology – SOM
- Pathology & Laboratory Medicine
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- Institute on Age – SOM
- Pennsylvania Muscle Institute – SOM
- Pharmacology – SOM

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- School of Engineering and Applied Science
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- Graduate School of Education
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- Emergency Medicine – SOM

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- Family Practice – SOM
- Graduate School of Fine Arts
- Obstetrics & Gynecology – SOM
- Surgery – SOM
- Psychiatry – SOM

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- Law School
- Morris Arboretum
- Provost Interdisciplinary Program
- School of Art and Sciences
- School of Social Work
- Student Services
- Van Pelt Library

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- Center for Aids Research – SOM
- Genetics – SOM
- Hematology/Oncology
- Neurosurgery - SOM
- Orthopedic Surgery – SOM
- Pediatrics – SOM
- Physiology – SOM
- School of Medicine, Institute for Medicine & Engineering – SOM
- Radiation Oncology
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- Annenberg School for Communication
- Cell & Developmental Biology – SOM
- Center for Bioethics – SOM
- Dermatology
- Geriatrics – SOM
- Microbiology – SOM
- Ophthalmology – SOM
- Otorhinolaryngology – SOM
- School of Nursing
- School of Veterinary Medicine

**CORPORATE CONTRACTS GROUP:**

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- Account Information Sheets for Corporate Contracts

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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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  - Muscle Institute
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  - Radiation Oncology
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  - Pathology
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  - Orthopedic Surgery
  - Otorhinolaryngology: Head and Neck Surgery
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### *About Our Organization...*

#### *Our Mission*

The Office of Research Services 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, Research Services

- 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, Research Services is responsible for billing of contracts management of letters of credit for payment of grants, preparation of indirect cost and employee benefit rate proposals and rate negotiations, management of the effort reporting system, and oversight of service center rate development. The office reports jointly to the Vice President for Finance and Vice Provost for Research.

## Office of Research Services Quick Contact List:

### ORS General Phone Numbers:

215-898-7293 (General Information, Proposals, Awards)  
215-898-7269 (Financial Reports & Invoices, Accounting)

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