Training Dates for PennERA Proposal/Award Tracking View Access

Training for view access to the Proposal/Award Tracking module of the PennERA (Electronic Research Administration) system will be held in January 2006 for School and Department level research administrators and other appropriate research personnel. The training will be a demo-style session where features of the application and navigation will be presented. All users will be required to attend a training session prior to obtaining view access to the system.

Training Dates

All sessions will be held from 9:30-11:00AM. Following are the training dates; users only need to attend one session:

- Monday, 1/9/06, CRB, Austrian Auditorium (ground floor)
- Wednesday, 1/11/06, CRB, Austrian Auditorium (ground floor)
- Tuesday, 1/17/06, JMB, Class of ’62 Auditorium (ground floor)
- Friday, 1/20/06, BRB II/III, BRB Auditorium (ground floor)
- Monday, 1/23/06, CRB, Austrian Auditorium (ground floor)
- Wednesday, 1/25/06, CRB, Austrian Auditorium (ground floor)

BRB II/III is the Biomedical Research Building, 421 Curie Boulevard
CRB is the Clinical Research Building, 415 Curie Boulevard
JMB is the John Morgan Building, 3620 Hamilton Walk

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”.

Access

Prior to attending training, users will need to complete an access form, which requires appropriate authorization. Access forms are on the web at http://project.pennera.upenn.edu/project/forms/access.pdf and need to be signed by a PennERA Access Administrator. A contact list of PennERA Access Administrators is on the web.

Learn more about Grants.gov and Electronic Submissions.

See Page 4 for details on upcoming January 11, 2006 NIH Webcast. For more information on Grants.gov and Electronic Submissions, see ORS September and October Newsletters or visit www.upenn.edu/researchservices/.
Completed access forms must be handed in at training sessions.

After training, access will be set up, and users will only need to authenticate with their PennKey and PennKey password before accessing the system with a standard web browser.

**What will be available to view-only users?**

View-only users will be able to immediately access information on proposals and awards via the web, including:

- Proposal and award details based on ORG security
- A snapshot of a project’s administrative information, including the ability to compare proposed and awarded dates, amounts, and status history
- Basic high-level regulatory approval information associated with a proposal and/or award

**End-user support**

A support system is in place for PennERA users, including a help line, e-mail, web form, and online reference materials. Information is on the PennERA web site at [http://project.pennera.upenn.edu/help.asp](http://project.pennera.upenn.edu/help.asp).

**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/](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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Robin H. Beck  
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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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**PHASE 5 of ERS to be Initiated**

Phase 5 of ERS, the web based effort reporting system, will be initiated on January 27, 2006. This Phase will complete the initiation of the new effort reporting system. Phase 5 will include the Fall Semester 05 monthly employee effort reports as well as the 2nd quarter weekly paid employee effort reports. We expect approximately 8,000 effort report forms to be in Phase 5.

The last date to process a payroll reallocation for any employee who will have an effort report in Phase 5 is January 17, 2006. After that date, all payroll reallocations must be processed in ERS. The due date for these effort reports is March 31, 2006.

**Training dates for new participants in ERS are as follows:**

- January 23 FTD Training Room, 409 Franklin Building
- January 30 VPUL Training Room, 212 Franklin Building
- February 1 VPUL Training Room, 212 Franklin Building
- February 2 VPUL Training Room, 212 Franklin Building
- February 14 SOM Training Room, 202 Anatomy/Chemistry Building
- February 15 SOM Training Room, 202 Anatomy/Chemistry Building
- February 21 SOM Training Room, 202 Anatomy/Chemistry Building
- February 22 SOM Training Room, 202 Anatomy/Chemistry Building

All Classes are from 9AM to 12 Noon

To register for training go to: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu) click on Optional on the left radio button, and scroll down to Office of Research Services, ERS and choose the class you wish to attend.
Intellectual Property Concerns for Awards from American Chemical Society’s Petroleum Research Fund (PRF)

In our September 2005 newsletter, we described the complexities of the policies and procedures of many non-governmental organizations (NGO’s), with respect to grants and awards. Certain NGO’s have adopted and/or revised their own intellectual property and licensing policies, publication policies, indemnification requirements, and data sharing policies. These and other NGO policies are usually incorporated into the application process, whereby NGO’s require Penn to sign a statement agreeing to abide by all NGO policies in the event an award is made.

During the past few years, we have endeavored to negotiate changes to NGO policies associated with sponsored research proposals that are more in keeping with Penn’s mission and with Penn policies and procedures. More recently, Penn has undertaken a more systematic review of its agreements with various NGO’s in connection with grants and awards.

One of the NGO’s with which Penn has had recent discussions is the American Chemical Society’s Petroleum Research Fund (PRF). Unfortunately, the PRF has refused to modify its existing patent policy. ORS does not discourage faculty from applying for research funding from PFR. However, faculty should be aware that the PRF’s patent policy is contrary to the University’s own patent policy. The PRF requires that the grantee (the PI and the Institution) effectively waive all rights to any invention made, in whole or in part, with grant money from the PRF. Specifically, the PRF policy states that “any patent taken out by or on behalf of the principal investigator or the grantee institution, and which is derived from research funded in whole or in part by [a PRF grant], shall be dedicated to the public royalty free.” The University’s patent policy states that inventions shall be the property of Penn and may be licensed by Penn for commercial development. The PRF has taken the position that it will not even consider grant applications, unless grant applicants accept the PRF’s patent policy at the time of application.

Accordingly, Penn grant applicants must understand that they are required to accept the PRF’s patent policy and that there cannot be any commercialization of any invention resulting from funding, in whole or in part, from the PRF. Thus, under the PRF patent policy, any applicant for PRF funding must accept that any invention resulting, in whole or in part, from PRF funding is dedicated to the public royalty-free, and the University would not normally pursue patenting or licensing of such an invention under these circumstances. We have pointed out to the PRF that the patent and licensing polices of the University allowing commercial development of inventions, is in fact designed to further the public good by facilitating the transfer of important new technologies developed at the University to society (the Bayh-Dole model). However, these arguments have not prevailed.

As a result of the PRF’s patent policy, the Office of Research Services (ORS) kindly requests that you consider a number of concerns before submitting your grant or award proposal to the PRF. Please consider the likelihood of an invention; the stage of your research; and any existing contractual relationships with licensees and commercial entities. To the extent that you anticipate commercializing an invention, you should be aware of the constraints imposed by the PRF, and you may wish to consider alternate sources of funding.

Any questions or concerns in connection with proposals to be submitted to the PRF or other NGO’s should be directed to Cliff Weber Esq., Associate Director, Corporate Contracts at ck@pobox.upenn.edu.
Frequently Asked Questions

Where can I get more information about NIH’s New Electronic Application process and the SF424?

By May 2007 all research grant applications for NIH will have to be submitted electronically through Grants.gov using the SF424 Research & Related (R&R) form set. This training session, geared toward the applicant community, will provide an overview of NIH’s transition plans, the submission process and the new form set. A question and answer session will follow the formal presentations.

WHEN & WHERE: 2 Sessions Available - Dunlop Auditorium, Ground Floor - Stemmler Hall
- Wednesday, January 11, 2006, 8:30 AM to 12:00 PM EST
- Wednesday, January 11, 2006, 12:30 PM to 4:00 PM EST

Both the morning and afternoon sessions will be available for remote viewing via VideoCast, NIH’s streaming video service. While individuals can view the webcast on their desktops, the Office of Research Services has also arranged Dunlop Auditorium for viewing.

ORS personnel will be available to help answer or collect questions. If you wish to view this webcast in Dunlop Auditorium, it is not necessary to register.

Any questions should be directed to Pam Caudill, PreAward Director at caudill@pobox.upenn.edu.

To register to view this program on your destop, please visit this site: http://era.nih.gov/training/ElectronicSubmission
Revised PHS 416-1 (Ruth L. Kirschstein National Research Service Award Application) Now Available

Notice Number: NOT-OD-06-016

Key Dates

Release Date: December 9, 2005

Issued by

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

EFFECTIVE DATE: The newly revised “Application for an Individual Fellowship Ruth L. Kirschstein National Research Service Award” (PHS 416-1, rev. 10/05) instructions and forms are now available and will be accepted for submission/receipt dates on or after January 5, 2006 through the May 1, 2006 submission date. All applications received for submission dates on or after August 5, 2006 must use only the new instructions and forms; otherwise, those applications will be returned to the applicant. 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.htm. 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.

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

Notable Changes to the PHS 416-1 (rev. 10/05):

This edition of the PHS 416-1 has been extensively rewritten with a focus on clarity and special emphasis on simplicity and plain language. (Many of the overall changes are identical to those implemented in 2004 in the PHS398.) In addition, there are significant changes to the overall structure of the application. As a result, many of the form pages in the previous version no longer exist. Applicants are encouraged to use only the form pages provided in the new version. Do not mix old and new versions.

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.
- A number of the data items have been moved and/or consolidated into a new applicant/fellow biographical sketch. As a result some of the actual form pages have been eliminated causing those remaining to be renumbered.
- 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.
- Instructions have been revised so that application preparation better reflects a collaborative effort between the applicant/fellow and sponsor.

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 also 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 (6/02) PHS 416-1 revision, and includes links from Part I (“Instructions”) as necessary.

Changes of Note to Specific PHS 416-1 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.
- Vertebrate Animals box has been modified to allow IACUC approval date at the time of submission. This data field can be provided at the time of submission or later in the process as a Just-In-Time requirement.
- All signature approvals have been moved to the Face Page. The signature requirement for “Approval of the Department Head” has been eliminated.

Form Page 2:
- Sponsor/Co-Sponsor Information: Consolidated information on the Sponsor/Co-Sponsor into one area. Eliminated separate data entry fields for Position/Title & Research Interests/Areas since this information is provided in the biographical sketch of the Sponsor/Co-Sponsor.
- Research Proposal Description: Instructions have been added requiring the applicant to succinctly (2-3 sentences) describe the relevance of the proposed research to public health. Plain language is suggested.

Form Page 3:
- Training Sites: A distinct section for Training Sites has been created. This information was previously imbedded in the text of the research training plan.
- Human Embryonic Stem Cells: Previously imbedded 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.

Applicant/Fellow Biographical Sketch Format Page:
Created a distinct biographical sketch for the applicant/fellow (distinct from the format used by the sponsor/co-sponsor). This consolidates into one concise area information on the applicant/fellow previously scattered throughout the application. Applicants should note this biosketch is unique to applicants/fellows since it includes information on scholastic performance. The Applicant/Fellow must use this format while the sponsor/co-sponsor will continue to use the traditional biosketch format.

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

Personal Data Page:
The Applicant/Fellow is 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 to provide the agency with accurate identification, referral, and review of applications and for management of PHS grant programs.

Checklist Form Page:
- A field has been added for “Change in Sponsoring Institution”.
- Tuition Section: This section has been enhanced by adding a separate checkbox for “None” and a chart specifying the funds requested for each year.
Specific Changes of Note to the PHS416-1 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, Helvetica, Palatino Linotype or Georgia typeface and a font size of 11 points or larger.
- Research Training Plan instructions now follow an organization similar to research plans proposed in regular research grants; thus eliminating the need to fit text within confined form pages. Instructions have been rewritten to reflect a collaborative effort between the applicant/fellow and the sponsor. Finally, a distinct section on Resource Sharing has been included.

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
Bethesda, MD 20892
Telephone: (301) 435-0938
FAX: (301) 435-3059
Email: GrantsPolicy@od.nih.gov

NIH Continues to Issue Non-Competing Research Grant Awards at a Level Below that Indicated on Most Recent Notice of Award

Notice Number: NOT-OD-06-014
Release Date: December 1, 2005

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

The Department of Health and Human Services (HHS) continues to operate on a continuing resolution (CR) that currently extends through December 17, 2005. The CR applies the terms of the FY 2005 appropriations for the period covered by the CR. Until the final FY 2006 appropriation is enacted, NIH will be issuing non-competing research grant awards at a level below that indicated on the most recent Notice of Award (generally up to 80% of the previously committed level). NIH will consider upward adjustments to these levels after the final appropriation is enacted, but expects institutions to monitor their expenditures carefully during this period.

Questions regarding adjustments applied on individual grant awards may be directed to the Grants Management Specialist identified on the Notice of Award.

For More Information on Grants.gov and Electronic Submissions.
Click Here
For further information, please also see ORS September and October Newsletters.
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. 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.

Qualifications: A Bachelor’s Degree is required and 3 years to 5 years of experience or equivalent combination of education and experience. 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.

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.......??**

Effort, and the salary and benefits associated to it, devoted to the writing of a new application for funding cannot be charged to an existing sponsored project. These costs must be charged to an unrestricted department account. In addition, individuals appointed as research faculty must receive funding from the department in order to devote time to the preparation of new grant proposals.

Subscriptions to journals available in the Library cannot be charged to a federally funded sponsored project. Since the Library and the cost of its acquisitions are included in the Facilities and Administrative (F&A) cost calculation the charging of a journal directly to a federal sponsored project would be considered “double charging” the Federal Government. However, a subscription to a journal needed to keep abreast of research related to a non-federal sponsored project can be directly charged to the award unless sponsor specific terms and conditions state otherwise.

The NIH is conducting on-site visits to review an institution’s process regarding conflict of interest. During these reviews representatives of the NIH discuss with institution officials the implementation of the PHS Objectivity in Research requirements, the disclosure process, and management plans when a conflict exists.

The users of the NIH Commons must complete their personal profile to add their work address prior to being able to submit a grant application through Grants.gov.

Applicants must use the University’s DUNS number (042250712) when completing the SF 424 (R&R), not a personal DUNS number.

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**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.htm](http://www.upenn.edu/researchservices/training.htm) 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/](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).
ORS Monthly Quick Quiz

1) If a PI on a nine month appointment will be receiving 3/9 summer salary, 100% effort is assumed for June, July and August. No vacation may be taken during this period.
   
   True
   False

   For answer and more information on this subject, please click Policy Memoranda under Policies on the left side of the ORS homepage. Then select the memo titled “Summer Salaries, 6/21/2004”.

2) F&A Rates: Any federal award whose new or competitive cycle began prior to July 1, 2004:
   
   a) Changed to the current FY F&A rate each fiscal year.
   b) Retained the 58.5% F&A rate until the completion of the current segment.
   c) Applied to the rate that was stated in the approved budget.

   For answer, visit Policy Memoranda as directed above and select “Application of New F&A Rates to New and Existing Federal Awards, 6/30/2005”.

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......

Colleen Speakman
Contract Administrator

Years at Penn: 1
Years in Research Services: 1
ORS Responsibilities: Contract Administration
Hobbies/Interests: Music, Reading, Watching College Basketball
Favorite Restaurant: The Wharf
Favorite ways to spend a vacation: Ocean Isle Beach, NC
What Co-workers say:

...Great sense of humor!
...Always willing to help out and go the extra mile!!
...Loves her bowling night!!!!

December’s Contributing Authors, ORS Newsletter:

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Clifford K. Weber, Associate Director, Corporate Contracts, Office of Research Services
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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• Neurosurgery - SOM
• Orthopedic Surgery – SOM
• Pediatrics – SOM
• Physiology – SOM
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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

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--continued--
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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  - All except Chemistry, Linguistics, Economics and Physics
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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 Vice President for Finance & Treasurer and Vice Provost for Research.

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