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New Director of Technology and Research Collaborations

OHSU has selected Arundeep S. Pradhan, M.S. as the new Technology and Research Collaborations (TRC) Director. Arun comes to OHSU from the Colorado State University Research Foundation (CSURF), a non profit foundation affiliated with the university where he was the director for technology transfer. While at CSURF, Arun developed programs to assist and guide university faculty through the entrepreneurial process and helped establish a preseed fund to fill the crucial gap between federal research dollars and seed funds invested by venture capitalists to develop products. He also fostered a relationship between CSURF and the Fort Collins Virtual Business Incubator to provide early-stage high-tech companies mentoring, assist in raising capital, and make available support services at a reduced cost.

Before CSURF, Arun served as the associate director of technology transfer at the University of Utah. He has negotiated commercialization agreements across a broad array of fields, including bioscience, engineering, bioengineering, software and agricultural biotechnology.

Arun Pradhan was a member of the Colorado BioSciences Association Council with whom he worked on a management group that developed a growth plan for Colorado’s bioscience industry. He also served as the program chairman for the 2004 and 2005 national meetings of the Association of University Technology Managers.

Please join us in welcoming Arun to OHSU.

For more information on TRC, you may contact them at 503.494.8200 or visit their website at http://www.ohsu.edu/tech-transfer/.

SPIN Meeting Highlights

Highlights from the previous SPIN meeting are published in each issue of the SPIN Newsletter. Meeting presentations and handouts are always available on the SPA website: http://www.ohsu.edu/research/rda/spa/

New Cost Sharing Procedure
Panel Discussion with Lynette Arias, Director, SPA Tom Marcussen, Director, RSO Sarah Corrigan, Supervisor, Finance & Accounting

The Cost Sharing Procedure is now a formalized document, but the governing principles have been in place for some time, so most of the procedure should not come as a surprise to those members of the OHSU community involved in the stewardship of sponsored projects. Everyone involved in the management of grants is encouraged to review this document and to attend one of the upcoming open forums to discuss the procedure. The full document is currently available on the Sponsored Projects Administration (SPA) website: http://www.ohsu.edu/research/rda/spa/docs/cost_share_proc.pdf

The Cost Sharing Procedure defines the various categories of cost sharing, also known as “matching” funds, on sponsored projects.

- Committed cost sharing is that which is specifically quantified and committed within an application, budget proposal, or budget justification and therefore becomes trackable and reportable to the federal government. Committed cost sharing can be either mandatory or voluntary.
  - Mandatory committed cost sharing is that which is cited as a specific eligibility requirement on an application or proposal.

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Voluntary committed cost sharing is not required by the sponsor but is explicitly quantified in the project application or proposal. Once a commitment has been volunteered and the contract or grant has been awarded, the commitment must be met.

- Voluntary Uncommitted Cost Sharing (VUCS) is cost sharing that is neither required nor quantified in the application or proposal. This includes effort by OHSU personnel that is over and above that which is committed and budgeted in the sponsored agreement.

The Cost Sharing Procedure discusses not only how to meet sponsors' mandatory cost sharing requirements while minimizing the burden of such expenses, but also details the impact on OHSU when cost sharing is committed voluntarily. OHSU supports sponsored activities but also must ensure that its cost sharing commitments do not overburden its resources. In general, the commitment of cost sharing should be minimized at all times and is strongly discouraged unless necessary and approved by the unit head responsible for overseeing the promised institutional funds.

Costs to be applied as cost sharing related to federally funded projects must meet the same eligibility requirements as any costs directly charged to federal awards. That is to say, costs must be reasonable, allowable, allocable, and treated consistently under the regulations of Office of Management and Budget (OMB) Circulars A-21 and A-110, in addition to being necessary for the project. If a cost is not acceptable as a "direct cost," it is not acceptable as cost sharing.

Acceptable types of expenses for cost sharing include the following:
- Principal Investigator (PI) or other personnel salaries and associated other personal expenses (OPE)
- Project-related laboratory supplies or services
- Special purpose equipment necessary for the conduct of the project
- Costs incurred by sub-awardees or other organizations (also called third-party contributions)

Unacceptable types of expenses for cost sharing include the following:
- Any costs considered Facilities & Administrative (F&A) or "indirect" costs
- Any costs that cannot be quantified
- Any costs not incurred within the project period
- Any costs that do not directly benefit the project
- Any cost that is not allowable under the terms and conditions of the award

Cost sharing commitments included in an application must be acknowledged in the Proposed Project Questionnaire (PPQ) with signatures of unit fiscal managers responsible for the personnel and other resources being committed. Cost sharing commitments are real obligations to the funding source, which will base its award on the representations made in the grant application or contract proposal.

At the time of award, the PI must identify the source of the proposed cost sharing before the project account can be set up. A separate cost sharing account will be established in the Oracle Grants Accounting (OGA) system so that cost sharing can be separately tracked for reporting to the sponsoring agency (if necessary), can be included in OHSU's F&A rate proposal, and to ensure that OHSU has met its cost sharing commitment.

Committed cost sharing involving labor costs requires identification of the effort to be quantified in the budget and/or budget justification. The PPQ (provided by the department at the time of award) will contain information that identifies the source covering those labor costs. It is essential that PIs are aware of their total committed effort—both directly charged to the sponsored project and contributed as cost sharing—so that combined effort for research and other OHSU duties does not exceed 100%. Effort certification is done semi-annually, once for the period of January through June and once for the period of July through December.

Committed cost sharing involving special purpose equipment must be appropriately identified in a sponsored project application or proposal. Existing special purpose equipment cannot be considered as cost sharing since it was purchased prior to the performance period of the proposed project.

Miss the last SPIN Meeting?
Presentations and handouts from previous meetings are available on our website:
http://www.ohsu.edu/research/rda/spa/spin.shtml

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Committed cost sharing from a third party (when cost sharing is mandatory) must be “verifiable from the recipient’s records,” according to OMB Circular A-110. If a sub-recipient is providing cost sharing, OHSU’s PI must receive verification that the cost sharing commitment was honored and that all such cost sharing meets appropriate requirements for cost sharing (i.e., it is allowable, allocable, reasonable and necessary to the project). Third party cost sharing should be reported on invoices submitted to OHSU for payment. If the third party cost sharing comes from an entity not involved in a subaward, that entity may provide a letter of certification for the cost sharing commitment. Third party cost sharing should be carefully considered since OHSU, as the recipient of the award, is ultimately responsible for providing the cost sharing should the third party fail to meet its commitment.

If changes in committed cost sharing become necessary or if the PI anticipates an inability to meet a cost sharing commitment, the Research Support Office (RSO) should be contacted immediately so that communication with the sponsor can be initiated. Any changes in the cost sharing commitment must be coordinated and documented prior to transfer to Sponsored Projects Administration (SPA) for account set up. If funding for the cost sharing account changes after set up, a written request, signed by the unit head, should be submitted to the SPA Account Setup Coordinator, Becky Brown, 503.494.1884, rbrown@ohsu.edu.

For mandatory cost sharing, SPA generally reports the cost sharing at the time financial reports are submitted to the sponsor. Since cost sharing expenditures are part of the sponsored project’s total budget, record retention requirements for cost sharing expenditures will be the same as those on the externally sponsored award. This includes such items as letters or statements certifying third party cost sharing contributions.

All those involved in the management of sponsored projects are encouraged to review the full document online and to plan on attending one of the upcoming Cost Sharing Forums.

Effort Certification

Effort Certification Statements for the six-month period of December 15, 2003 to June 13, 2004 will be sent to all Departmental Effort Coordinators on July 12, 2004. All effort statements for this period must be signed and returned to Sponsored Projects Administration (SPA) by August 30, 2004. Please ensure that statements are included for all employees that should have one. If you are missing statements for any individuals, please contact Cynthia Moore-Woldridge right away at 503.494.1885 or email her at moorecyn@ohsu.edu.

It is important to remember that employees that have committed effort but no salary support on a project must submit an effort statement. If a cost sharing account has been set up for an award, the cost sharing account will be reflected on the effort statement. If a cost sharing commitment pre-dates the setting up of cost sharing accounts, please request Cynthia to generate an effort statement for such individuals. It will be necessary to make manual adjustments to the statement to reflect the project and the cost sharing commitment.

Effort certification is a compliance requirement that continues to be closely scrutinized by the National Institutes of Health, the National Science Foundation and other federal funding agencies, and we make every attempt to accurately report our effort. It must be stressed that although the percentages on the effort statements are drawn from the Payroll system, the statement is intended to certify effort not pay distribution. Please remember that any change in effort +/- 5% (on any one project) is considered to be a significant variance and must be reflected on the effort statement with appropriate back-up documentation (payroll distribution fund change, PA, etc.).

For more detailed information on the Effort Certification process, please refer to the OHSU Effort Certification Procedure on the SPA website: http://www.ohsu.edu/research/rda/spa/docs/effortcertproc.pdf

For more RSO information please call 503.494.7784, or visit them online at: http://www.ohsu.edu/research/rda/gc/.
Research Information Services (RIS) in conjunction with the OHSU Office of Research Integrity (ORIO) has created a web-based interface that allows the OHSU research community to view Conflict of Interest, HIPAA, and Responsible Conduct of Research records. This tool is provided in response to numerous requests from the research community to simplify the process of requesting and gathering compliance and required compliance training information. The data is updated every night from the appropriate databases and is available via the OZONE, http://ozone.ohsu.edu/research/rda/apps/eirbinfo/index.php. For further questions or comments please email eirb@ohsu.edu.

This document provides guidelines that may be used in composing and refining informed consent forms. These guidelines are based on the review of hundreds of consent forms as well as regulatory standards, and reflect the most common problems that occur. Following these guidelines is not required, but is recommended. The OHSU Research Integrity Office (ORIO) hopes that this document will be helpful in demystifying the standards used to review consent forms and will result in documents that are clearer, simpler and easier for research subjects to understand.

This document can be found on the web at http://www.ohsu.edu/research/rda/forms.shtml#hsf and may be used by study coordinators, investigators, Institutional Review Board (IRB) analysts and members, and others seeking guidance on improving the quality and readability of informed consent forms.

For information on educational opportunities, meetings, and conferences, please see the Upcoming Events calendar on SPA’s web site at: http://www.ohsu.edu/research/rda/spa/docs/2004calendar.pdf

and visit the RDA Educational Calendar at: http://sunweb1.ohsu.edu/research/rda/education/calendar/calendar.php

For more information on RDA, please visit the website at http://www.ohsu.edu/research/rda/
Oracle Grant Accounting (OGA)

OGA Training

Everyone involved in sponsored projects grants management is invited to attend an OGA training class. Classes are limited in size due to computer availability. Please join us in learning all areas of OGA.

Contact Juris Solovjovs at 503.494.9806 or email solovjovs@ohsu.edu to register.

Oracle Drop-In Sessions

Here’s an opportunity for end users who have already been trained in Oracle to get one-on-one help in the system. Both a Discoverer and an OGA Trainer will be present at each of these sessions to answer any specific Oracle Grants Accounting questions or to provide help designing your reports.

Grants Data Warehouse Training

All those involved in the management of sponsored projects are invited to attend training on this exciting new reporting tool. The OGA Data Warehouse features many new pre-set reports and will additionally offer end users the ability to customize these and other reports to meet their individual reporting needs.

Oracle Drop-In Sessions

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For more information on Oracle and Discoverer training schedules please visit the Administrative Information Services (AIS) website at:

http://ozone.ohsu.edu/ais/training.shtml