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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/ra/spa

Hot Topics

RSO Review of Science Pages

Follow up questions from the October SPIN Meeting indicate that some clarification is in order regarding the requirement for including a draft of the science pages with new grants and non-competing applications being submitted for review to RSO. RSO will not be reviewing and commenting on the science text. The science pages are required only so that RSO analysts can review the administrative pages in context and ensure that the investigator has met the informational and formatting requirements of the funding agency. For example, if the investigator has indicated on the face page of an NIH grant that human subjects research is part of the project, but does not have a section in the research plan which addresses human studies, RSO will note the anomaly and ask for clarification. RSO will also be checking to make sure the investigator has all the sections required for the research plan and that these are labeled and sequenced appropriately.

Reminder about Subawards on Modular Applications

Although detailed budgets are no longer required to accompany modular format applications being submitted to RSO, they are still required for all subcontracts being proposed on the applications. Except for support letters and Statements of Intent, these materials will not be a part of the finished application. But institutionally approved budgets from proposed subcontractor organizations are essential for legal and regulatory purposes. The same is true when OHSU is the subcontractor. If OHSU is being proposed as a subcontractor on another organization's grant application, and that application is modular, a complete, institutionally approved budget must be submitted to the prime applicant organization.

Mark your calendars!

The next SPIN Meeting is scheduled for November 20, 2003 in UHS 8B60 and video conferenced to two locations at West Campus.

Due to time constraints and a pressing need to discuss various issues related to Research Support Office (RSO) policies and procedures, the October SPIN meeting was unable to cover all of its planned agenda items. As a result, attendees can expect the November SPIN meeting (scheduled for Thursday, November 20, 2003) to resume the previous agenda topics.

Research Support Office (RSO) Hot Topics

Tom Marcussen, Director, Research Support

The Research Support Office (RSO) is currently undergoing a revision and improvement of the process for reviewing grant applications. Although this retooling does not represent new policy, it does involve minor changes to the existing process. The main goal for these process changes is to put the focus on administrative activities that are necessary to ensure grant quality and compliance with OHSU and funding agencies policies, and eliminate administrative requirements that are unnecessary or add no value.

Application Checklist

Filling out the Checklist page that accompanies applications is an integral part of completing a grant application. Although previously completed by RSO, the application Checklist needs to be filled out by the department so that it can serve its essential and original purpose of providing a clear guide to those putting together application materials. RSO understands that initially this shift in responsibility will present some new challenges to department administrators. To help with the transition, RSO is developing a worksheet and instructions to accompany the application checklist. These will be posted to the RSO website soon.

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Application Revisions
In order to ensure a “meeting of the minds” on major application revisions, RSO now asks to see revisions introduced to the document before the application is provided institutional approval with the appropriate signatures. To facilitate the process, RSO may still make minor changes to signature page(s) and provide mark-ups of necessary changes. However, to avoid the development of later issues with applications, PI’s and departmental administrators will be asked to demonstrate their understanding of and agreement with major revisions by incorporating requested revisions into the document (either by marking up the draft application or finalizing it). Once an appropriately revised document is returned to RSO—via campus mail or fax—then institutional signatures will be provided and the application process will continue.

Deadlines
RSO is in the process of developing a clear policy regarding application deadlines. The aim of this policy is to be reasonable to everyone involved in the application process. Clearly PI’s and departmental administrators need as much time as possible to complete the initial draft of the application, but RSO also requires sufficient time to properly review the application with its funding guidelines and still be able to request additional information or revisions from the departments. Currently the basic standard is that an application must arrive in the Research Support Office a minimum of five business days prior to the sponsor’s application deadline. Although five business days is the minimum, ten business days is RSO’s preferred allowance for the complete, comfortable handling of applications. Recognizing that in the past investigators have been given little incentive for submitting applications to the central office early, RSO has undertaken a renewed commitment to prioritize applications provided with a ten-day advance on the sponsor deadline. The aim is that by providing RSO with additional review time, RSO will in turn be able to give departments more time to make revisions or compile additional required information.

RSO recognizes that there are some rare circumstances in which investigators are presented with last minute funding opportunities and need extra assistance with getting applications out the door in very short turnaround times. The staff want to be able to respond quickly and helpfully in these situations. However, if institutional trends continue, with routine applications arriving at RSO only a couple of days before they must be sent out, it will be impossible to make a distinction between the handling of legitimate rush applications and ordinary late arrivals.

Difficult Requests for Applications (RFA’s)
With improved lead-time on standard applications, RSO hopes to be able to offer PI’s and departments additional assistance in handling Program Announcements and RFA’s with difficult application requirements. PI’s and departmental administrators should contact RSO as soon as possible when seeking assistance with complicated RFA’s. In some cases, it may be warranted to assign an RSO analyst to the application well in advance of the due date so investigators and department staff are able to work with them from the application’s earliest development.

Modular Budgets
Even when an application is being submitted with a modular budget, the PI and department still bear the same responsibility for preparing a detailed budget. A modular budget does not substitute for a detailed budget but rather assumes that a detailed budget has been prepared and distilled into a modular format. RSO will not require that detailed budgets accompany modular applications for review, but departments may develop their own policies regarding detailed budget back-up. RSO will need to have a breakdown of MTDC exclusions or a written indication that there are no exclusions in order to verify the Facilities and Administration cost calculations on the Checklist Page. This information can be provided in a simple spreadsheet, a memo, or an email message. Subcontract application materials will suffice when the only exclusions are related to subaward costs.

Subawards under Modular Applications
All proposed subcontracts require full, institutionally approved, detailed budgets, Checklist Pages, Biosketches, and Statements of Intent, as well as support letters from collaborating investigators, regardless of whether the prime application budgets are modular or detailed. This applies to both incoming and outgoing subcontract proposals.

(Continued on Page 3)
Foundation Patent Terms
Patent terms on foundation grants have been becoming increasingly restrictive, as foundations seek to support further research with shared income from inventions, while ensuring rapid commercialization of discoveries. Some terms (such as those recently proposed by the American Cancer Society) are not compatible with OHSU policies and objectives. As a result, terms on foundation applications have come under increased scrutiny. Where there is a perceived policy conflict, investigators may be required to submit their applications with cover letters from OHSU proposing a negotiation of terms. It is worth noting that letters accompanying recent American Cancer Society applications have produced optimistic results. ACS has contacted OHSU and expressed a willingness to enter into negotiations.

Communication with Principal Investigators
In order to assist with the implementation of revised RSO procedures and to facilitate communication of institutional policies to Principal Investigators, Tom Marcussen, Director, Research Support, continues to participate widely in campus events aimed at the PI audience (RDA Faculty Brownbag sessions, etc). To further the communication of RSO policies and procedures, Tom will make himself available for departmental meetings, prioritizing those that include PI's. All units are encouraged to take advantage of this outreach commitment.

Contact
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Effort Certification Statements are now past due. The deadline for submission of all effort certification statements was October 21, 2003. Effort certification is a requirement of OMB Circular A-21 that has become the focus of all cognizant agencies, and which carries penalties for non-compliance. Please send any outstanding effort reports to SPA immediately, Mail Code AD 220. Please contact Cynthia Moore at 494-1885 or moorecyn@OHSU.edu if you have questions. Thank you.

Federal Budget For FY04
Congressional delays in passing Federal budget appropriations for FY04 leave most agencies operating on a continuing resolution. The first continuing resolution for FY04 runs through October 31, and it is anticipated a second continuing resolution will be passed that will run through November 7. The only funding agencies excluded from these continuing resolutions are the Department of Defense and the Department of Homeland Security; their FY04 appropriation bills were signed into law on September 30, 2003, and October 1, 2003, respectively.

With the short-term funding extensions on continuing resolutions, projects that rely on federal grant funds should prepare for possible delays in receiving expected new and/or continued funding.

Miss the last SPIN Meeting?
Presentations and handouts from previous meetings are available on our website:
www.ohsu.edu/ra/spa
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 494-9806 or email solovjovs@ohsu.edu to register.

Wednesday, November 19
1:00-4:00 BICC 122

Wednesday, December 17
1:00-4:00 BICC 122

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.

Oracle Drop-In Sessions

Wednesday, November 5
1:00-4:00 BICC 122

Tuesday, November 18
9:30-12:30 BICC 122

For more information on Oracle and Discoverer training schedules, please visit the Administrative Information Services (AIS) website at:
http://www.ohsu.edu/admin-asip/training.html

A helpful feature within Oracle is the ability to export the inquiry screens and printed reports. All Oracle reports, and most inquiry screens have this feature which allows the data to be viewed in Excel. You can find the documents explaining these features on the SPA website at the following links:

Expenditure inquiry/export by project:
http://www.ohsu.edu/ra/spa/expingbyproj.pdf

Exporting Oracle printed reports/excel formatting:
http://www.ohsu.edu/ra/spa/exporclrpts.pdf

If you have any questions about these features or any other Oracle applications, please contact the Oracle Help Desk at 503-494-4524.
Policy on Reports of Adverse Experiences

The policy was revised to maintain compliance with federal, state, and local regulations.

Specific policy revisions include:
- Substantive changes to reporting requirements for tissue collection in long-term follow up studies (Section B of the policy)
- Modified reporting requirements for unexpected AE’s

To view the policy please visit http://www.ohsu.edu/ra/irb/policies.shtml and click on “Reports of Serious and/or Unexpected Adverse Experiences Policy (August, 2003).”

Upcoming Changes

Consent Forms
Consent Form revisions include:
- The reproductive risk statements have been revised.
- New language has been presented for the Alternatives section regarding comfort care.

Child Assent Form
The Child Assent form has been revised to clarify the age range.
- Current Language: “Use for children ages 7 to 18”
- Revised Language: “Use for children ages 7 through 17”

To view the sample consent forms visit http://www.ohsu.edu/ra/forms.shtml#hsf.
For additional details please see the OHSU Integrity Office’s Integrity Insights at http://www.ohsu.edu/cc/cq.shtml.

PROTOCOL VIOLATIONS: Revised Policy and New Form

The policy was revised to clarify definitions, the reporting process, and the review process.

Specific policy revisions include:
- More specific definition of minor and major violations
- Removal of the requirement to report minor violations
- Further clarification to ORIO’s review and handling of major violations

Upon reporting your next protocol violation, please begin using the new Protocol Violations Form.

To view the policy, please visit http://www.ohsu.edu/ra/irb/policies.shtml and click on “Policy on Protocol Violations in Human Subjects Research (October, 2003).”

To view the form, please visit http://www.ohsu.edu/ra/forms.shtml#hsf and click on “Protocol Violation Form.”

For more information on IRB please call 503.494.7887, or visit them online at: http://www.ohsu.edu/ra/irb/
Coming Events

Post-award Education Program Classes

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<th>Location</th>
<th>Time</th>
<th>Date</th>
<th>Details</th>
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<tbody>
<tr>
<td>OMB Circulars and Beyond</td>
<td>UHS 8B60</td>
<td>1:00 pm - 2:30 pm</td>
<td>Wednesday, Dec 3, 2003</td>
<td>Examines A-21, A-110, and A-133, three Circulars issued by the Office of Management and Budget (OMB) to define the principles and standards for agreements between federal agencies and research institutions.</td>
</tr>
<tr>
<td>Costing and Cost Transfers</td>
<td>UHS 8B60</td>
<td>2:30 pm - 4:00 pm</td>
<td>Wednesday, Dec 3, 2003</td>
<td>Moves step-by-step through general cost accounting standards as well as the stages involved in making a cost transfer.</td>
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In response to popular demand, Sponsored Projects Administration (SPA) is offering repeated sessions of the two previous Post-award Education Program classes. For those who have been unable to attend before, “OMB Circulars and Beyond” and “Costing and Cost Transfers” will be presented as part of a special, central campus double feature. Those interested in learning more about these topics are invited to attend one or both of these tandem classes.

“OMB Circulars and Beyond” will focus on examining A-21, A-110, and A-133, three Circulars issued by the federal Office of Management and Budget (OMB) to define the principles and standards for agreements between federal agencies and research institutions. “Costing and Cost Transfers” will move step-by-step through general cost accounting standards as well as the stages involved in making a cost transfer.

Like all of the Post-award Education Program courses, “OMB Circulars and Beyond” and “Costing and Cost Transfers” are designed to provide “departmental administrators” (including department administrators, division managers, department fiscal managers, department effort coordinators, etc.) with a strong foundation in the essential elements of successfully managing their sponsored projects.

Pre-registration is required, as class space is limited. If you plan to attend, please notify SPA Education (spaedu@ohsu.edu or x4-9063). Thank you.

NCURA 45TH Annual Meeting

“Connecting our Neighborhoods, Building the NCURA Community”
The Hilton Washington and Towers
Washington, DC
November 2-5, 2003

The theme for this year’s meeting embraces our NCURA neighborhoods, those functional areas of research administration in which we work. The conference tracks are designed to mirror the six NCURA neighborhoods - Pre-Award, Financial Research Administration (FRA), Electronic Research Administration (ERA), Compliance, Departmental Administration, and Predominantly Undergraduate Institutions (PUI). “Connecting our Neighborhoods” illustrates NCURA members working together, sharing information, and learning from one another.

“Early bird” registration before October 6th is $600 for current members, and $675 for non-members. After this date, registration fees will increase. For more information on NCURA’s Annual Meeting, please visit their website at: http://www.ncura.edu/conferences/45/

RDA Brown Bag

Proposal Development
UHS 8B60
Video Conference: Columbia Conference Room, (#277 in the 1100 CSE Compton Building,)
OGI School of Science & Engineering
November 3, 2003
11:30AM - 12:30PM

Presenter: Anne Chisholm, Sr. Financial Analyst, Research Grants and Contracts

Improve the chances that your proposal will pass RSO review the first time!
This brown bag will cover the following:

* Names/titles for the NIH face page
* Who to list as key personnel and the ramifications
* Who to list on the budget form page 4
* Justifying modular and non-modular budgets
* How to complete the NIH checklist
* Avoiding common mistakes on the 2590 form
* Brief discussion of the new RSO review procedures

For more information on other educational opportunities, meetings, and conferences, please see the Upcoming Events calendar on our web site at: http://www.ohsu.edu/ra/spa/2003calendar.pdf