Penn ERS Update

This coming September, **Phase 3** of Penn’s web based Effort Reporting System (ERS) will be launched. Phase 3 is dedicated to the summer effort reporting period for faculty having a nine month appointment. In addition to the ORGs in the ERS Pilot, Phase 1, and Phase 2, the following schools and remaining ORGs of schools will be introduced to ERS. These include:

- Nursing
- All Remaining ORGs in SAS
- All Remaining ORGs in SEAS
- School of Design
- Dental School
- School of Social Policy and Practice
- Annenberg Center
- Wharton (ORGS 0703, 0704, 0708, 0709)

ORGs that were part of the previous Pilot/Phases are required to use ERS from that point forward.

ERS training for Phase 3 departmental coordinators, pre and post reviewers is scheduled for September 13th, 14th, 16th, 20th and 27th. (See Registration Requirements below.)

**Note:** In preparation of the Phase 3 roll-out, participants are asked not to process payroll reallocations after September 6th @3PM for the summer reporting period. Salary reallocations after this date can be processed in ERS after initiation on September 13th.

**Phase 4**, the quarterly reporting period ending September 30, 2005 and rolling out in October will not include any new schools or ORGs. However, during the month of October ERS training will continue for those ORGs which are already using ERS and have additional employees who require training.

**Phase 5**, for the quarter and semester ending December 31, 2005, will roll-out in January 2006. As previously announced, all remaining ORGs that have not participated in a previous phase will enter Phase 5 (in addition to any other ORGs...
that were not anticipated or may be new). These ORGs are and may not be limited to:

- All remaining ORGs in the School of Medicine
- Provost’s Center
- Wharton’s remaining ORGs
- Museum
- Annenberg School
- Library
- Law
- Morris Arboretum
- Institute of Contemporary Art
- President’s Center
- Student Activities
- Student Services
- College Houses & Academic Services
- Division of Finance
- Business Services
- Campus Services
- Facilities
- External Organizations

ERS Modifications

Based on feedback from those who participated in the Pilot, Phase 1 and Phase 2, ERS has undergone some modifications. These include:

- The elimination of the University Summary screen for all employees except for faculty paid from CPUP object codes. The categories required to be completed in the Summary are:
  - Clinical Activity - Direct Patient Care
  - Clinical Activity - Education of House-staff
  - Clinical Activity - Administration
  - Other Activity (includes Abramson Institute, Administration, Instruction, and Unsponsored Scholarly Activity)
- The Average Weekly Hours (AWH) box appears on the University Summary screen for CPUP faculty only. AWH includes effort hours for all of the above activities and sponsored projects.
- The salary cap indicator appears not only for awards directly received from the NIH but from SAMHSA and AHRQ as well. Additionally, for subawards where the prime is NIH, SAMHSA, or AHRQ, the salary cap indicator will appear if applicable to that employee.
- Additional reporting capabilities are available to pre and post reviewers

ERS Registration Requirements

In preparing for an upcoming phase, the identified departmental coordinators (DCs), pre and post reviewers must:

1. Have successfully completed Payroll training and have Salary Management access for the ORGs to which they are assigned;
2. Complete the Sponsored Projects Effort Reporting Presentation module and successfully pass its accompanying quiz prior to attending hands-on training. The module is currently located on ORS’s homepage at: http://www.upenn.edu/researchservices/effortreportingA.html; and
3. Attend the required ERS hands-on training when scheduled.

As each phase is rolled out, ORS sends a communication to the DC requesting that they identify their pre and post reviewers. The DC is informed of the dates, time, and location of the upcoming ERS hands-on training sessions. Training is mandatory and training room availability is limited. Failure to complete steps 1, 2 or 3 above will result in a $150 non-compliance fee and charged to the trainee’s department. Registration for ERS training is accomplished by accessing http://knowledgelink.upenn.edu.

Getting acclimated to any new web based system can be difficult in and of itself. Adding
the compliance requirements of timely and accurate information that requires the cooperation of others increases the difficulty of adapting to a new system. The members of the Penn community who have participated in ERS should be commended for their efforts. An example of this hard work is reflected in the over 98% timely completion of effort reports that were due June 30, 2005. The ERS Team would like to extend their thanks to all of the ERS participants (faculty and staff) for their thoughtful questions and suggestions to make ERS a better effort reporting tool.

Information about ERS is available at: http://www.upenn.edu/researchservices/effortreportingA.htm. Questions about the PennERS project can be directed to effort@pobox.upenn.edu

--Robin H. Beck, Vice President of Information Systems and Computing
--Andrew B. Rudczynski, Ph. D., Executive Director of Research Services and Associate Vice President of Finance

**COST SHARING**

**IMPORTANT:**

If your award requires cost sharing, generally a cost sharing account will be set up by ORS. It is important that you charge expenses to this fund as outlined in University Policy. If you do not meet your cost sharing requirement, it will normally result in a pro rata reduction of your grant funds. For more information on cost sharing, please see http://www.upenn.edu/researchservices/CostSharing.html.

eSNAP NOW AVAILABLE FOR ELIGIBLE NON-COMPETING CONTINUATION APPLICATIONS

The NIH eRA Commons has a component which allows extramural grantee institutions to submit electronic versions of type 5 (non-competitive) progress reports for those grants which are subject to streamlined non-competing Award Process (SNAP) via a web interface. A significant benefit to using the electronic submission is that the current paper process requires submission of the progress report 60 days prior to the budget start date, while the electronic version is due 45 days prior to the budget start date, thus providing an extra 15 days to the PI to complete and submit the type 5 application. Accordingly, progress reports noted as being due on June 1st will be due, if sent electronically, on June 15th. Also, no paper copies of the progress report will be required by Research Services, although a paper copy of the signed Proposal Transmittal and Approval Form is required prior to submission.

This functionality is now available to the Penn Community. In the past several months, we have selected a small number of eligible applications and asked the principal investigators to participate in a pilot program to submit their applications electronically. This pilot has been successful with relatively few problems identified.

Instruction for submitting eSNAP applications can be found on the Research Services website http://www.upenn.edu/researchservices/eSNAP.html. If you have questions, please feel free to contact your Research Services PreAward representative.
PennERA Update
New U@Penn Research Tab Now Available

The PennERA team, in collaboration with the Vice Provost for Research, is pleased to announce the rollout of the new Research Tab on the U@Penn portal, available after August 15 at http://medley.isc-seo.upenn.edu/penn_portal/research.php. The new Research Tab serves as a single “window” for investigators and administrators that is aimed at facilitating the presentation and accessibility of research information. From this central location, researchers and administrators can:

• Sign-in once to seamlessly access multiple PennKey-secured research applications they are authorized to use, such as BEN Reports and GRAM

• Find out about funding opportunities, proposal and award management, training, and facilities

• Find links to central research offices and School research pages

• Find current policies and procedures

• Obtain forms and other documentation

• Personalize their view by changing the layout of the information, adding their favorite links or hiding links

For more information on using U@Penn, please refer to http://www.upenn.edu/computing/uatpenn/usinguatpenn.html. If you have any questions, comments, or suggestions, please send an e-mail to ResearchTab@pobox.upenn.edu.

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.

--Robin H. Beck
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--Andrew B. Rudczynski, Ph. D.
Executive Director of Research Services and Associate Vice President of Finance
Frequently Asked Questions

Is the lack of a final invoice from a subcontractor appropriate justification for a delinquent FSR?

No, this is not acceptable justification for a delinquent FSR. FSR’s are submitted on time at Penn. Subcontracts issued by Penn to other organizations include a due date for the final invoice (generally 45 days). In order to ensure that we are able to close out the award by our sponsor’s deadlines, the subcontractor must submit the invoice per the terms they agreed to when the subcontract was issued. If they do not submit the invoice on time, Penn is no longer required to reimburse them for their unbilled expenditures and they should not anticipate reimbursement. To avoid this situation, PI’s and Business Administrators should contact the subcontractor prior to the end date explaining that this term will be enforced and that they need to meet this deadline in order to be reimbursed.

Is an Independent Contractors Agreement required for federal sponsors? Where can it be found?

As stated in the Sponsored Project Handbook (section 8.5), when retaining the services of a consultant on a sponsored project, a consulting agreement is recommended in most cases and is always required by federal sponsors. To be considered a legally binding agreement between the University and the consultant, all such agreements must be signed by an authorized institution official in Research Services.

An agreement template is now available on the ORS website which includes an agreement request, instructions and checklist. This can be accessed at http://www.upenn.edu/researchservices/documents/IndepC.doc. Once a consultant has been identified, a copy of the agreement signed by the consultant should be sent to ORS along with the checklist and the following documents:

1) W-9
2) Philadelphia Business Privilege License
3) University of Pennsylvania FORM C-12 Independent Contractor Determination & Certification
4) WORK STATEMENT
5) Certificate of Insurance showing Penn as an additional insured
Did You Know.......??

...The HHS OIG 2005 University (audit) work plan will target salary charges exceeding the NIH salary cap, reductions in effort exceeding 25%, and cost transfers. Auditors will determine if the frequency of cost transfers indicate the need for accounting system improvements, enhanced controls, or both.

...The National Science Foundation has been conducting a review of Penn’s effort reporting system since December 2004. Several schools were selected in the sample and the review is still ongoing. Penn was the first of potentially 20 institutions that the NSF plans to audit within the next two years.

...LSP costs are not considered an appropriate charge to federal awards.

...If you suspect that grant or contract funds are being inappropriately spent and would like to speak to a University representative, you can contact the help line at 1.888.BEN.TIPS.

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.

Outside Training Opportunities:

NCURA 47th Annual Conference, October 2005
SRA Annual Conference, October 2005
ORS Monthly Quick Quiz

1) Salary used as cost sharing should be:
   a) Charged to a departmental fund. You can email the details to ORS at closeout.
   b) Charged to a departmental fund and reallocated to the specific 5 fund which was set up for this cost sharing.
   c) Charged directly to the specific 5 fund which was set up for this cost sharing.

   For answer, click here or visit http://www.upenn.edu/researchservices/CostSharing.html.

2) A separate 5 fund will be set up to account for cost sharing when:
   a) there is any cost sharing requirement.
   b) the cost sharing requirement is $10,000 or more.
   c) the cost sharing requirement includes salary costs.

   For answer, click here or visit http://www.upenn.edu/researchservices/CostSharing.html.

3) When completing the Cost Sharing Form at proposal stage, the budget information should include object code detail.
   a) True
   b) False

   For answer, click here or visit http://www.upenn.edu/researchservices/CostSharing.html.

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Research Compliance Tutorials Available

Newly added to 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......

Jim DiIenno
Team Leader

Years at Penn: 1.5 years

Years in Research Services: 1.5 years


Hobbies/Interests: Playing basketball, playing poker and watching movies.

Favorite Restaurant: Italian Bistro

Favorite ways to spend a vacation: Going to Wildwood, NJ as I did every summer since I was born.

What Co-workers say:
...Jim is a pleasure to work with. He is a great team player who approaches his work with a positive attitude.
...Jim is very dependable & thorough in all aspects of his job.
...Jim is professional, personable and well-liked by his colleagues internally & externally.

August’s Contributing Authors, ORS Newsletter:

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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
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 such matters should be directed to the appropriate pre-award contact. 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
• School of Medicine, Institute for Medicine & Engineering – SOM
• Radiation Oncology
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• Dermatology
• Geriatrics – SOM
• Microbiology – SOM
• Ophthalmology – SOM
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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 out 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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  - Pediatrics -Neonatology  
  - Otorhinolaryngology: Head and Neck Surgery

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  - Surgery

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- Institute of Contemporary Art  
- Vice Provost of University Live

- School of Medicine Departments:  
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  - Center for Sleep  
  - Neurosurgery  
  - Obstetrics and Gynecology  
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- Wharton School  
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  - Diabetes  
  - Rehabilitation Medicine

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  - Chemical Engineering  
  - Materials Science & Engineering  
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  - Minority Programs  
- School of Medicine Departments:  
  - Emergency Service

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- Law School  
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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.

Office of Research Services
Quick Contact List:


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Not receiving our newsletter? Please visit our homepage to subscribe to our listserv.  
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