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Implementation of Phase I Approaching

Implementation for Phase I of PennERA (Electronic Research Administration) is scheduled for August 2003*. Final testing is scheduled to be completed at the end of July, and training for central offices will begin on August 4th.

Access

Protocol Tracking and Proposal Tracking will be accessible to users in the Office of Research Services (ORS) and the Office of Regulatory Affairs (ORA). Current users of today's Protocol Tracking system (PPM) will also have access to Protocol Tracking. SPIN Plus will be accessible to anyone at Penn with a valid PennKey and PennKey password. No special plug-ins will be required to use the new PennERA modules. Authorized users will only need to authenticate with their PennKeys and PennKey passwords before accessing the system with a standard web browser.

Training

Training will be provided on the Protocol Tracking and Proposal Tracking modules for those who will have access as part of this release, including ORS and ORA, and inquiry-only training will be provided to OEHRs, ORSS, OHR, and ULAR. Online reference materials will be available to SPIN Plus users. More details on reference and learning materials will be provided in future updates.

Changes

When the new modules are released, the following complementary changes will be made:

- **BEN Reports**—The only report being revised is the Protocol Status Report, where there will be some changes to the protocol information displayed; currently there is no anticipated need to change any of the other reports available via BEN Reports
- **GRAM**—Minor cosmetic changes to GRAM are anticipated
- **AIS form**—The current AIS form has been redesigned to reflect the streamlined account setup process and a sample AIS form is available from the PennERA web site.
- **Proposal Transmittal and Approval Form**—The current Proposal Transmittal will be updated to reflect changes in data elements, as well as to incorporate information for compliance purposes. The use of a Proposal Transmittal and Approval Form will continue to be required until Proposal Development functionality is added to PennERA in a later project phase.
- **Protocol Tracking and Proposal Tracking modules**—These modules can be configured to e-mail investigators when their grant and protocol approvals are about to expire
- **BEN Financials**—Minor changes will be made to the Freeze Grant and Fund Attributes

PennERA: Implementation of Phase I Approaching *(cont.)*

screens and certain reports specific to ORS Post-Award accounting to display the sponsor code, which is being converted from a 4- to a 5-digit number

- **Data Warehouse**—In the General Ledger data collection (and in all Business Objects Universes that include the Fund Codes table), the fund Sponsor Codes will be changed to the new 5-digit number in concert with the conversion of Sponsor Codes mentioned above. The Sponsor Type will no longer be derived from the Sponsor Code, but will be stored in a separate data element, with a new list of values. Federal flow-through funds will not be identified by their Sponsor Code, but by a new fund attribute. The Data Warehouse will include Legacy Fund Sponsors, a new table that maps old to new Sponsor Codes for users who will need to continue to refer to the former (4-digit) Sponsor Code and the associated name and Sponsor Type. The Fund Codes and Fund Sponsors tables will store the 4-digit code as the legacy fund Sponsor Code.

PennERA Reports/Data Warehouse

A new Data Warehouse collection will be created when the new Proposal Tracking system is implemented. Following are notes on this new collection:

- Proposal and award data will be converted to a new structure (collection) in the Warehouse; once this conversion has taken place, users will be able to report on proposals and awards regardless of whether they are active or closed
- Current sponsored project data (SPONPROJ tables) will no longer be refreshed after August 14th
- The current sponsored projects tables will remain in the Warehouse after PennERA goes live, but there will be a new set of Warehouse tables created to store data from Proposal Tracking
- The Reports Working Group is finalizing the new data model
- The PennERA Reports Team is working with users who actively use the SPONPROJ data and helping them convert their Business Objects queries before the new data model goes live
- If you have queries you want converted, send them to Bill Branan at branan@isc.upenn.edu
- If you need access to the new Universe, contact Lori Ratajczak at ratajcz@pobox.upenn.edu

Reminder

In preparation for implementation, ORS and ORA staff will be going through a transitional period as they acclimate to the new systems. We do not anticipate excessive delays with business operations, but we do expect to experience some slowdown during this transitional period. We appreciate your patience as we strive to improve the way we do research administration at Penn.

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.

**The projected August 2003 release date is based on a “window of opportunity” that appears to best balance the introduction of changes with the least disruption of critical operational activities. The planning assumption behind a release date is predicated on the availability and performance of the software products from the vendors from whom we purchased applications. We have every expectation that all software releases as well as testing and training components of the implementation will support release in that timeframe.*

--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

--Joseph R. Sherwin, Ph.D.

Director of the Office of Regulatory Affairs

ATTENTION:
New Form REQUIRED for all
Reimbursement Requests for Foreign Travel or Entertainment Costs

University policy requires that all reimbursement requests for foreign travel or entertainment costs charged to a sponsored program have Research Services approval. In order to assist in the review of these requests and expedite the approval process, the Office of Research Services (ORS) is introducing a Travel and Entertainment Expenditure Form that must accompany all Travel and Entertainment Expense Reports that require approval by Research Services. It is strongly encouraged that this form be used for all travel reimbursement requests, even if Research Services approval is not required.

Research Services approval signifies only that the **types** of expenses listed in the Travel and Entertainment Expense Report are allowable. It is the responsibility of the Principal Investigator to determine that the expenses are related to the grant and that the reimbursement is in compliance with University and Sponsor Policies. Please note that the justification of the expenses should clearly state the relationship of the trips or the entertainment costs to the aims of the grant and how they further the purpose of the sponsored program. For more discussion on the allowability of costs, please review the FAQ's on the Research Services website <http://www.upenn.edu/researchservices/faq.html>.

The new form can be accessed at <http://www.upenn.edu/researchservices/docs/TravelandEntertainmentForm.doc>. Any questions regarding this form should be directed to Pam Caudill, Pre Award Director at caudill@pobox.upenn.edu.

Please ensure that all requests for reimbursement of foreign travel and entertainment costs are accompanied by a completed Travel and Entertainment Expenditure Form.

Where can I get more information about administering my grants?

Office of Research Services Web Site:

www.upenn.edu/researchservices/

Research Investigator's Handbook:

www.upenn.edu/researchservices/rih/intro.html

A Quick Guide for Faculty:

www.upenn.edu/researchservices/pdfs/newfacbk.pdf

University of Pennsylvania Cost Sharing Policy:

www.upenn.edu/researchservices/rs/costshare.html

Contact an Office of Research Services Staff Member:

www.upenn.edu/researchservices/rs/contact.html

Recent NIH Statement Sharing and Distributing Mouse Resources

Mouse Resources (genetically modified mice, inbred mouse strains, mutagenesis protocols, etc) are an important research tool in medical research. NIH supports numerous research projects directed toward the development of such Mouse Resources. In keeping with the general policies of NIH that research tools developed with NIH funding should be made reasonably available to the research community (Guidelines for Recipients of NIH Research Grants and Contracts on Obtaining and Disseminating Biomedical Research Resources (http://ott.od.nih.gov/NewPages/Rtguide_final.html), NIH has developed a draft policy, "NIH Statement on Sharing and Distributing Mouse Resources" available at <http://www.nih.gov/science/models/mouse/sharing/index.html>. This policy was issued May 28, 2003. NIH is requesting comments by August 1, 2003.

The draft policy requires that investigators submitting an NIH application include a concise plan addressing the distribution of mouse resources, unless the proposed research will not generate such resources. Investigators may also request funding from NIH for distribution and sharing of the mouse resources. After publication of research results in a peer-reviewed journal, Investigators who develop new strains of genetically modified mice may make such mice available to other researchers either by i) directly responding to requests for access to the genetically modified mouse strain, or ii) placing the mice strain in a mutant mouse repository such as the Mutant Mouse Regional Resource Centers (MMRRC, <http://www.mmrrc.org>).

The new policy will apply to extramural investigators funded by NIH grants, cooperative agreements and contracts, including SBIR and STTR grants.


The draft is based on existing policy: NIH Grants Policy Statement (http://grants.nih.gov/grants/policy/nihgps_2001/)

Important Notice: Research Space Updates

This is a message to the individuals who have been assigned responsibility for updating the functional use of their organization's space and have been trained in the new Space Web Updater Application.

The need for current and accurate space information is critical to the research F&A rate negotiation process. Now that the budget period is over, and fiscal year end is at hand, we need all of you to update the use of your organization's space for FY03 no later than July 31, 2003.

We appreciate your cooperation and attention to this important issue. Be mindful that you need to maintain documentation supporting the assignment of research space, that is you must be able to demonstrate grant activity was conducted in that space, and in the case of research laboratory space, the Principal Investigator and other individuals occupying that space and working on the grants conducted in that space.



Frequently Asked Questions...

What is a Non-Monetary Agreement?



The processing of research proposals for external funding requires the preparation and submission of a completed Proposal Transmittal and Approval Form (PTAF). The purpose of this requirement is to ensure that proposals seeking external funding comply with Penn financial and research compliance policies.

In addition to those proposals seeking external funds, there are many agreements related to Penn research which do not directly result in external research funding. Such agreements include collaboration agreements without data licenses. More recently, data use agreements and human tissue transfer agreements are being used with increasing frequency and are also agreements that usually do not involve any external funding. ORS has characterized these as Non-monetary Agreements. In cases involving such agreements, it is possible that a PTAF was not prepared and submitted since no financial approvals were required. The primary reason for this practice was the administrative burden involved preparing a PTAF.

With the increasing need to ensure compliance, appropriate effort on research activities, and to track more carefully Non-monetary Agreements, ORS has developed a simplified Non-monetary Agreement Review Form (NMARF) to use with such Agreements. The reasons for its use are as follows:

1. Non-monetary Agreements may involve issues requiring departmental and school approval, such as use of space, equipment, security plans and faculty commitment.
2. Certain agreements may involve the use of funds from other sources to support the activities under Non-monetary agreement. The use of such funds still requires approval from departments and schools to ensure that no inappropriate use of funds dedicated to other projects is ensuing.
3. Compliance and monitoring for regulatory affairs, conflict of interest and other policies is advanced by use of the NMARF.
4. The NMARF will ensure proper notice and tracking of agreements so that all necessary parties are aware of the activities and any needed approvals.

The NMARF is posted on the ORS website at <http://www.upenn.edu/researchservices/docs/Non-monetaryreview.doc>. For further information, please contact Don Deyo, Director for Corporate Contracts.

Training Opportunities:

ORS is offering a reprise of their workshops collectively titled “Sponsored Programs at Penn”. Prior to the first offering of this type in April of 2003, these workshops were offered on a monthly basis throughout the course of the year. In order to provide this training in a more comprehensive and timely fashion, these courses have been consolidated into a two-day program.

It is important to note that the content of the course is the same as the previous sessions you may have attended. It is the format of the delivery which has been redesigned.

This program is designed to assist new employees in initiation, management and completion of the research resources sought and awarded at the University of Pennsylvania. The program is being offered as follows:

Sponsored Programs at Penn

Date: August 19th

Time: 9:00 a.m. – 5:00 p.m.

- þ Proposal Preparation & Processing
- þ Contract Negotiation
- þ Award Acceptance and Account Set-up
- þ Financial Compliance & Allowability

Date: August 20th

Time: 9:00 a.m. – 5:00 p.m.

- þ Reporting Tools & Data Sources
- þ Project Management
- þ Closeouts
- þ Audits



Please note: You must register for both days and attend the entire program.

Questions on Course Information:

Questions pertaining to the content of the “Sponsored Programs at Penn” series should be directed to Pam Caudill, Director of Pre-Award, Office of Research Services, at caudill@pobox.upenn.edu. Questions pertaining to the registration process should be directed to Barbara Murray at murrayb@upenn.edu.

Registration:

You may register for this program via the Learning and Education online course catalog at the following URL: http://www.hr.upenn.edu/training_coursecatalog/search_criteria.asp. From this page, select either “Finance and Accounting” under Browse by Category or “Finance” under Browse by Department. Follow the “Register for This Course” instructions at the bottom of the page.

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/>).

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 responsible for Account Information Sheets (AIS's) for all industrial clinical trials and sponsored research agreements.

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- SOM – Dean's Office

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- Biomedical Graduate Studies – SOM
- Biostatistics – SOM
- Cancer Center – SOM
- Center for Experimental Therapeutics – SOM
- Institute for Environmental Medicine – SOM
- Institute for Human Gene Therapy – SOM
- Institute for Neurological Sciences – SOM
- Medical Genetics – SOM
- Neurology – SOM
- Pathology & Laboratory Medicine
- Rehabilitative Medicine – 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
- Radiology

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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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- Sponsored Research Agreements

SHEILA ATKINS – SENIOR CONTRACTS ADMINISTRATOR

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- Corporate Clinical Trial Agreements

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- Corporate Clinical Trial Agreements

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- Account Information Sheets for Corporate Contracts

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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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And Executive Director, Research Services:** 215-573-9249, abrud@pobox.upenn.edu

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