UPCOMING SIGNIFICANT CHANGE for Sponsored Projects:

Account End Date Validation Change

As those who process payroll at Penn are aware, the Payroll/Personnel System performs validation on account numbers. The validation is based on rules defined in BEN Financials and the Payroll/Personnel System. Currently, no validation occurs for the account end date of sponsored projects.

Effective for weekly pay issued Friday, August 11, 2006, the account validation process will be enhanced to include a check against the account end date of the fund. The account end date validation will only occur for sponsored projects accounts. For purposes of the account end date validation, an account number will be considered a sponsored project account if the 1st position of the fund is a five (5). When the 1st position of the fund is a five, the account end date validation will be enforced for that payroll distribution line. The distribution stop date cannot exceed the account end date.

The account end date validation will occur at the time of data-entry into the Payroll/Personnel System. Validation will occur for job distribution actions in the Payroll/Personnel System (including WESD), Online Time Reporting (OTR) System, Reallocation (including ERS), and SALINC. For these systems, failure of the account end date validation will produce a fatal error message. The data entered cannot be processed successfully until the error is corrected. Job distribution actions in the Payroll/Personnel System (including WESD) and SALINC will use the distribution stop date in the validation process. The OTR System and Reallocation (including ERS) will use the pay end date in the validation.

Additionally, the process to build the suspense account for failures in the account validation process during the generation of posting feeders to BEN Financials will change. All failures will cause the suspense account to be built using the employee home school/center for the account CNAC (2 digit school/center in position 1-2 and zero in position 3) and home Organization for the account Organization. The account CNAC and account Organization from the original distribution will no longer be used in this process. No changes to the process to build the remainder of the account will occur (Budget Control is ‘1’, the Fund is ‘000000’, the Object Code is ‘9501’, the Program is ‘0000’, and the Center Reference is ‘0000’). It is important that the account end dates currently established in
the system are accurate. Reports have been generated and distributed showing distributions that will fail the account end date validation. In situations where a distribution does not extend through the period an employee should be paid (e.g. month, fiscal year, etc.), distributions in the Payroll/Personnel System must be managed and be correct so that the employee is paid from the appropriate active accounts. To the extent that transactions for your responsible orgs go into suspense, it is the responsibility of the home school/center to make the appropriate changes to remove the transactions from suspense. Please note that if you are awaiting a no cost extension or continuation funding, you will need to submit an account continuation or advance account request (as appropriate for the situation) in order to continue charging salary to the sponsored project after the award’s designated account end date.

If you have any questions or concerns regarding payroll distributions, please feel free to contact the Payroll Office. Questions regarding the sponsored project account end date should be directed to the appropriate ORS representative.

**PennERS News**

Thanks to all the participants in ERS, Departmental Coordinators, Pre and Post Reviewers, and also to the Certifiers, we achieved a 94% on-time completion rate for the 3rd quarter effort report period for our permanent support staff personnel. The next effort reporting period will be for the Spring Semester 06 for the monthly paid staff (January – June), and also include the 4th quarter (April – June) for the permanent support staff personnel. The effort reports will be initiated into ERS available for review on July 14, 2006. The last day to post payroll reallocations in UMIS is July 3, 2006.

**Commonwealth of Pennsylvania Separate Audit Requirements for State funded grants over $100,000.**

Several departments of the Commonwealth of Pennsylvania require that a separate audit be conducted within 120 days after termination of the grant for all grants which are funded 100% from State funds and have an award amount of $100,000 or greater. The University’s annual federal A-133 audit does not satisfy this requirement. The Commonwealth does, however, allow the cost of the audit to be included as a direct cost in the proposed budget. For those Commonwealth grants which are funded all or in part by Federal funds, the A-133 audit will be accepted.

When submitting proposals over $100,000 to the Commonwealth, if you are not sure of the source of funding (state, federal or a combination thereof), we suggest that you contact the Program Official in charge of the grant solicitation to determine if a separate audit will be required. If the funding will be 100% state, or if you do not have a point of contact to confirm the funding source, the cost of the separate audit must be included as a direct cost in your proposed budget. A reasonable estimate is $6,000.

Upon award, the Office of Research Services will identify the grant as requiring a special audit, and will coordinate the preparation of the audit through our external auditors, Price Waterhouse Coopers. Should you have questions about these requirements, please contact Robert McCann, Director of Cost Studies at 898-1469 or by email at mccannr@pobox.upenn.edu

**FY07 Employee Benefits Rates**

The FY07 EB Rates are as listed below. Effective immediately, these rates should be used on all proposals.

**Full Time Employees:** Federal = 29.9%, Non-Federal = 32%*

**Part Time Employees:** 9.7%

* Non-Federal includes 2.1% for Employee Dependent Tuition
Research with the City of Philadelphia:
Handling the New Ethics Disclosure Requirements

Many of us are aware of the debate over campaign financing, non-competitively bid contracts and “pay to play” practices in the City of Philadelphia. Residents of the City are aware of the ethics ballot question affirmed by the city electorate last year. However, few of us know the impact the rules regarding non-competitively bid contracts have on research Penn conducts with the City. This article gives a summary of pertinent required disclosures and describes the processes ORS follows to comply with the new ethics rules, including new resources used to interact with the research community at Penn.

Research agreements with the City are considered non-competitively bid contracts. Applicants for non-competitively bid contracts, after February 1, 2006, are required to make certain disclosures on the City’s eContract Philly Web site, https://ework.phila.gov/econtractphilly/. On that Web site, City departments post contract opportunities for which applicants are required to submit applications before a deadline. Part of the application process is to make certain disclosures about political contributions. Also, certain contracts, such as the ones executed by the University, are not posted on the eContracts Philly Web site, but the disclosure process must still be completed. For-profit applicants and not-profit applicants answer different questions – the contribution questions for non-profit applicants are less comprehensive in regard to the employees of the organization, for example. At Penn, the responsibility for completing the disclosures falls on the Office of Research Services (ORS).

The disclosures required of the University are geared towards determining:

1. whether the University has contributed directly or indirectly to candidates, incumbents, political committees, state parties or groups organized to support a candidate, office holder, political committee or state party;
2. whether the services of a Consultant (someone hired by the University to assist in obtaining a non-competitively bid contract on the University’s behalf) were engaged in the year prior to the application deadline for such contract opportunity, in which case the University would have to disclose the Consultant’s contributions (this is hard to translate for purposes of research, since University contracts are not posted);
3. whether a subcontractor will be used for the research project for which the contract is written;
4. whether the University, its officers, directors, management employees or any person representing the University has been approached by City employees to give any money (other than political contributions) in the two years prior to the application deadline for a contract opportunity, or
5. whether the University, its officers, directors, management employees or any person representing the University has been given advice that a particular individual or business could satisfy goals established in the contract for participation of minority,
women, disabled or disadvantaged business enterprises during the two years prior to the application deadline for a contract opportunity.

ORS can answer (2) above, since the University does not use Consultants in obtaining City contracts. Further, ORS can answer (3) above from materials submitted by the Principal Investigator – subcontractors to a project should be indicated on the Proposal Transmittal and Approval Form. However, in order for ORS to accurately answer (1), (4), and (5), we have developed a form to be completed by principal investigators on City research projects. While the University does not make campaign contributions, we also want to make sure that our disclosures are accurate with respect to the principal investigators and their staffs. Also, because (4) and (5) encompass individuals within the University, it is important to gather such information from those individuals.

The City informs ORS of the disclosure requirement for a particular contract around the time the contract is being executed, prompting ORS to send the form to the principal investigator. Only after the disclosures on the eContract Philly Web site have been made will the City release funds under a contract. If the University was applying for a posted contract opportunity, the disclosures would have to be made before the application deadline for that contract opportunity.

The importance of this new process cannot be overstated for those principal investigators and departments which conduct research under contract with the City. Non-competitively bid contracts are restricted to applicants who meet the eligibility requirements based on political contributions. For instance, an applicant is ineligible to receive a contract in excess of $25,000 during the term of office of a City candidate to whom the applicant contributed more than $10,000 in one calendar year. Currently, the City recognizes that the University, as an institution, does not make any political contributions. However, the definition of “contribution” includes solicitation of contributions from others, such as the hosting of fundraising events.

The disclosure of contributions extends to Consultants who may be used to assist in obtaining a City contract. This is not a significant matter to the University, since the University does not hire Consultants to assist in obtaining City contracts.

What is significant to the University is the disclosure of contributions made by subcontractors. The contributions of a subcontractor may render the subcontractor ineligible to receive City funds under the contract. It is very important that subcontractors be identified to ORS, so ORS may inquire into any contributions the subcontractor may have made in the years prior to the contract opportunity.

In regard to (4) above, the request for money (or anything of value) from a City employee can be for non-City-related matters – for instance, information would have to be disclosed about a civic-association board member (who was coincidentally also a City employee) who solicits contributions for a block party at an association meeting, if the individual being solicited is an officer, director or management employee of the University. The context of the request for money is irrelevant, so long as the requestor is a City employee and the recipient of the solicitation is an officer, director or management employee of the University. This is difficult to assess given the size of the University management workforce, the number
of University interactions with the City for a variety of purposes, and the large proportion of University personnel who live in the City. The chances of fundraising in schools, churches, neighborhoods, etc., creating a nexus between a City employee and University management are very high. While these solicitations are not prohibited, they must be disclosed to the best of the University’s knowledge.

Since the disclosures required by the new procedures are complex, ORS hopes that the use of the form it developed will help it completely and accurately disclose the required information to the City, without requiring principal investigators to become expert in a new body of law. Readers may view the relevant ordinances, including the definitions of “Consultant” et al., at Title 17, Chapter 17-400 of the Philadelphia Code and Charter, [http://municipalcodes.lexisnexis.com/codes/philadelphia](http://municipalcodes.lexisnexis.com/codes/philadelphia). Any questions about eContract Philly or the processes taken by ORS to comply with the new City ordinances, may be addressed to Adam P. Rifkind, Associate Director, Corporate Contracts, (215) 898-9990, rifkind@pobox.upenn.edu.

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**Reminder: Guidelines for Payment of Recruitment of Subjects in Human Research**

ORS recently had an issue in a clinical trial agreement related to the use of finder’s fees in a clinical trial agreement. Faculty and Staff need to be aware that the use of finder’s fees is discouraged and in some cases, may violate federal law. Ethical conduct of research requires that the participation of all human volunteers be completely voluntary. In addition, the University of Pennsylvania IRB believes that finder’s fees to investigators and study staff create a potential conflict of interest. Specifically, the investigator may be motivated by financial interest to refer a patient when such referral might not be of any benefit to, or in the best interest of the subject. Finder’s fees to physicians or nurses may diminish the patient’s free choice in deciding whether to volunteer for a clinical study. Specifically, the patient may rely unduly on the physician’s or nurse’s recommendation to enroll, against his/her own better judgment.

Finally, the IRB believes that there does need to be guidance for investigators who wish to recruit subjects for research activity and where outside third parties need to be reimbursed for their activities in such manner as to avoid the appearance of fee splitting. Guidelines for the handling of this issue may be obtained from the Office of Regulatory Affairs. [http://www.upenn.edu/regulatoryaffairs/IRB.html](http://www.upenn.edu/regulatoryaffairs/IRB.html).

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**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](http://www.upenn.edu/researchservices/rc/pages/training.htm).
Submissions of JUST IN TIME via the NIH Commons

The NIH provides the JIT (Just in Time) link in the NIH Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 100 and 300 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

Just in Time allows the Principal Investigator or Signing Official to provide Other Support, IACUC, IRB, and Human Subject Assurances information directly to the NIH when that information is requested prior to funding. Although a PI may save this information through the NIH Commons, only an SO/Research Services may submit it to NIH. (Unfortunately, there currently is no trigger in the NIHCommons notifying Research Services when the PI has completed his/her part). Research Services requests that the PI send an email to the Signing Official notifying ORS that JIT information has been uploaded and is waiting for review and submission. In the email please include: grant number, title and IRB/IACUC approved protocol (s) number (s).

Keep in mind, in order to submit JIT through the NIH Commons, ALL requested information MUST be available to submit at the same time.

JIT information is made of three key elements: If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this “Just in Time” page. If the specific date(s) is not available, you may not use this automated submission feature at this time. This version for electronic submission requires all data elements to be submitted at the same time. Other Support Documentation is always required.

If some pieces of the requested information are unavailable, all of the information must be submitted directly to the appropriate NIH Grants Management Office. Should Grants Management staff need revised or additional information, the grantee will not be able to resubmit JIT via the Commons, but will need to submit via email or fax. Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.

Furthermore, there is a known system problem with the NIH Commons, which shows the JIT link for NRSA applications (Fellowships and Training applications). Please do not submit the JIT information for these types of applications through the NIH Commons. Please submit JIT information for training grants and fellowships through email or fax; countersignature by an authorized institutional business official and shall include the application number and the name of the Principal Investigator.

Changes to GRAM (Grant Reporting and Management)

The following changes have been made to GRAM effective July 2007

• To protect the privacy of Penn's employees, GRAM now displays an employee's PennID rather than Social Security Number. The following screens are affected by this change:
  o Salary Payments by Employee by Month
  o Salary Payments by Employee by Check Date

• The annual rate changes have been implemented where applicable. This ensures that expense amounts for FY2007 are calculated correctly by GRAM.
  o The full-time employee benefits (FT EB) rate has been changed to 29.9%.
  o The part-time employee benefits (PT EB) rate remains unchanged, at 9.7%
  o The dependent tuition benefit rate is 2.1%. This rate is used for full time EB-bearing salaries paid from non-federal grants.

• The Facilities and Administration (F&A) rates remain unchanged for FY 2007
  o The current on-campus research rate is 57.0%.
  o (This is also known as the indirect cost rate or the overhead rate.)

If you have any questions or experience any problems with GRAM, please send e-mail to gram@pobox.upenn.edu.
UPCOMING TRAINING

Using PureEdge Viewer and Preparation of NIH Electronic Grant Applications

The Office of Research Services is pleased to announce that hands-on training using the PureEdge Viewer and SF424(R&R) forms to prepare NIH electronic grant applications will be offered on the following dates:

- Monday, July 10 2:00-4:00 PM
- Monday, July 24 2:00-4:00 PM
- Monday, August 7 2:00-4:00 PM
- Monday, August 21 2:00-4:00 PM

The classes will be held in the Franklin Building, Room 409.

Because of the hands-on nature of this training, attendance is limited to fourteen participants per class. The goal of this first round of hands-on training is to prepare faculty and business administrators to submit applications through Grants.gov for NIH programs with deadline dates on or before June 1, 2006. These include the R03, R21, R33 and R34 grant mechanisms, as well as the mechanisms that have already transitioned, such as STTR/SBIR applications. Therefore, faculty and business administrators meeting this criterion will be given priority should the number of registrants exceed the number of available places. Additional hands-on training will be conducted to accommodate faculty and business administrators who will be using Grants.gov to submit NIH applications due after June 1, 2006.

To register for one of these classes, please call (215) 898-5624.
ORS Monthly Quick Quiz

(Answers can be found within the front page article of this newsletter.)

1) End date validation for sponsored projects at Penn will begin:
   b. Some time in the future. The effective date remains to be determined.

2) With this new end date validation, the distribution stop date/pay end date will not be allowed to exceed:
   a. The Account End Date.
   b. The Budget End Date.
   c. 99/99/9999

3) This change will impact all employees charged to a sponsored project. Distribution Stop Dates/Pay End Dates should be corrected for already active employees. If it is not corrected and the pay date exceeds the Account End Date for the designated 5 fund, the following will occur:
   a. The employee will not be paid.
   b. The cost of the salary will be charged to the suspense account for the home school/center.
   c. The 5 fund that was previously designated will still be charged.

4) This change only impacts sponsored projects funds (those beginning with a “5”)
   a. True
   b. False
Frequently Asked Questions

What is the “Adjustment Period”?  

The Adjustment Period is the period which follows the end date of a sponsored project and allows departments to review and finalize the expenditures on the fund. It is equal in length to the interval of time required by the sponsor for the submission of the financial report, less 30 days (Submit Final Report value minus 30 days). The 30 days is required by Research Services to review direct costs, reconcile F&A costs, and prepare and submit the report to the sponsor. The exception to this general rule is when the final financial report is due 30 days after the Account End Date. In this case, the Adjustment Period is equal to 15 days.

The purpose of the Adjustment Period is to capture final Accounts Payable transactions, service center, and telecommunication charges, and other final adjusting entries. All final adjusting entries must be processed during this period to allow sufficient time for all charges to be viewed through G/L Inquiry at the close of this period.

When the Adjustment Period concludes, the fund fully freezes and the financial system will no longer allow charges to be incurred on the fund by the department. Research Services Post-Award will issue the final financial report based on accounting information contained in the general ledger fund as of the end of the adjustment period unless otherwise instructed. The General Ledger report that assists in the close-out process is 134.ORG “Summary of Final Expenditure Report,” which provides the summary of expense and encumbrances on a project-to-date basis. The department has the option to freeze their fund prior to the end of the Adjustment Period. This action notifies ORS that the fund is ready for reporting and will ensure that no additional charges are incurred. Use of the “freeze” function in this way is strongly encouraged. The fund can be frozen at any time prior to the end of the adjustment period.

ORS will report financial expenditures in accordance with the procedures outlined in the Sponsored Projects Handbook. Therefore, compliance with all reporting and close-out procedures by the Departmental BA is extremely important. ORS will always operate on the assumption that, at the close of an Adjustment Period, the fund and any related fund has been reviewed, adjustments posted, if necessary, that all costs including salary are properly posted, are allowable and appropriate under the terms of the grant or contract award. During this process, ORS reviews the charges which have occurred and may request a written verification of the allowability of charges on certain object codes. See Sponsored Projects Policies Nos. 2126 and 2128. ORS will submit a financial report based solely upon the information available in the financial accounting system general ledger record.
Did You Know.......??

...It is the responsibility of the PI and BA to ensure that the **Cost Transfer Policy** is complied with during the life of the award. ORS approval is required for all cost transfers which occur at any time beyond 90 days past the end of the month in which the charge was originally incurred. This includes cost transfers occurring after the end date has occurred **AND** during the active period of the award. For further information on the cost transfer policy, please see [Sponsored Projects Policy 2113](http://www.upenn.edu/researchservices/training.htm).

...Invoices are required to go out as soon as possible (no later than 15 calendar days following the end of the invoicing period, sooner if required by sponsor). These guidelines also apply to the rare cases where invoicing is done by the department or further detail is required from the department in order for ORS to complete the invoice. These guidelines must be complied with in order to avoid delays and/or potential loss of funding.

...During the life of the award, the BA is responsible for monitoring the Employee Benefits and Facilities and Administrative charges which have been charged to the sponsored projects for which they hold responsibility. Any discrepancies between what has been charged to the fund and what they believe should have been charged must be directed to their ORS Accountant for review and any necessary correction.

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Training Opportunities:

**Sponsored Programs at Penn: Next Session - Fall 2006**
This is a 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](http://www.upenn.edu/researchservices/training.html) in August 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).
Getting to Know......

Don Deyo
Director, Corporate Contracts

Time at Penn: 7 years
Time in Research Services: 7 years

ORS Responsibilities: Oversight for Corporate Contracts area as well as non-federal clinical trial and research agreements

Hobbies/Interests: History, travel.

Favorite Restaurant: Devon Seafood Grill

Favorite ways to spend a vacation: Santa Barbara on the beach or lounging by the lake in Maine with a cool drink.

What Co-workers say:
...Dedicated to his area.
...One of his favorite sayings is “Is everything under control?”
...A law degree, a PhD, and a Moody Blues groupie.
...A triple-threat...Smart, Caring and Funny!!!

June’s Contributing Authors, ORS Newsletter:

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Donald Deyo, Director, Corporate Contracts, Office of Research Services
Alice Dunleavy, Associate Director, Pre Award Non-Financial Administration, Office of Research Services
Robert McCann, Director of Cost Studies, Office of Research Services
Lauren Oshana, Associate Director, Pre Award Non-Financial Administration, Office of Research Services
Kerry Peluso, Director of Post Award Financial Administration, Office of Research Services
Adam Rifkind, Associate Director, Corporate Contracts, Office of Research Services
Andrew B. Rudczynski, Associate Vice President for Finance and Executive Director, 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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• Endocrinology – SOM
• Gastrointestinal – SOM
• General Intestinal Medicine – SOM
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• Renal – SOM
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• Genetics – SOM
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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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• Annenberg School for Communication
• Cell & Developmental Biology – SOM
• Center for Bioethics – SOM
• Dermatology
• Geriatrics – SOM
• Microbiology – SOM
• Ophthalmology – SOM
• Otorhinolaryngology – SOM
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Post-Award Administration Staff

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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  - Biochemistry/Biophysics
  - Microbiology
  - Biomedical Graduate Studies
  - Dermatology
  - Neurology
  - Institute for the Neurological Sciences
  - Institute for Environmental Medicine
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About Our Organization...

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