

Office of Research Services -- Research Administration News --

Special Interest Articles:

- NEW Proposal process for ARO – See Page 4
- NIH –Updated Instructions for PHS398 -- See page 5
- More information on Cost Transfers-- See page 7

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**IMPORTANT
REMINDER:
EFFORT
REPORTS
ARE DUE
FRIDAY, APRIL 8.**



Update

PennERA, the University's multi-stage project to provide electronic research administration tools to faculty and administrators, is planning an upgrade to Release 10 of its currently installed base of modules from InfoEd, targeting the the second quarter of 2005.**

Data Warehouse Changes in Preparation for PennERA Upgrade

Changes will be made to the PennERA Proposals data collection as part of the upgrade of the PennERA system from version 9.x to version 10:

- Status will no longer be stored at the budget period level, but will be stored for each budget request and award increment within a period.
- The Period table will no longer store the current status of the period. The Period Status History table will no longer be used.
- The Request table will store the current status of each budget request. The new Request Status History table will store the current and past status information for each budget request.
- The Increment table will store the current status of each award increment. The new Increment Status History table will store the current and past status information for each award increment.
- Existing queries that use period status will need to be changed to use request status or increment status:
 - Users of the PennERA Proposals data collection will be informed when a Business Objects Universe is available for them to use to change and test affected queries
 - The PennERA team will change and test affected corporate reports that are available to Business Objects and InfoView users

End-User Support

Telephone, e-mail, and web-based help for PennERA applications, including PennERS (Effort Reporting System) have been implemented:

- Help Line—Users dial 6-2900 (on campus) or 215-746-2900 (off campus); hours are 9AM-5PM, Monday-Friday. This single help-desk number can be used for all operational and technical questions. Calls are routed to subject matter experts based on the product with which the user needs help. If a call involves a technical problem, it is re-routed to a technical expert. Calls are logged into a shared database where they can be tracked and easily retrieved, ensuring consistent and accurate responses.
- E-mail—Questions can be e-mailed to pennerahelp@pobox.upenn.edu. (Users who need help with Account Information Sheets (AIS's) are asked to continue to use AIS-prob@pobox.upenn.edu.) Users with questions about the Effort Reporting System can email effort_help@pobox.upenn.edu
- Web—A web form is available from the PennERA Help page at <http://project.pennera.upenn.edu/help.asp>. Users enter information that will automatically be directed to subject matter and technical experts in the same manner as the Help Line.

AIS Online

To meet the need of faculty and administrators to receive research grant and contract account information quickly as possible after set-up or changes, the AIS (Account Information Sheet) Online became available early October 2004 as a web-based report in BEN Reports. This allows users to view Proposal/Award and Account data, as well as cost share, sponsor, subcontract, and subaccount information that is contained in the AIS document, as soon as an award has been set up and the report is ready to be viewed online.

For every AIS Online, an e-mail notification with a clickable link is sent to the same department/school distribution as the regular AIS distribution list. Other supporting documents such as Notices of Award, terms and conditions and/or contracts continue to be delivered as attachments via a separate e-mail along with an attached copy of the AIS to which the supporting documents correspond.

The benefits of the AIS Online include:

- Accounts available online and can be viewed at any time, anywhere
- Ability to select AIS by Fund, PI, or Institution Number
- Can view previous AIS's for the same account (for AIS documents issued since October 1, 2004)
- Quicker delivery/availability of AIS's
- Printer-friendly version available

AIS Online records are available to Faculty/PIs (for accounts on which they are Principal Investigator), Department/School/Center BAs (based on Org security), and central office staff in ORS.

There was a problem with the Account Information Sheet (AIS) Online that has been resolved:

- Beginning in January 2005, a change made to the AIS e-mail notifications affected a subset of users in the School of Medicine
- Certain Medical School departments were not receiving e-mail alerts that their AIS Online documents had been issued, although the AIS records were available online in BEN Reports and those departments did continue to get AIS's sent as email attachments with supporting documentation
- As of February 25, 2005, this problem was resolved

PennERS (Effort Reporting System)

A secure web-based Effort Reporting System (ERS) that allows for electronic certification of effort for all sponsored projects in compliance with the requirements of OMB Circular A-21 has begun a pilot implementation.

ERS Pilot

- Released to seven departments with approximately 200 faculty and staff participants on February 28, 2005:
 - SAS (0113) History and Sociology of Science
 - SEAS (1306) Mechanical Engineering
 - SOM (4132) Medical Ethics
 - SOM (4231) Department of Medicine, Diabetes/Endocrine Division
 - SOM (4532) Pathology Department, Cancer Biology
 - SOM (4602) Department of Medicine, Institute on Aging
 - SOM (4613) Institute for Environmental Medicine
- ERS includes Help topics, frequently asked questions (FAQs), and a Glossary to assist users
- End-user support is available to pilot participants to answer questions regarding effort reporting principles and to resolve system problems
- More information about ERS is on the web at <http://www.upenn.edu/researchservices/effortreportingA.html>
- Questions about the PennERS project can be directed to effort@pobox.upenn.edu

*** 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.*

More information about PennERA at <http://www.pennera.upenn.edu/>

Comments or questions to pennera@pobox.upenn.edu

Did you know that.....?

Effort reports are required to be completed within 45 working days of receipt of the forms. Click [here](#) to read the entire Sponsored Projects Policy No. 2114.

ORS has a new site devoted to effort reporting. Included on this site is the Sponsored Projects Effort Reporting Presentation. At the end of the presentation, the reader can link to a quiz. This quiz is monitored and the reader will receive a notification indicating whether or not they have successfully completed the quiz. The new effort reporting site can be located by clicking [here](#).

All federally funded research programs must have some level of committed faculty (or senior researcher) effort, paid or unpaid by the Federal government. The exceptions to this requirement are training grants, dissertation support, limited purpose awards, e.g., travel grants, conference support, or when salary support is provided by another funding source such as career awards. In addition, all non-federally funded sponsored programs (including clinical trials) must have some level of committed faculty (or senior researcher) effort, paid or unpaid by the sponsor. Click [here](#) to review Sponsored Projects Policy No. 2119.

Research Services is responsible for the review and approval of all service center budgets and charge rates. Each service center must be separately budgeted each fiscal year. A copy of the annual budget and the proposed fees for services must be submitted to Research Services at the beginning of each fiscal year. For further information regarding service centers, click [here](#) to review Sponsored Projects Policy No. 2115.

The Florida International University will repay the federal government \$11.5 million for improperly maintained/incomplete effort reporting and equipment records. This fine is for the period from 1995 to 2003. This audit was performed by the Department of Energy.

ARMY RESEARCH OFFICE:

Changes to the Proposal Submission Procedures

The Army Research Office (ARO) is now requiring that proposals be submitted electronically. They are requesting that the entire proposal be submitted as one pdf file attached to an email rather than multiple pdf file attachments. ARO updated its most recent broad agency announcement to include the following instructions for proposal submission:

GENERAL PREPARATION AND SUBMISSION INFORMATION:

1. White papers and proposals may be submitted at any time. A white paper or proposal for continuation of a given research project will be considered on the same basis as proposals for other new research agreements. The white paper or proposal should be submitted sufficiently in advance of the termination of the existing agreement so that if it is accepted, support may be continued without interruption.
2. All proposals should be submitted electronically with any restrictive legends to baa@aro.army.mil.
3. All required signed forms (ARO Form 51/52A and all budget forms) must be signed, scanned and submitted electronically as well. The file(s) must not be security or password protected. Acknowledgment of receipt will be returned via e-mail.
4. All required forms may be downloaded from the ARO web site at www.aro.army.mil under "For the Researcher" (Forms, ARO BAA Forms).
5. Proposal will not be processed unless all of the above requirements are met.
6. Requests for waiver of electronic submission may be submitted via e-mail to baa@aro.army.mil or regular mail:

Army Research Office
ATTN: AMSRL-ARL-RO-DS (Proposal Processing Office)
P.O. Box 12211
RTP, NC 27709-2211

7. If a waiver is granted, the proposal and all signed forms will be accepted in hard copy along with required signatures.

PIs should submit ARO forms and supporting proposals to Office of Research Services for signature well in advance of the ARO deadline so allow ample time for further processing and submission by the department.

Please note that this is not the Department of Defense Congressionally Directed Medical Research Program.

NIH

Updated Instructions to the PHS 398 (DHHS Public Health Service Grant Applications) Now Available

Notice Number: NOT-OD-05-039

Key Dates

Release Date: March 16, 2005

Issued by

National Institutes of Health (NIH), (<http://www.nih.gov>)

Updated instructions to the PHS398 Application are now available at <http://grants.nih.gov/grants/forms.htm>. Since the November 2004 release of the new version, the instructions have been updated to reflect changes in policy and/or to provide better clarity. Not all updates are published in the Guide; however, all are noted on the web site. Applicants are reminded to periodically check this web site for the latest version..

Updates of note since the initial November 2004 release include:


- Additional acceptable fonts are specified. Applicants may now use an Arial, Helvetica, Palatino Linotype or Georgia typeface and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.)
- Instructions for the budget fields on the Face Page and the various Budget Form Pages have been revised to provide clearer guidance for applications that include consortium F&A costs.
- A clarification has been made regarding Appendix material. Appendix material can be two-sided as appropriate. While the font requirements imposed in the rest of the application do not apply to the Appendix, all material must be clearly legible.
- Minor formatting revisions have been made to some form pages to improve usability.
- Significant revisions have been made primarily in Part II, Human Subjects Research Supplement, to further address [NIH implementation of OHRP Guidance on research involving coded private information or biological specimens](#). Minor revisions and formatting changes have been also been made in the PHS 398, Parts I and III.
- On Form Page 3, Research Grant Table of Contents, the ordering of items in the Human Subjects Research section of the Research Plan has been revised.
- Chapter V of the PHS 398 has been revised to reflect that the modular budget format no longer applies to SBIR/STTR grant applications.

For further information on application preparation, contact GrantsInfo@nih.gov.

Inquiries

Inquiries on any of these noted changes may be directed to:

Division of Grants Policy, OPERA, OER, NIH
Telephone: (301) 435-0938
FAX: (301) 435-3059
Email: GrantsPolicy@od.nih.gov



Notes from the Allowability Panel

ORS recently formed a panel of knowledgeable individuals from ORS, OAC (Office of Audit and Compliance), and ORIC (Office of Research Integrity and Compliance, School of Medicine) that make judgments on the allowability of questioned costs. The goal of this panel is to provide uniform guidance on the allowability of costs. For further information on the allowability panel, please see <http://www.upenn.edu/researchservices/newsletters/november2004.pdf>.

QUESTION:

Below is an example of a case considered by the Allowability Panel. (Names of departments and individuals involved have been changed.)

Dr. X is a Full professor who has a 12 month appointment within the XYZ Department, He presently has 10% effort on another professor's award (2-RO1-HL-12345-06) and 40% effort on his own NIH award(2-RO1-DK-12345-07) The other 50% is for University teaching.

He has four active job screens on the University Payroll system.

Job #1) **Job Class: Professor A**, Professor of Other Studies, base salary for research (NIH supported) and teaching.

Job #2) **Job Class: A-1 Academician**, Director of Research Program, School of Arts and Sciences. This is an appointed position of limited duration that is paid as a stipend (does not contribute to base).

Job #3) **Job Class: Professor B**, Teacher in College of ABC Studies-defined as overload teaching that is conducted after 5p.m. Payment is per course as standard University practice and does not contribute to base.

Job #4) **Job Class: A-1 Academician**, As Director of BBB (See #2 above) the Institute of General compensates him 5k stipend for supervising undergraduate Science education, a major of Institute of ABC.

Can jobs 2-4 be treated as supplemental pay? Does the total compensation of all four jobs constitute base salary? Please advise.

RESPONSE:

All but Job 3 (CGS teaching) constitute IBS. This is based on the assumption that X's normal responsibilities do not include teaching a course at the College of General Studies and thus Job 3 meets the criteria for "extra compensation" as defined in the Faculty Handbook:

"...teaches in evening, extension, and specialized or supplemental programs which may be established from time to time provided:

- (1) They are conducted by a faculty or a school of the University;
- (2) The function of the program serves an extramural purpose for which the need is broadly recognized;

OMB Circular A-21 Section J.10 states that: "...*Incidental work (that in excess of normal for the individual), for which supplemental compensation is paid by an institution under institutional policy, need not be included in the payroll distribution systems described below, provided such work and compensation are separately identified and documented in the financial management system of the institution...*"

Section J.10 also states in part that the payroll distribution system and the activity reporting (effort reporting) systems:

(ii) *must reasonably reflect the activity for which the employee is compensated by the institution; and*

(iii) *encompass both sponsored and all other activities on an integrated basis, but may include the use of subsidiary records. (Compensation for incidental work described in subsection a need not be included.)*

Jobs #1,2, and 4 would all need to be included in the IBS computation.

Frequently Asked Questions . . .

Does the Cost Transfer Policy Apply to Unfreeze Requests?

Yes. The cost transfer applies at all times during the life of an award. If you are submitting an Unfreeze Request which is proposing to move expenditures which were charged over 90 days prior (from the end of the month in which the charge occurred), you need to provide adequate justification to validate extenuating circumstances. Please note that if charges do not belong on any award, they must be removed even if beyond the 90 day period. However, they can not be charged to another sponsored project if the 90 day allowance period has been exceeded. Requests for transfers onto sponsored projects exceeding the 90 day rule will be forwarded to the Post Award Director for approval. Approvals will be given only where the details of the situation reflect unique and extenuating circumstances. In recent months, many of such requests have been denied and the departments have had to cover the costs. Thus it is very important to review your funds on a monthly basis and address any errors or adjustments within the 90 day allowable period. For further information on Cost Transfers, please see [Sponsored Programs Policy 2113](#) or [Chapter 11](#) of the [Sponsored Projects Handbook](#).

Does the Cost Transfer Policy Apply Prior to the End of the Award?

Yes. The cost transfer applies at all times during the life of an award. If a cost is discovered on an award was charged there in error, it must be removed. If the period since the original charge exceeds the 90 day rule, the charges should be transferred to a departmental resource unless extenuating circumstances exist and are documented.

If a Sponsor Does Not Have a Rule Regarding Cost Transfers in their Guidelines, Can I Exceed the 90 Days?

No. For any award we accept, we are required to comply with our own policies as well as those that the sponsor has set. In an audit by any sponsor, they can issue a disallowance based upon non-compliance with any of their policies, as well as, any of our own. As an institution, we are required to establish policies which ensure compliance with OMB Circular A21, Sponsor's policies and Generally Accepted Accounting Principles.

Where can I obtain more information about Penn's Cost Transfer Policy?

For further information on Cost Transfers, please see [Sponsored Programs Policy 2113](#) or [Chapter 11](#) of the [Sponsored Projects Handbook](#).

**Sponsored Projects Handbook
is Now Available on Line**

[Click here to view this new resource](#)

Getting to know your ORS Staff:

Flossie Graziola Grant Accountant

Years at Penn: 2.5 years

Years in Research Services: 2.5 years

What she does: Invoicing, financial reporting and closing out funds for the Department of Medicine.

Hobbies/Interests: Reading, biking, hiking, camping and yoga.

Favorite Restaurant: Peking Restaurant, Media PA

Favorite ways to spend a vacation: Anywhere near water with a good book.

What Co-workers say:

.... It is a pleasure working with Flossie. She is a hard working, motivated, and dedicated employee.

.... She is friendly, makes great cookies, generously volunteers for office events and enjoys date lunches with her husband.

.... She is very pleasant and a great team player!

Training Opportunities:

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/>).

NCURA Region II Conference:

Crowne Plaza Hotel, Philadelphia, PA

April 17-19

For more information and to register, please go to

http://academic.shu.edu/grants/ncura_region_ii/spring2005/index.html.

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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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- Institute for Human Gene Therapy – SOM
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- Diabetes – SOM
- Endocrinology –SOM
- Gastrointestinal – SOM
- General Intestinal Medicine – SOM
- Infectious Disease – SOM
- Pulmonary, Allergy & Critical Care – SOM
- Renal – SOM
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- Obstetrics & Gynecology – SOM
- Surgery – SOM
- Psychiatry – SOM

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- Provost Interdisciplinary Program
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- Genetics – SOM
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- Neurosurgery - SOM
- Orthopedic Surgery – SOM
- Pediatrics – SOM
- Physiology – SOM
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- Center for Bioethics – SOM
- Dermatology
- Geriatrics – SOM
- Microbiology – SOM
- Ophthalmology – SOM
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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:

ORS General Phone Numbers:

215-898-7293 (General Information, Proposals, Awards)
215-898-7269 (Financial Reports & Invoices, Accounting)

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