

Office of Research Services -- Research Administration News --

Special Interest Articles:

- **NEW!**
New template available for Human Tissue Transfer Agreements -- See page 2
- Important information about salary cost transfers -- See page 3
- Beginning July 1, Dependent Tuition Benefit Costs will be charged to select research awards -- See page 4

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PennERA Applications Web Site Changes

The PennERA (Electronic Research Administration) Team is pleased to announce that a newly enhanced applications web site will be launched on May 24, 2004. The web address to access PennERA will still be the same, <http://www.pennera.upenn.edu/>, but the site will be improved to provide easier access for logging on to the applications and will serve as a repository of information related to PennERA and its modules and complementary initiatives.

The new web site will also include links to general information such as desktop requirements, access and forms, contacts, feedback, and help. A PennERA Systems section will provide quick access to information about each of the PennERA modules, including a module description, a logon link, a page with any special access instructions and forms used with the module, and reference materials including quick reference guides, user guides, frequently asked questions, and more.

The user will have the ability to jump to the PennERA Project web site for background information on PennERA, read news about the project, and find information on PennERS, the University's Effort Reporting System project. Advisories and system messages will be added later to further keep you informed about the applications.

We hope the newly enhanced web site will better serve you with your research project development, support, and management.

If you have any questions about the applications web site or about PennERA in general, please contact us at pennera@pobox.upenn.edu. For more information about PennERA, please visit the project web site at <http://project.pennera.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**

--Joseph R. Sherwin, Ph.D.,

Director of the Office of Regulatory Affairs

Human Tissue Transfer Agreements: New Template Available on ORS Website

A growing number of agreements that involving sponsored projects include some sort of human tissue transfer. This could be a standard template Letter Agreement designed to allow human tissue transfer for NIH studies or a complicated combination transfer agreement/collaborative research agreement/license involving human tissue transfer, clinical data, and gene mapping arrangement with a corporate sponsor. These agreements are complicated in that they often contain detailed terms and conditions such as i) licensing of clinical data/gene mapping information based on the human tissue provided to sponsors, ii) compliance issues (such as HIPAA, proper patient consent and other human subject research concerns) and iii) confidentiality restrictions on research result by which sponsors seek to have the clinical data/ gene mapping information obtained on human tissues to be kept confidential for commercial reasons (generally, these restrictions are unacceptable as academic researchers need to be able to publish such data and otherwise utilize it for academic research purposes).

ORS has developed a new template to cover a sponsored program involving the transfer of human tissue to a corporate sponsor as part of a collaborative research effort. The agreement is posted under Forms and Agreements as [Human Tissue Transfer / Collaborative Research Agreement](#).

FY04 Audit is Off to an Early Start

Pricewaterhouse Coopers LLP (PWC) is the accounting firm responsible for Penn's annual financial statement and A-133 audits. This fiscal year, beginning it's work early doing some review and testing as of the end of the third quarter (3/31/04). A more complete review will be done as of 6/30/04. For any issues related to the A133 audit or any 5-funds (research funds), ORS is the contact for PWC and will be coordinating and responding to their requests. Some items may require input from departments. As these cases arise, ORS will contact the department for further information. Inquiries can include requests for justification or back up documentation for expenditures, reasons for overdrafts, issues related to past due receivables, and other miscellaneous issues. It is important that these requests are responded to in as timely a manner as possible. In addition PWC will be visiting select departments over the upcoming months. If your department is selected, you will be notified in advance of the visit.

In preparation for FY04 year end, departments should be reviewing any overdrafts they hold and ensuring that they are addressed/removed as appropriate. This will avoid additional questions from the auditors as well as the possibility of having expenses written off to the departmental 0-Fund. Please see [Sponsored Programs Policy 2129](#) for further information on overdrafts.

For further information, please contact Kerry Peluso, Post Award Director, at 215-573-6705 or pelusok@pobox.upenn.edu.

Did you know that.....?



Please note that while NSF does not require final financial reports, they do require that the final expenses are reported within 90 days via the Fastlane system. This is done by ORS.

....Anticipated Resource Accounts are **not** to be used for sponsored project expenditures. Instead, an Advance Account should be requested by completing an Advance Account Request form and submitting the form to ORS. Following this procedure will eliminate the need for cost transfers.

.....[Sponsored Projects Policy No. 2136](#) *Principal Investigator Eligibility*, is posted to the web for your review. This Policy lists criteria addressing who can be a PI or Co-PI.

....The National Science Foundation does not require final financial reports for grants. Therefore, the record retention requirements begin from the point in time the PI submits the Final Technical Report. Late submission of the Technical Report will impact Penn's record retention obligation and may impact the PI's future funding.

.... [Sponsored Projects Policy No. 2114](#) states, "Cost disallowances on sponsored projects resulting from a department's failure to return effort reports or the submission of inaccurate effort reports to Research Services will be charged to the department's unrestricted budget."

Salary Cost Transfers

Have you reviewed this policy?

[Sponsored Programs Policy 2113](#)

Sponsored Programs Policy 2113 –Cost Transfers and Payroll Reallocations was updated in November of 2003. It is important that individuals involved in the management of sponsored projects at Penn are very familiar with this policy. In addition to complying with sponsor's policies and any terms and conditions placed on the awards received by Penn, we must comply with our own policies. When Penn is audited, the audit includes compliance to Penn's policies, as well as, the sponsor's. If Penn is out of compliance with its own policies, a disallowance is likely to result.

[Sponsored Programs Policy 2113](#) requires that all cost transfers, including salary reallocations, must be prepared and submitted within 90 days of the error (from month end that the incorrect expense appears on the fund). Cost transfers beyond the 90 days can only be made if certain conditions are met. It is imperative to consult [Sponsored Programs Policy 2113](#). Effective July 1, 2004, this policy will be strictly enforced for both salary and other cost transfers. If the error is discovered after 90 days and an award has been overcharged, the charges must be transferred to a departmental account. If you require assistance or further information, please contact the Post Award Director, Kerry Peluso, at 573-6705 or pelusok@pobox.upenn.edu.

Frequently Asked Questions ...

In the past, Dependent Tuition Benefit Costs have not been charged to research awards. Is this changing?



Effective July 1, 2004, the University will charge the dependent tuition benefit costs to select awards.

As discussed in previous newsletter issues, a new policy for Non-Federal Organizations has been introduced. Everyone who is responsible for administering research awards at Penn must be familiar with this new policy ([Sponsored Programs Policy 2138](#)) Since many of the University's non-federal sponsors, (commercial entities, foundations and associations) do not reimburse Penn for Facility & Administrative (F&A) costs at the negotiated federal rate, and some do not reimburse for any F&A costs, the University has changed its accounting practices in order to recover more of these costs. Effective July 1, 2004, the University will charge the dependent tuition benefit cost (currently 1.8% of full time EB-bearing salaries) to all awards with a non-federal funding source. Further details on the BEN technical issues and how they were addressed are outlined below.

In order to assist the Comptroller's Office in this process, the Office of Research Services (ORS) will create and maintain two additional FUND parents in the general ledger. The first new FUND parent (GCB004) will represent all "other non-federal government" sponsored awards. All newly created and existing FUNDS assigned a sponsor code with a type of "other non-federal government" will be assigned as children of this parent. The reassignment of existing FUNDS will be completed by ORS. ORS will also take the appropriate action to update the necessary PennERA tables so this new FUND revenue parent is available to the PennERA system users. The second will be a grandparent to group all of the existing ineligible federal and other non-federal government FUND parents together.

The FUND parent GCB002 (NON-FEDERAL/NON-GOVERNMENT) groups all awards granted to the University of Pennsylvania from commercial entities, foundations and associations. The children of this parent will be charged dependent tuition benefit costs.

The FUND Grandparent GCGOV groups all the FUND parents with children (5-fund accounts) with "Federal" or "other non-federal government sponsor types".

Object code 5196 (DEPENDENT TUITION CHARGES) will be the target for posting the EB charges to FUNDS assigned to FUND parent GCB002. ORS will update, where necessary, any Object Code Parents associated with the general ledger controlled business process such as Revenue and Overhead Recognition as well as the expense extract from BEN to BRIM (Billing and Receivables Information Management).

The Comptroller's Office will be responsible for the calculation and posting of the department tuition benefit costs to children of FUND parent GCB002.

NEW POLICY FOR PROGRAM PROJECT APPLICATIONS

The National Institute on Aging (NIA) is instituting a dollar cap on Program Project (P01) applications. To continue to fund a diverse research portfolio that fulfills the mandate of the National Institute on Aging (NIA), new and competing continuation P01 applications (Type 1 and 2) will be limited to no more than \$1.5 million in direct costs in the first year (exclusive of facilities and administrative (F&A) costs on subcontracts). Budget increases in non-competing years will be at the level of the standard NIH adjustments that reflect the Biomedical Research & Development Index.

This policy becomes effective with applications submitted for the June 1, 2004 receipt dates. Exceptions to this cap will be allowed rarely and only after approval by the NIA-wide Planning Group.

INQUIRIES

Interested investigators may direct their inquiries to:

Dr. Miriam F. Kelty
Office of Extramural Affairs
7201 Wisconsin Avenue, Room 2C218
Bethesda, MD 20892-9205
Telephone: (301) 496-9322
FAX: (301) 402-2945

Training Opportunities:

ORS FAQ's and ORIC Quizzes:

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/>).

May's Contributing Authors, ORS Newsletter:

Pam Caudill, Director of Pre Award Non-Financial Administration, Office of Research Services

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Todd Swavely, Associate Director –Penn ERA, Project Manager, Office of Research Services

Alice Tangredi-Hannon, Director, Research Compliance, Office of Research Integrity & Compliance



Getting to know your ORS Staff:

Soojin Kim, Team Leader

Years at Penn: 3.5

Years in Research Services: 3.5

What she does: Soojin prepares financial invoices and reports for research awards. She is responsible for review of invoices for five accountants and participates in training ORS Accountants. She works with business administrators to ensure the timely and accurate reporting/closeout of awards.

Hobbies/Interests: Relaxing with her 11 month old son and husband

Favorite Restaurant: Legal Seafood

Favorite ways to spend a vacation: Going to new places or old vacation spots like Disney World or Hawaii (only because she won't be able to go back for MANY years)

What Co-workers say:

.....As a new mom, I don't understand how she is able to keep a clear head here and go home to raise an infant at the same time. Even though both things can be very time consuming, she never seems to get frazzled with whatever issues transpire here in ORS.

..... Soojin is always willing to jump right in and help with a vacant desk. Soojin is one of the most organized people I know -it's almost scary. She has an incredible sweet tooth!

.....Soojin is a delight to work with and is awesome at what she does! Between her knowledge, skills, and work ethics....I think she is a model employee!

NIH Announcement: Revision of Direct Cost Limitations Policy on Solicited Proposals

NIH announces a revision of its policy on direct cost limitations on solicited applications published after this notice. Applications in response to those Program Announcements (PAs) and Requests for Applications (RFAs) that include a limitation on direct costs are to exclude from that limit the facilities and administrative (F&A) costs requested by consortium participants. The F&A costs requested by the consortium will be reflected in the [PHS 398](#) application according to current instructions, and F&A costs awarded under these programs will continue to be awarded under the current practice. However, these consortium F&A costs will not be counted as a direct cost when determining if an applicant is in compliance with a direct cost limitation on a solicited application.

As stated in NIH's [ROADMAP Research Teams of the Future](#), initiative, NIH recognizes the increased need for support of interdisciplinary research and research teams. Programs that include a limitation on direct costs without the exclusion of consortium F&A costs create a disincentive to the establishment of consortiums, as the inclusion of a consortium's associated F&A costs reduce the amounts which can be requested for other direct costs within a cost ceiling. This change will allow applicants for these programs to propose the necessary research teams via consortium arrangement without a negative impact their ability to fully utilize the direct cost limitations of the solicitation.

Please note that this does not change the NIH policy on the acceptance of applications requesting direct costs of \$500,000 or more for any one year (see <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-004.html>).

If you have questions on this Notice, please contact ORS Pre Award Director, Pam Caudill, at 573-6706 or caudill@pobox.upenn.edu.

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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- 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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- Center for Sleep and Respiratory Neurobiology – SOM
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- Pennsylvania Muscle Institute – SOM
- Pharmacology – SOM

VACANT – ASSISTANT DIRECTOR

Please contact Pam Caudill.

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- School of Engineering and Applied Science
- Wharton School
- Graduate School of Education
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- Endocrinology –SOM
- Gastrointestinal – SOM
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- Infectious Disease – SOM
- Pulmonary, Allergy & Critical Care – SOM
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- Morris Arboretum
- Provost Interdisciplinary Program
- School of Art and Sciences
- School of Social Work
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- 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 Center for Performing Arts
- Annenberg School for Communication
- Cell & Developmental Biology – SOM
- Center for Bioethics – SOM
- Dermatology
- Geriatrics – SOM
- Microbiology – SOM
- Ophthalmology – SOM
- Otorhinolaryngology – SOM
- School of Nursing
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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 Senior 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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