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PennERA: Phase I Implementation Beginning

Due to software readiness, the PennERA team has had to revise the targeted August implementation plan for several Phase I components. As previously planned, the team implemented sponsor conversions, which included changes to BEN and the Data Warehouse, as well as changes specific to the Office of Research Services (ORS) to support the sponsor data conversion. In addition, SPIN Plus has been implemented; however, the full rollout plan to end users is under review. We expect release of the Protocol Tracking and Proposal Tracking modules in fall 2003*.

New Web Site Address

The PennERA project web site has moved to <http://www.pennera.upenn.edu/project/>.

Changes

When sponsor conversions and SPIN Plus were implemented, the following complementary changes were made:

- **BEN Financials**—Minor changes were made to the Freeze Grant and Fund Attributes screens and to certain reports specific to ORS Post-Award accounting to display the Sponsor Code, which was 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 were changed to the new 5-digit number in concert with the conversion of Sponsor Codes mentioned above. The Sponsor Type is no longer derived from the Fund Sponsor Code, but is stored in a separate data element, with a new list of values. Federal flow-through funds are not identified by their Fund Sponsor Code, but by a new fund attribute. The Data Warehouse now includes 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 store the 4-digit code as the Legacy Fund Sponsor Code. Queries that involve sponsor information may need to be changed. For more detailed information, see the news article on the Data Warehouse web site at http://www.upenn.edu/computing/da/dw/sponsor_conversion.html.

(continued on page 2)

PennERA: Phase I Implementation Beginning (continued)

More Information about PennERA

For the most current information, please visit the PennERA project web site at <http://www.pennera.upenn.edu/project/>. If you have any questions, comments, or suggestions, please send an e-mail to pennera@pobox.upenn.edu.

**The projected 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

IMPORTANT:

DUNS NUMBER CHANGE

Effective immediately, the correct DUNS (Data Universal Numbering System) number to be used for all federal applications is

04-225-0712

Please note that this number is different from that previously used for awards administered by ORS.

Please Note:

September, October and November are Penn's heaviest months for FSR's due.

In order to avoid delinquent financial reports, it is important to ensure that all costs are finalized within the adjustment period. Unfreeze requests will be accepted for limited situations only with detailed and adequate justification.

Where can I get more information about administering my grants?

Office of Research Services Web Site:

<http://www.upenn.edu/researchservices/>

Research Investigator's Handbook:

<http://www.upenn.edu/researchservices/rih/intro.html>

A Quick Guide for Faculty:

<http://www.upenn.edu/researchservices/pdfs/newfacbk.pdf>

University of Pennsylvania Cost Sharing Policy:

<http://www.upenn.edu/researchservices/rs/costshare.html>

Contact an Office of Research Services Staff Member:

<http://www.upenn.edu/researchservices/rs/contact.html>

Recent NIH Statement

2004 NIH Loan Repayment Program Announcement

Starting Monday, September 1, 2003, NIH will accept applications for its five Loan Repayment Programs.

National Institutes of Health Loan Repayment Programs (LRPs) can repay up to \$35,000 a year of qualified educational debt for health professionals pursuing careers in clinical, pediatric, contraception and infertility, or health disparities research. The programs also provide coverage for Federal and state tax liabilities.

Applicants must have a doctoral-level degree, devote 50% or more of their time to nonprofit- or government-funded research, and have educational debt equaling at least 20% of their institutional base salary. U.S. citizens, permanent residents, or U.S. nationals may apply.

The NIH Loan Repayment Programs are a vital component of our nation's efforts to attract health professionals to research careers in areas of national need. The programs are the Clinical Research LRP, Pediatric Research LRP, Contraception and Infertility Research LRP, Clinical Research for Individuals from Disadvantaged Backgrounds LRP, and Health Disparities Research LRP.

While the application deadline for 2004 awards is December 31, 2003, the Office of Research Services will be closed for the winter break from December 25, 2003 until January 4, 2004, so all applications must be submitted in time, along with required certifications, so ORS can submit to NIH by the close of business on December 24, 2003.

Please note that in order to participate in a LRP, the institutional contact must certify (1) the applicant will be provided the time and resources to engage in qualifying research for two years; (2) the applicant is or will be engaged in the proposed research for 50% of your time (at least 20 hours/week); (3) the institution is nonprofit (exempt under 26 USC 501), (4) the applicant's research funding source is a non-profit or government entity, and (5) the applicant's institutional base salary. In order to provide these certifications, the applicant's department must be willing to provide assurance of resources as listed in (1) and the applicant's institutional salary.

Visit <http://www.lrp.nih.gov> for further information and to apply online.

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/>).

Upcoming Outside Training Opportunities:

National Council for University Research Administrators (NCURA) Annual Conference, Washington DC, November 2 – 5
For further information, please see <http://www.ncura.edu/conferences/45/>.

Society for Research Administrators (SRA) Annual Conference, Pittsburgh, PA, October 18 – 22
For further information, please see <http://www.srainternational.org>.

National Council for University Research Administrators (NCURA), Financial Research Administration Conference, San Diego, February 29 – March 2. Further information to be available soon.



Frequently Asked Questions...

To Per Diem or Not To Per Diem?

When considering a business trip using sponsored funds it is important to not only review the terms and conditions of the award prior to making travel plans but to be familiar with Penn's policies regarding travel.

For example, a sponsor may permit the use of *per diem* rates for lodging and subsistence. However, Penn's Financial Policy No. 2364 *Other Transportation* <http://www.finance.upenn.edu/vpfinance/fpm/2350/2364.shtml> explicitly prohibits the use of per diems for lodging. The Policy further states that the actual lodging receipts are required for reimbursement. As with all expenses on a sponsored program the lodging cost must be reasonable and should be a standard room in a non-luxury hotel. Of course, travelers should always take advantage of conference hotel rates and Penn rates. For further information go to Penn's Financial Policy No.2355 *Lodging* <http://www.finance.upenn.edu/vpfinance/fpm/2350/2355.shtml>

The use of per diem rates for meals, however, is permitted by Penn. The convenience for some travelers when using per diem rates for meals is that the traveler is not required to keep receipts. However, the per diem rates used by a traveler are established by the Federal government, specifically the General Services Administration (GSA). The site to obtain per diem rates is: <http://www.policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel.shtml> and is updated annually for domestic and monthly for foreign destinations.

Keep in mind, if the traveler chooses to use per diem rates for meals and incidental expenses but submits a receipt for a particular business meal an adjustment to the rate must be made. Depending on the meal, the adjustment would be as follows 20% for breakfast, 20% for lunch, and 60% for dinner. An example of how an adjustment would be applied is as follows:

- Determine the per diem for the city by looking up the city on the above URL.
 - Tokyo City's subsistence per diem is \$132 per day.
 - A receipt is submitted for a business dinner.
 - The total adjustment is $\$132 \times 60\% = \79.20
 - $\$132 - \$79.20 = \$52.80$ remains for meals and incidental expenses for that day.

In addition, if a meal is provided at a conference and the traveler is claiming a per diem similar adjustments must be made.

The key to planning any trip using sponsored program funds is to know the policies and regulations so the traveler will be reimbursed appropriately.

See Page 5 to Test Yourself on Regulations and Penn Policies

Frequently Asked Questions...

Test Yourself on Travel Regulations and Penn Policies



The ORS website is a great resource for quick links to the University's Financial and Research Policies, as well as, Sponsor's Policies.

- Q.** What is the definition of foreign travel?
- A.** Expenses incurred outside of the United States, its territories, and Canada.
- Q.** True or False: If a traveler chooses to submit receipts for meals rather than use a per diem rate, they are required to have all of the meal receipts.
- A.** False: Penn does not require receipts for expenses under \$25 including meals.
- Q.** Dr. Smith has a federal award on which she has approved travel to a conference in London. She contacts her travel agent and asks the agent to book her on the least expensive direct flight in order to save valuable research dollars. The travel agent finds a foreign carrier which fulfills Dr. Smith's request. Can Dr. Smith book this flight and charge it to her federal award?
- A.** Dr. Smith cannot charge the cost of this flight to her award since all federal awards are subject to the Fly America Act even though the foreign carrier may be less expensive and more convenient. For more information please visit <http://www.finance.upenn.edu/vpfinance/fpm/2350/2367.shtml>.
- Q.** Dr. Smith has a matching requirement on this federal award. Can she use the foreign carrier and charge it her University matching account?
- A.** Dr. Smith would not be able to charge the cost of the airline ticket to her matching account. The same requirements of allowability apply to the matching obligations of a federal award as to the award itself.
- Q.** Dr. Jones has a subaward on his NSF grant. The PI of the subaward, Dr. Howard travels from New York to the University to discuss scientific developments with Dr. Jones. The two scientists continue their discussions at a local restaurant. Can Dr. Jones charge the cost of both meals to his NSF award?
- A.** Since Dr. Jones is not in "travel status" as required by federal cost principles, Dr. Jones' meal expense is not allowable on his grant. However, it is allowable as a business meal expense on University funds. See Financial Policy No. 2358 <http://www.finance.upenn.edu/vpfinance/fpm/2350/2358.shtml> .

Frequently Asked Questions...

Who in ORS should I contact?

So you know who your Pre Award and Post Award contacts are within the Office of Research Services, but do you know when to contact either? The general rule is that for financial matters, contact your ORS Accountant or Post Award Assistant Director. For contractual matters, obtaining an AIS, requesting extensions, requesting budget or other modifications to agreements and other non financial reporting matters contact your Contract Administrator. Below is a matrix to help clarify the roles and responsibilities of the Pre Award and Post Award groups within Research Services.

	Pre-Award	Post Award
No-Cost Extension	Contract Administrator.	
Financial Reporting		Desk Accountant
Disabling Fund		
(a) Fund created in error	Contract Administrator	
(b) Closing a fund		Desk Accountant
Obtaining a Contract/ Creating a Contract	Contract Administrator	
Obtaining Institutional Signature	Contract Administrator (No cost extension, other support/ carryover requests, proposals etc.)	Desk Accountant for Financial reports or Invoices
Updating PBUD/PBIL		
(a) Due to Carryover/end of fund		Desk Accountant
(b) Due to Error in set-up	Operations	
Correcting dates in BEN (Once the AIS has been processed)	Operations	
Questions regarding Invoices		Desk Accountant
Unfreeze Request		Desk Accountant
Payments/Accounts Receivable		Accounts Receivables Group

For specific contact information of ORS staff, please see pages 9 and 10.

NIH Requires Data-Sharing Plan

For applications submitted for the October 1, 2003 receipt deadline, NIH is requiring that applications with direct costs budgeted at \$500,000 or more in any single year are required to address such data sharing concerns in such applications.

This requirement is part of NIH's long-standing policy to share and make available to the public the results and accomplishments of the activities that it funds. As stated in the policy, NIH believes that data sharing is essential for expedited translation of research results into knowledge, products, and procedures to improve human health. The NIH endorses the sharing of final research data to serve these and other important scientific goals.

Applicants should i) review the data sharing plan requirements with their program contact, ii) note the instructions related to the data sharing policy as it is applied to applications and proposals responding to a specific Request for Application (RFA) or Request for Proposals (RFP) and iii) because of concerns related to the Privacy Rule, care should be taken that data is free of identifiers that would permit linkages to individual research participants and variables that could lead to deductive disclosure of the identity of individual subjects.

One significant change in the new policy from the draft statement was the recognition that researchers have a legitimate interest in the right of first publication of any data they created or collected. The definition of "the timely release and sharing" is revised to reflect this right.

For more information on data sharing, please see the following website:

http://grants.nih.gov/grants/policy/data_sharing/. For further assistance or for forms, please contact Donald T. Deyo, Esq. at deyo@pobox.upenn.edu or 215, 573-9770.

Sponsor Sheets now Available on the Research Services Website

The Office of Research Services is pleased to announce the addition of Sponsor Sheets to the Research Services' website. Sponsor Sheets are 2-3 page summaries of funding agency application guidelines, funding policies, reporting requirements and closeout procedures, along with links to the sponsor's websites. These documents are designed to assist in the administration of grants and contracts by allowing quick access to sponsor information.

Sponsor sheets currently available are for the National Institutes of Health Research Grants, National Institutes of Health Training Grants, National Science Foundation and the March of Dimes. Additional sponsors will be added over the next few months.

Sponsor Sheets can be found at <http://www.upenn.edu/researchservices/sponsorsheets.html>.



Please Note the following message regarding Effort Reporting:

Some awards from the NIH (K-series awards, for example), or occasionally other sponsors such as the American Heart Association, provide salary support for an investigator to pursue research in a particular field. In many cases, while the sponsor encourages the investigator to participate in other sponsored research projects, the investigator is precluded from drawing salary support for the time spent on these other projects. The following procedure should be used to allow investigators to display all of their committed research effort—whether or not salary support is received—in addition to the effort associated with the salary funding source.

For more information on Effort Reporting, please see <http://www.upenn.edu/researchservices/effortreporting.html>.

When reporting effort of an individual who has received an NIH Career award, or a similar award from another sponsor that provides salary support for the individual to pursue research in a particular field, and that research is conducted as part of another sponsored research project for which the individual has been included in the proposed budget, you may report the effort as follows:

- The fund number and the percent of salary charged to the career award will appear on the effort report form. This percentage, if accurate, must be certified. Auditors will always check to verify that the effort percentage for any fund matches the payroll charges to that fund.
- A link must be established to the project where the effort is expended. To do so, write the project number and description on the effort report form, in a blank space, or include a cover sheet with an explanation and ORS will file it with the effort report form.
- Note: Do not write the fund number for these projects in the cost sharing spaces provided, unless additional effort was expended on the project over and above the salary funded by the career award, and that effort was mandatory or previously committed to the project in the original application.

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.

PAMELA S. CAUDILL - DIRECTOR

(215) 573-6706 OR caudill@pobox.upenn.edu

- SOM – Dean's Office

JOANNE CROSSIN – SR. CONTRACT ADMINISTRATOR

(215) 898-9323 OR crossin@pobox.upenn.edu

- Biochemistry/Biophysics – SOM
- 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

ALICE DUNLEAVY – ASSOCIATE DIRECTOR

(215) 573-2555 OR dunleavy@pobox.upenn.edu

- Center for Clinical Epidemiology and Biostatistics –SOM
- Center for Sleep and Respiratory Neurobiology – SOM
- Institute on Age – SOM
- Pennsylvania Muscle Institute – SOM
- Pharmacology – SOM

CHRISTINE GUNDERSEN – ASSISTANT DIRECTOR

(215) 746-0234 OR gund@pobox.upenn.edu

- President's Center
- School of Dental Medicine
- School of Engineering and Applied Science
- Wharton School
- Graduate School of Education
- University Museum
- Emergency Medicine – SOM

HEATHER LEWIS – CONTRACT ADMINISTRATOR

(215) 573-2416 OR heatherl@pobox.upenn.edu

- Allergy & Immunology – SOM
- Cardiology
- Clinical Research Center – SOM
- Diabetes – SOM
- Endocrinology –SOM
- Gastrointestinal – SOM
- General Intestinal Medicine – SOM
- Infectious Disease – SOM
- Pulmonary, Allergy & Critical Care – SOM
- Renal – SOM
- Rheumatology – SOM

ROSE MAZUR – ASSISTANT DIRECTOR

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- Center for Research on Reproduction & Women's Health – SOM
- Cerebrovascular Research Center – SOM
- Family Practice – SOM
- Graduate School of Fine Arts
- Obstetrics & Gynecology – SOM
- Surgery – SOM
- Psychiatry – SOM

LAUREN OSHANA – ASSISTANT DIRECTOR

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- General University
- Institute of Contemporary Art
- Law School
- Morris Arboretum
- Provost Interdisciplinary Program
- School of Art and Sciences
- School of Social Work
- Student Services
- Van Pelt Library

SUSAN POMONIO - CONTRACT ADMINISTRATOR

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- Bioinformatics – SOM
- 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

SOPHIA WHITEHEAD – SR. CONTRACT ADMINISTRATOR

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- Anesthesiology – SOM
- 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
- School of Veterinary Medicine

CORPORATE CONTRACTS GROUP:

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EDWARD PIETERS, Ph.D. – ASSOCIATE DIRECTOR

(215) 573-6712 or pieters@pobox.upenn.edu

- Sponsored Research Agreements

SHEILA ATKINS – SENIOR CONTRACTS ADMINISTRATOR

(215) 573-6713 or satkins@pobox.upenn.edu

- Corporate Clinical Trial Agreements

VACANT – SENIOR CONTRACTS ADMINISTRATOR

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- Corporate Clinical Trial Agreements

GREGORY CURLEY – CONTRACT ADMINISTRATOR

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- Account Information Sheets for Corporate Contracts

PennERA GROUP:

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YVETTE ACEVEDO – TEAM LEADER, SpinPlus

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STUART WATSON – Team Leader, PROPOSAL/AWARD TRACKING

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Office of Research Services

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(215) 898-7293

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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 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)

**Andrew B. Rudczynski, Ph.D., Associate Vice President for Finance
And Executive Director, Research Services:**

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Kerry Peluso, CPA, Director of Post Award Financial Administration:

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