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What's New for Outgoing Subawards?

The Office of Research Services will launch the new Subaward Agreement Generator in mid-August. The new tool will be an additional module to the existing Research Inventory System which is currently being used for submission of requests for the review and generation of Non-Monetary Agreements and Material Transfer Agreements. It will replace the old process for submitting subaward requests via the subaward exchange mailbox.

During the course of development, a test group of business administrators from several schools evaluated the Subaward Agreement Generator and provided insight into the benefits of the

system. We are currently incorporating their feedback by making the necessary adjustments to make the system more user friendly and efficient.



The new Subaward Agreement Generator module will include the following features:

- Stores the department's original electronic submission of the subaward request
- Provides transparency by tracking the progress of any particular request including the ORS staff responsible for processing the request; return of agreement from subawardee; requests for changes; corrections and/or revisions; turnaround time; comments and other inquires
- Ability to review all agreements generated under your specific ORG (exclusive to your individual level of authorization)

See *Subaward Generator* page 2

If You Have Questions, askBen Has Answers

The Office of Research Services is now available twenty-four hours a day, seven days a week through the askBen portal on the www.upenn.edu/researchservices website.

This question and answer tool provides users with quick links to fundamental research administration information and policies. Users who are currently taking advantage of the site have found that the tool:

- Points them in the right direction when searching for the data needed for proposals.

- Helps direct them to the policies that they have questions about.
- Provides guidance on how to get started with common procedures.

While the askBen tool cannot provide information specific to a particular award, our hope is that it will make finding general research administration information easier. The askBen link on the Office of Research Services's website contains information from the Corporate Contracts group,

the Institutional Animal Care and Use Committee, Pre-Award and Post Award Administration, Material Transfer Agreements, PennERA and Subawards. Our office is continuously refining the knowledge base for the tool to make sure that it provides comprehensive guidance for the research community.

For suggestions or questions regarding ORS's askBen tool please contact Yvette Wilmoth Matthews at ywilmoth@upenn.edu.

PennERA Update: Submission on Non-Competes & Supplements

The PennERA team is excited to share these upcoming enhancements with the Penn Research Community.

What? Submission of all **Non-Competing** and **Supplemental** proposals will soon be done in PennERA.

When? Target implementation is September 1, 2013.

Background:

Currently, the PennERA system supports the submission of New, Competing and Revised/Amended applications. We are excited to announce that we will be adding new functionality for our research community - the ability to submit Non-Competing and Supplemental proposals within the PennERA system.

What does this mean for me?

- This enhanced functionality will eliminate the need for paper submissions to the Office of Research Services (NO PAPER TRANSMITTALS!!).

- Non-Competing and Supplemental submissions will be tied to the originating (new or competing parent) proposal submission.



- Enhanced detail in tracking and reporting of submission and award data.
- Supplemental requests electronically submitted to Grants.gov will be able to use PennERA's S2S functionality and submission process.

Parent, Master, Child – What do these words mean in PennERA?

All New, Competing and Revised/Amended proposals

records in the PennERA system (currently all proposal records) are classified as **“Parent”** or **“Master”** records and are identified by a unique 8-digit Institution number (ex. 10010001).

In order to most effectively associate Non-competing and Supplemental submissions with their Parent/Master proposal record, these submissions will be considered **“Child”** records within the original proposal institution number and will be delineated by an additional two digits appended to the Parent Institution Number (ex. 10010001-01).

How do I get more information?

The PennERA team is actively working to compile new documentation and updated training materials to present to the Penn Research Community. More information and dates for presentations will follow. Be sure to check the PennERA website for up-to-date information!

Subaward Generator Continued

- Auto generation of the subaward agreement
- Eliminates the repetitive action in generating an entirely new request by allowing the submitter to “copy” previously submitted requests with updated actions and/or new information (i.e. amendments for additional funding to previous agreements; extensions of performance periods, etc.)
- Ability to receive complete and accurate information electronically directly from the subrecipient (ex. contact information, institution's full legal entity name and address, official authorized signatory, regulatory approvals documents, etc.)

All users/submitters will be able to access this new module by using their existing Penn Key, via the ORS/Subaward homepage at the following link:

https://weblogin.pennkey.upenn.edu/login?factors=UPENN.EDU,UPENN.EDU-PORTAL&cosign-isc-seo-portal_prod-0&https://medley.isc-seo.upenn.edu/researchInventory/jsp/fast2.do

All of the above functionalities and capabilities will also help the ORS staff produce a better quality work product and shorten the turnaround time.

In the upcoming weeks, we will announce a series of training sessions and a Brown Bag session for the Subaward Agreement Generator module.

We expect that the Subaward Agreement Generator will improve the overall efficiency and timely management of processing outgoing subaward agreements and we welcome your comments or suggestions.

Anticipated Launch

Mid-August 2013

Benefits of the New System

Reduced Manual Input

Increased Efficiency & Accuracy

Additional Transparency & Tracking



Areas to Pay Special Attention to at Award Closeout:

- Freeze Date of the Fund
- Open Encumbrances and Outstanding Invoices
- Unallowable and Wayward Transactions
- Special Terms and Conditions of the Award

Four Tips to Help Avoid Common Closeout Delays

August through November are the busiest months for grant closeouts within the University. To help departments navigate the increase in volume ORS has compiled four tips to help avoid common closeout delays.

1. Each month run the 133: List of Grant and Contract Funds Due to Close Report in Ben Financials and/or the ORG Summary.rep in Infoview.

While your Post Award Accountant does send out a due reports list at the beginning of the month, the 133 report and ORG Summary.rep will allow you to determine what awards are closing in the next three months. Knowing this information in advance provides additional time to make any necessary adjustments prior to the fund freezing. This time can also be used to contact vendors who have outstanding invoices and open encumbrances.

2. Once you have verified that all outstanding transactions have posted, run the 163.ORG: Open Encumbrances Report.

The 163 report displays the outstanding encumbrance amount for PO distributions. It reflects the sum of all encumbrances (debits and credits) which have been matched to the PO and the 26-digit account combination presented. If you need assistance with relieving an encumbrance please check out Ben Knows [Encumbrance Section](#) which provides guidance on relieving encumbrances based on the reasons the encumbrance is on the fund.

3. Review the object codes that are hitting the award.

Many departments use a Data Warehouse detail objects report which provides a list of the object codes that have expenses on a fund. This is a great tool to assist in identifying wayward transactions, unallowable expenses, and items that may have been coded incorrectly when paid. The common errors that are caught during this review are PennNet charges that hit the fund in error and travel expenses that were incorrectly coded as entertainment. The ORG Wayward Detail.rep in Infoview is a helpful tool in identifying expenses that have hit the fund from other Orgs and may need to be removed.

4. Review your award documents.

The award document is an excellent resource to help remember the terms and conditions that may have been forgotten during the life of the award. The notice of award helps provide insight into irregular restrictions and sponsor nuances that are reviewed by ORS prior to the submission of the final financial report. Special attention should be paid to cost restrictions and cost share requirements.

There are a myriad of tools that can assist in the grants management and closeout process. The [Corporate Reports Listing on the Data Warehouse site](#) is a helpful resource to find out what reports are available if you are looking for specific reports.

If you have questions or need any additional information please contact your Post Award Accountant.

Corporate Contracts Welcomes Brian & Angie

Corporate Contracts is very pleased to introduce you to our two newest recruits: Brian McBrearty, Associate Director, and Angie Sydnor, Senior Contract Administrator.

Brian comes to us from the Wilmington law firm of Morris, Nichols, Arsht & Tunnell, LLP, where he was an associate in the Commercial Counseling Practice Group. While at Morris Nichols, Brian gained substantial experience negotiating agreements for a wide variety of transactions, including business combinations, sales, and lending and licensing deals. Brian earned his B.A. from New York University and his J.D. from Temple University Beasley School of Law. As an undergraduate, Brian studied music (jazz performance) with a concentration in guitar and worked as a professional musician for several years after graduation. Brian will be responsible for negotiating and finalizing clinical trial, sponsored research and other research enabling agreements with corporate sponsors. Brian's email address is

bmcb@upenn.edu and his phone number is 215-573-6701.

Angie comes to us from IBM, where she garnered a wealth of contract negotiation, management and customer service experience in a variety of roles, including contract manager, business management analyst and human resources specialist. Angie received numerous awards from IBM for the service she provided to peers and stakeholders. Angie also served in an administrative capacity for Ceridian, a payroll and human resources management company. Angie earned her B.A. in Business Administration from West Chester University. She is a member of Women in Technology International and a volunteer for Main Line School Night. Angie will be responsible for finalizing confidentiality agreements and task orders under master agreements with corporate sponsors. Angie's phone number is 215 573 8597 and her email address is asydnor@upenn.edu.

Reminder: NIH Transition to Electronic Submission of Multi-Project Applications

NIH has been piloting a new submission system The Application Submission System & Interface for Submission Tracking (ASSIST) with select FOAs since January 2013 (see [timeline](#)). Feedback from the pilot has been used to improve the submission process and enhance the ASSIST user experience. **The next mandatory use for ASSIST will be September 25th, 2013.** All applications submitted in response to FOAs with the following activity codes intended for September 25, 2013 due dates and beyond will require electronic submission: P01, P20, P50, R24, U24, U19.

As part of the transition process, R24 and U24 activity codes have been designated as single project activity codes and will require submission using Grants.gov downloadable forms rather than ASSIST. Current programs that have used the R24 and U24 activity codes in a way consistent with multi-project applications will transition to newly created multi-project activity codes using ASSIST in the same timeframe. ORS will announce a Brown Bag session in early September, in the meantime below are some resources to help end-users become familiar with ASSIST.

DEMONSTRATION RESOURCES

To get familiar with a multi-project funding opportunity, you can download the [Multi-Project Test FOA Sample Text](#)

Instructions for using the demo environment for ASSIST and Multi-Project Applications: ["Playing" with ASSIST - Applicants](#)

OTHER RESOURCES

Official ASSIST Login: <https://public.era.nih.gov/assist>

NIH ASSIST Webinar with full transcript and slides, conducted 12/13/2012: http://grants.nih.gov/grants/webinar_docs/webinar_20121213.htm

ASSIST User Guide: http://era.nih.gov/files/ASSIST_user_guide.pdf

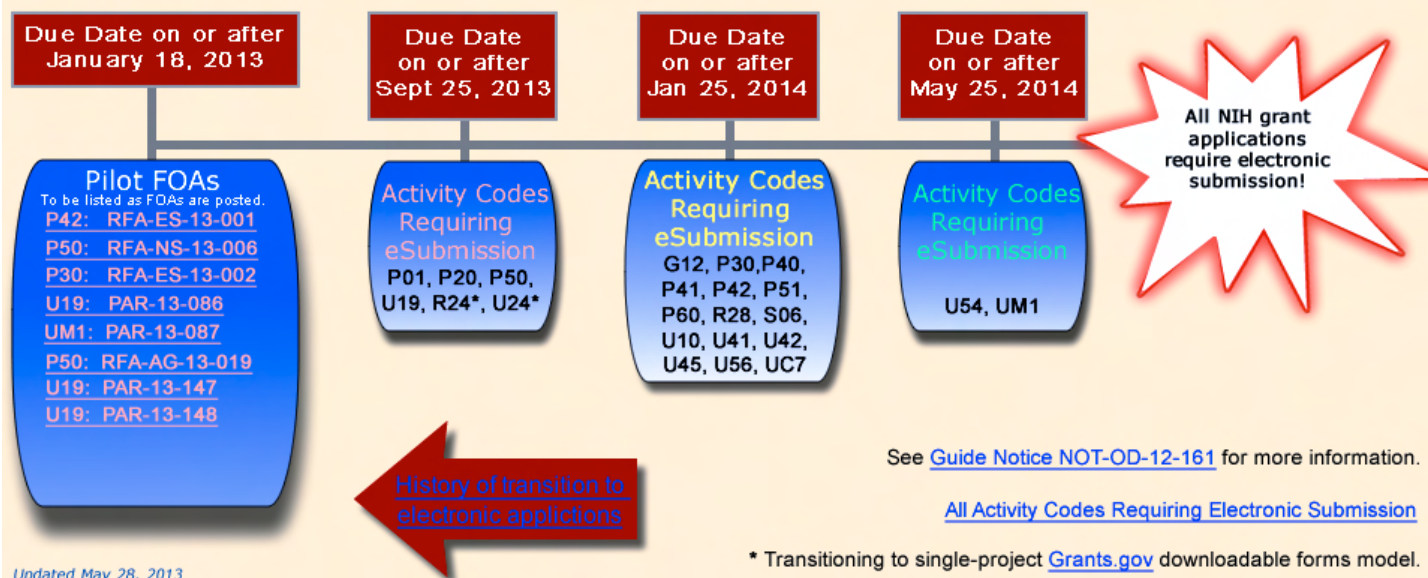
ASSIST Online Help: <http://era.nih.gov/erahelp/ASSIST/>

ASSIST FAQs: http://grants.nih.gov/grants/ElectronicReceipt/faq_full.htm#assist

Annotated Form Set (provides notes on the required application forms to indicate specific instructions for multi-project applications): http://grants.nih.gov/grants/ElectronicReceipt/files/annotated_multi-project.pdf

For additional information please contact your Pre-Award representative.

TIMELINE OF NIH TRANSITION TO ELECTRONIC SUBMISSION OF MULTI-PROJECT APPLICATIONS



Message from the Associate VP/Associate Vice Provost of Research Services

Elizabeth D. Peloso

Export Control Reform – What will it mean to Penn?

I have spent time over the last few weeks working with export control colleagues from other universities on comments to proposed changes to the export control regulations as well as reviewing changes that are becoming final rules. Back in 2009, President Obama first announced an export reform initiative to revise what is controlled, how it is controlled, how the controls are enforced, and how the controls are managed, with the intent to have a system that better supports U.S. economic and national security. This reform is being achieved through movement of many items from the International Traffic in Arms Regulations, which control primarily military items and technologies, and which require licenses for most exports (including allowing foreign nationals access to items in the U.S.) to the Export Administration Regulations, which in general have more flexible licensing requirements. The result of that initiative is now rapidly apace with new proposed and final rules.

Even though Penn does not accept restrictions on publication of research results or participation in research activities, the changes in the regulations have a potential impact on research and teaching at Penn. Some of these changes are largely positive; for instance, it has been clarified that activities using only public domain information (which includes fundamental university based research) are not what is known as a “defense service” which would require licensing for foreign national participation. Other changes have the potential to impact Penn’s ability to efficiently implement research contracts with the Department of Defense because the rules include language making research funded by the Department of Defense controlled unless the sponsor specifically declares the research purpose to be both civil and military.

Penn receives significant funding from the Department of Defense, and that funding is distributed across many schools and centers. Faculty seeking research funding from the Department of Defense should carefully review the funding announcements to make sure that funded activities will be eligible for fundamental research. They should also engage their technical points of contact for early clarification that activities will be considered to have both civil and military applications. As new contracts from the Department of Defense are received, ORS will work closely with faculty and business administrators to negotiate terms that will protect Penn’s ability to maintain an open research environment. I will be reviewing the changes to the export control laws more closely with the Export Liaisons as the new rules go into effect. If you have questions about export controls and ongoing or proposed research, please contact your Export Liaison (<http://www.upenn.edu/researchservices/exportcontrolscontacts.html>).

I am happy to meet with faculty and research groups to discuss the changing regulations as well as to provide export control training. I hope to hear from you soon!

Missy
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Recommendations for future newsletter articles or questions that you would like addressed can be sent to Yvette Wilmoth Matthews at ywilmoth@upenn.edu.

Special thanks to this quarter's contributors:

Sheila Atkins - Subawards
James Clavin - Post Award
Heather Lewis - Pre-Award
Yvette Matthews - Post Award
Kathryn Steinbugler - Corporate Contracts
Todd Swavely - PennERA
Elvina Woodard - Post Award

Meet Corporate Contracts

Standing: Beth Alioto, Angie Sydnor, Monica Sabnis, Brian McBrearty, Pooja Agarwal, Kerry Wilson;
Seated: Michelle Buono, Kathryn Steinbugler, Coy Purcell.

Not shown: Tina Hunt, Mir Masud-Elias.

