

# ORSS News



## IMPORTANT INFORMATION IN THIS ISSUE

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Welcome to our fourth ORSS newsletter! It is hard to believe we are about to enter another holiday season. I hope you are all doing well, staying healthy in this flu season, and that you had an enjoyable summer.

This issue is filled with several updates and guidance that we hope you will find helpful. Topics range from which systems to use when you are entering certain types of submissions to FCOI compliance to a complete list of upcoming learning sessions. Of particular note is the addition of several RPPR classes. I hope to see you at one soon!

I am also very happy to announce that two of our Academy graduates, Alex Valverde and Arike Jacobs, have moved into the roles of Pre-Award Specialists. They will provide pre-award support to departments who are in transition, review subcontract submissions, and coordinate learning sessions.

As always, please feel free to reach out with any requests for future newsletter articles.

I hope you have a wonderful holiday season with family and friends!

Sincerely,

A handwritten signature in cursive script that reads "Marianne Achenbach".

Marianne Achenbach

# Deadlines

## NIH Deadlines:

- **November 13th-** K series  
(renewal, resubmission, revision)
- **November 16th-** R03, R21, Certain U's  
(renewal, resubmission, revision)
- **December 8th-** F Series Fellowships  
(new, renewal, resubmission)
- **January 25th-** P Series, T Series, Certain U's  
(All - new, renewal, resubmission, revision)
- **February 5th** – R01& U01 (new)
- **February 12th-** K series (new)
- **February 16th-** R03, R21, R33, Certain U's (new)

Click [here](#) to search NIH opportunities by activity code (located on the left of the page).

Click [here](#) to see all NIH dues dates.

## CREATING PENN ERA RECORDS FOR NEW FACULTY

Need to create a grant for incoming faculty that do not have an appointment in Workday yet? Fret not, there is an easy way to accomplish this.

You can submit a request to PMACS [here](#). Once in the PMACS application, choose “request a PennKey for a new user” and ask for a research affiliation.

## Foundation Deadlines:

- [Alzheimer's Association](#)
- [American Association for Cancer Research](#)
- [American Heart Association](#)
- [Burroughs Wellcome Fund](#)

# Systems



Should I use PennERA or RIS?

## WHAT YOU NEED TO KNOW

Understanding the differences between a subaward, a fee for service and our unique relationship with CHOP is essential to knowing which system you need to use.

## THE CHOP MOU: WHEN YOU DON'T USE EITHER

PSOM and CHOP currently have a Memorandum of Understanding (MOU) that allows PSOM to transfer internal funds to CHOP without having to create a subcontract agreement. Likewise, it allows CHOP to transfer internal funds to PSOM without having to create a subcontract agreement.

The MOU only applies to internally funded collaborative research projects involving investigators from both PSOM and CHOP.

These awards are signed off by Marianne Achenbach and are managed outside of grant funds. The full MOU can be found [here](#).

## USE PENN ERA WHEN IT IS A SUBAWARD

A subaward is when a portion of an externally funded project is passed through to another entity in order to complete a portion of the sponsored project's scope of work.

Subawards must include a clearly defined, intellectually significant SOW to be performed by the subrecipient's personnel, using its own facilities and resources.

PennERA is utilized when CHOP serves as a sub to Penn and vice versa.

## USE RIS WHEN IT IS A FEE FOR SERVICE

Fee for service agreements are used when the activity being carried out is not considered to have an intellectually significant impact on the research.

Examples include:

- Penn staff being utilized temporarily by CHOP and CHOP paying Penn
- CHOP staff being utilized temporarily by Penn and Penn paying CHOP
- Third party equipment/facility use
- Material analysis
- Material synthesis
- Fabrication
- Manufacturing
- Educational Services
- Investigational drug services

For more information, see [Policy 2001](#)

# Cost Transfers

## Which cost transfer category codes should I be using?

- 01** – Intramural Goods and Services -> Commonly used for Intramural Services, Service Center Activity, and Transfers between Centers.
- 07** – G & C Adj -> This should only be used for overdraft chargeback journals.
- 14** – ADJUST -> Category 14 can be used in many circumstances, but you should utilize the Cost Transfer Decision Tree in order to determine if your Cost Transfer meets the requirements for a Category 14 or Category 15.
- 15** – G&C UN90 -> This should be used for transfers under 90 days. Again, utilize the Cost Transfer Decision Tree to determine if your journal qualifies as a Category 14 instead.
- 16** – G&C OV90 -> This should be used for transfers over 90 days from the original transaction date.
- 17 – 19** Categories -> These codes relate to goods, services, and Payroll through UPHS

For help with distinguishing between Category 14 and Category 15, go to the Cost Transfer Decision Tree by clicking [here](#).

## HEADS UP: YOUR COST TRANSFERS ARE BEING AUDITED

The Office of Research Services (ORS) is currently reviewing cost transfers that have been coded as Category 14. All Category 14 cost transfers will be audited to see if they should have been coded as Category 15 instead. To avoid future questions from ORS, refer to the [Cost Transfer Decision Tree](#) when coding cost transfers.

## ACCEPTABLE DIRECT BENEFITS

ORS is also reviewing the justifications that are included in cost transfer journals and looking to see that a detailed direct benefit statement(s) has been added.

The “direct benefit” should describe why a cost belongs on the project that it is being moved to and must include verbiage from a budget justification or the original application/proposal.

- For example, instead of saying “moving imaging costs to Dr. Smith R01,” you need to say something like “These animal sequence imaging costs were required to gather data on the progress of the treatments as outlined in Dr. Smith’s R01 application.” The more detailed that you can get with your justification, the better off you are.
- It is worth noting that simply adding an IRB Protocol Number or IACUC Protocol Number is not sufficient to show that a cost belongs on a particular grant. Even though the fund may be linked to the IRB or IACUC Protocol, there still may be other projects which are also utilizing the same exact Protocol Number(s). So it wouldn’t necessarily be the best way to identify the one fund as the appropriate destination for a particular cost.
- ORS has confirmed that if your justification is too long, there should be multiple data fields available within the journal to provide your direct benefit.

# F&A Matters

## Have you ever wondered why we make such a big deal about F&A?

Research is expensive. So expensive that it might just be easier to start by asking you to think about all those little costs that are associated with running your own household.

Seriously, take a minute to think about every penny you spend on the hidden costs that come with living your life... cable, electricity, phone, lawn care, annual tax preparation, babysitters, oil changes, Starbucks.

Essentially, these costs make up your own personal F&A.

Now take a minute to think about all the costs that make up PSOM's F&A.... guess what, you don't have to because the Office of Research Services (ORS) does it for us (and it is no easy task)! In fact, every four years they calculate all costs related to carrying out research, such as:

- maintaining labs
- ensuring regulatory compliance
- ensuring safety for biohazard waste
- paying utilities
- IT infrastructure
- salaries for business office staff.

What's most important to remember about F&A is that it is a real cost and is in no way, shape or form separate from or in addition to direct costs. Rather, it is what enables PSOM to pay the electric bill, keep labs up-to-date and pay administrative salaries.

If you would like to learn more about how F&A reflects the real cost of research check out this [video](#).



## WHAT TO DO WHEN YOUR PI NEGOTIATES THEIR OWN AWARD AND F&A IS WRONG

We were once grants managers so we know it happens.

First and foremost, explain to your PI that only an Authorized Signing Official can confirm acceptance of an award and there are often terms and conditions that the University cannot accept.

This means **there is no guarantee Penn will honor the award** and your PI will have to go back to the funder and turn down their funding.

Second, see if you can recover F&A costs by adding admin personnel to the budget. It is a little known fact that many non-federal funders do allow admin staff to appear on the budget.

You can find a helpful cost recovery budget template [here](#). You can also contact your [ORSS PreAward Reviewer](#).

# Compliance

## What should I be doing to check for FCOI compliance?

Check the online Green Light Report in RIA. It will indicate if a Institution # is FCOI compliant.

## How do I certify key investigators?

Certifying investigators is now performed within the Personnel tab of PennERA (this used to be done within the PHS-FITS application).

BA's can add or remove key investigators. To remove existing key personnel, you can click the unlock icon, uncheck the check box in the Responsible column and remove effort. It is important to Save the PennERA record after updates.

Changes in PennERA Personnel tab currently take 2 days to get into the RIA system (one day to get to the Data Warehouse and the next day for RIA to get the data from the Data Warehouse).

Once a BA confirms the investigator list is accurate in RIA, BA must make sure to "Initiate Disclosures" which will alert the key investigators to submit a disclosure. (Once emails are initiated, reminder emails are being sent periodically).

For new proposals we suggest this is done when JIT is submitted. Keep in mind that not all grants where JIT is submitted will be funded, but we do recommend this step be done ASAP if NIH alerts an award is forthcoming to avoid delays in getting a fund # set up due to noncompliance.

## NO ADVANCE ACCOUNT FOR YOU!

On average, every month, we have 175 requests for advance accounts that we are unable to process due to FCOI noncompliance.

If an advance account is needed because there is strong belief that an award will be made, you must still ensure compliance. We continuously receive advance account and account continuation requests for noncompliant Institution #'s. It is important to remember that all PHS and PCORI funded projects must have a green light in order for us to process your awards, advance accounts, and account continuations.

### Identifying awards received but not processed:

To identify awards that have been issued by the funder but cannot be set up because of noncompliance, run the "FCOI Pending" query in Business Objects (a.k.a., Webi).

### Hopeful enhancements to the current process:

As of now ORS does not follow-up to see if projects become compliant so you need to go to the [ORS Support Portal](#) and submit a ticket indicating the institution # is now green light compliant. We understand this process can be streamlined so we have met with both Novelution and OVPR to enhance reporting capabilities and to get RIA greenlight data to the Data Warehouse. Our intent is to be able to provide daily lists of all grants that appear on the "FCOI Pending" report but are now green light compliant.

**More detailed information can be found in the [RIA-BA-Reference Guide](#).**

# Academy

## UPCOMING LEARNING SESSIONS

Ready to register? Click on the date.  
All sessions are delivered via Zoom.

### RPPR for Ks, Fs and Ts:

- [January 23](#)
- [February 7](#)
- [April 10](#)

### RPPR for R's:

- [Jan 18](#)
- [Feb 20](#)
- [March 21](#)
- [April 24](#)

### R Refresher:

- [Jan 3](#)

### K Refresher:

- [Jan 9](#)

### F Refresher:

- [March 14](#)

We will add additional dates for those waitlisted. If you are unable to attend on scheduled dates, please go to the registration page and “Express Interest.”

## Why create a template or cheat sheet when another department already has?

Thanks to our Academy graduates, we have launched an online Resource Center where you can download templates, cheat sheets and other helpful materials that have been collected from grants staff all across PSOM by our Academy graduates.

Our hope is to continue their hard work and to keep building this library so please share your templates and cheat sheets!!!

To search the Resource Center go to the [Academy Overview](#) page on the ORSS website and select “Academy Resource Center” from the left menu. In the meantime, here’s some direct links that you can use right away:

- [Budget Templates](#)
- [NIH Overview](#)
- [PI Portfolio Management](#)
- [Reconciliation](#)
- [Staying Organized](#)

