



University of Pennsylvania
motto...*Laws without morals are useless.*

The Bottom Line

UPDATED NON-PO PAYMENT REQUEST

We are pleased to advise the Penn Marketplace Non-PO Payment Request training has been updated in Knowledge Link. It's hard to believe the Penn Marketplace enhancement was launched 2 ½ years ago. We are excited to update these training modules and we strongly encourage all to refresh their knowledge.

Knowledge Link (<http://knowledgelink.upenn.edu>)

- Penn Marketplace Non-PO Payment Request Knowledge Building
- Penn Marketplace Non-PO Payment Request Application Training for Preparers
- Penn Marketplace Non-PO Payment Request Application Training for Approvers

Financial Training Dept

<https://www.finance.upenn.edu/financial-training-department> Documentation Tab > Penn Marketplace

For those eager users looking to learn more search Knowledge Link for our next Penn Marketplace Information Session on January 12, 2021.

You can also visit Penn Marketplace Training Resources on the Purchasing website:

<https://cms.business-services.upenn.edu/purchasing/making-purchases/penn-marketplace/training.html>

*Mike Popko
Director of Disbursements*

PROCARD JOURNALS HOLIDAY POSTING

- Journals imported into BEN on Saturday 12/12/20 post on Friday 12/18/20
- Journals imported into BEN on Saturday 12/19/20 post on Friday 12/25/20
- Journals imported into BEN on Saturday 12/26/20 post on Friday 1/8/21
- Journals imported into BEN on Saturday 1/2/21 post on Friday 1/8/21

WORKDAY @PENN HOLIDAY AND WINTER BREAK TIME TRACKING TOOLKIT

Managers and timekeepers can consult the 2020 Holiday and Winter Break Time Tracking Toolkit to assist them in performing their timekeeping responsibilities over the upcoming holidays. The toolkit has deadlines for timesheet submission and approval for the two weeks between Christmas and Winter Break, including an earlier window when those timesheets will be available for editing, time entry codes to use, special scenarios, and access to other resources.

See Page 2 and 3 for more Workday@Penn news.

Penn Covid-19 Response

<https://coronavirus.upenn.edu/>



Penn Cares

MASK • DISTANCE • WASH

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Preventing Over- and Under-Payments

While pay cycles are open, HR analysts, HR partners, and budget partners can see in-progress pay results and take action to help prevent over- and under-payments. Run the following reports regularly:

- CR - Pay results by organization
- CR - Pay results by organization with costing
- CR - Pay results by worker
- CR - Pay results by worker with costing

You will get information on organization, worker, position, pay group, earnings, hours, hourly rate, earnings amount, and gross pay. The version of the reports "with costing" will also contain the Penn Cost Center, Penn Program, Penn Fund, Penn CREF, and Object Code that the earning was charged to. When generating a report, always limit the desired pay period(s) to return useful results and optimize the report performance.

Increasing Manager Visibility into Unsubmitted Timesheets

The mass submit process, which is used to help the University comply with the federal Fair Labor Standards Act and compensate workers for time recorded, now advances a worker's unsubmitted timeblocks / timesheets to the manager rather than to the timekeeper. This increases the manager's visibility into the hours that their workers record in Workday.

The University's time reporting policy governs the requirement of timely and accurate pay for non-exempt workers. Managers and timekeepers are responsible for time reporting. They should partner with one another and their non-exempt workers for timely time entry and approval. Workday supports this policy by providing a convenient and transparent platform with automated business processes, however, Penn managers and timekeepers play the most essential role to get their workers accurate and timely pay.

Preventing Common Data Entry Issues

Workday Operations is adding validation rules to prevent common data entry issues that result in transactions needing to be corrected or rescinded, or result in over- or under-payments. Examples of recent validation rules include:

- Entering a retroactive termination date that is prior to when the employee last received pay will generate a warning. Workday will attempt to pull back pay in these instances.
- AWP and DPP must be equal. An error will be generated if the periods are not the same.
- 5 Funds may not be used on default org assignments. An error will be generated in the create job req process as well as change organizational assignments.
- Expected end date has been removed from compensation business processes. Confusion on expected and actual end date have caused significant overpayment issues.
- Timekeeping processes, such as those for approved administrative leave
- Total base compensation (salary/hourly/allowances) may not exceed \$3M. This prevents issues where individuals accidentally enter annual salaries in hourly rates (for example). An error will be generated in these situations.
- Options will be limited on pay frequency. For example, an exempt employee will be required to use the "Annual" frequency. This will avoid issues where individuals accidentally enter annual salaries as a monthly frequency (for example).
- One-time payments for terminated employees can only be retroactive if there were actual pay results in that retro period. Otherwise, the payment will not occur.

Continued on Page 3



Workday 2020 Release 2 on September 12

Workday Release 2, one of the two major releases this year, was delivered on September 12. Among the changes were the following abilities to:

- Switch a worker's primary job when they have in-progress pay or retro pay results. This provides you the flexibility to switch jobs more conveniently, regardless of whether there are open pay periods.
- Increase the number of positions on open job requisitions that you create for new positions. This improves recruiter efficiency as it eliminates the need to create a new job requisition and enables you to quickly react to headcount changes.
- Quickly access the actions and apps you use most frequently as Workday adapts to the way you work.

New or Newly Enhanced Reports and Notifications

Look for descriptions of these reports, and which Workday security roles can run them, in the updated [Report Inventory on the website](#).

- Temporary Workers Nearing 1,000 Hours in Current Fiscal Year (Notification)
- Average Worked Hours by Worker or Organization
- Monitoring Hours Worked by Organization
- CR – Workers with Primary Work Foreign Address – by Supv Org
- CR – Workers Primary Work Address – by Supv Org
- Security Roles

Paperless 2020 W-2 Forms

The Payroll Office strongly encourages you to elect turning off printing and mailing of paper W-2 forms in Workday@Penn. Doing so will help avoid delays or errors in receiving your year-end

tax documents by the U.S. postal service. **Change the printing election to electronic before December 31, 2020 so your paper W-2 for the current tax year will not be mailed to the home address indicated in Workday.**

For assistance in turning off printing and mailing of your W-2, access the following:

- Watch a [short video](#) for a step-by-step demonstration, or
- Follow the simple steps in the [Self Service-Access Tax Withholding Forms](#) tip sheet

Your 2020 W-2 will be available electronically in Workday@Penn in early 2021. Online statements require Internet access and Adobe Reader to view and print tax documents. If you submitted your consent last year for electronic access only, the consent remains valid for all future tax years or until you revoke your consent. If you do not submit your consent, the Payroll Department will arrange U.S. postal mailing of a paper copy of your year-end form to the home address indicated in Workday, although you will still be able to access the electronic version.

- Starting with tax year 2019, W-2s are available in Workday, however, Workday will not display **Box D Control Numbers**.
- If you need Control Numbers to import to an electronic tax preparation service, please view your W-2 through the [University's tax information management vendor, ADP W-2 Services, ADP W-2 Services](#).
- ADP displays the current year and prior two years. At this date, your W-2 for tax years 2019, 2018 and 2017 are available on the [ADP website](#). Once the 2020 W-2 is made available early in 2021, the 2017 form will be removed from ADP.
- For copies of W-2 for tax years earlier than those available in Workday or ADP, please contact the Penn Employee Solution Center at:

(215) 898-7372 or
hcmsolutioncenter@upenn.edu



Office of the Comptroller

Accounts Payable 2020 Year End Dates

The following are the year-end processing cut-off dates for the AP Office. In order to ensure requests are processed before the end of the year, December 31st, we are requesting you submit all requests by the dates listed below.

Requests submitted after these dates may still be processed before the end of the year, however, due to the increased volume of requests we receive during this time we cannot guarantee they will be processed. The dates are as follows:

Friday, December 4, 2020 at 5:00 p.m.

- Final day to request Final Closing of Purchase Orders & request to correct and reverse receipts



Friday, December 11, 2020 at 5:00 p.m.

- Purchase Order invoices to be processed

Friday, December 11, 2020 at 5:00 p.m.

- Foreign Currency Non-PO Payment Requests to be processed

Thursday, December 31st by 3:00 p.m.

- **Approved** Non-PO Payment Requests

WINTER BREAK

Accounts Payable will be closed from December 24, 2020 through January 5, 2021

If you have an urgent matter you can email reeneow@upenn.edu or smithlis@upenn.edu for assistance.

1099 Manual Process for Payments Made Outside of BEN Financials for 2020

Below is the procedure for gathering 1099 information for individuals who are paid more than \$600 via Cash, Gift Cards, etc.

- Collect W9's for participants who will meet the minimum of \$600 requiring a 1099
- Store W9's in a secure location until the end of the calendar year
- Keep a running spreadsheet throughout the year keeping track of which participants/ individuals will meet the \$600 threshold for payments.
- Spreadsheet can be found on AP website/Documents/Forms <https://www.finance.upenn.edu/documents/comptroller>
- Print spreadsheet and attach W9's (only for participants who require a 1099)
- Email spreadsheet via Secure Share to reeneow@upenn.edu by **January 6, 2021**

1099 Manuals Needed for Year 20xx						
Last Four Numbers of SS#	Last Name	First Name	Vendor Number/ if applicable	Amount	Address	Reason for 1099

Office of the Comptroller

Accounts Payable Updates/Reminders

- **AP Human Subject Advance Reconciliations:** Reconciliations for human subject advances are performed and owned by the department administering the study. These reconciliations should be kept with the department for 7 years in case of audit. In the past some of these reconciliations were forwarded to AP. We are asking you not to send them to AP but keep them stored within the department. If you have any questions please contact Mike Popko at mpopko@upenn.edu.

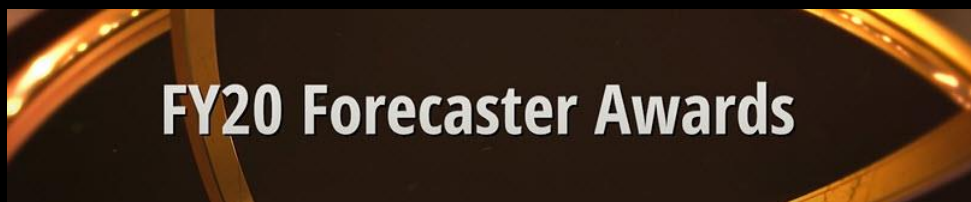
Email PO Invoices: The recommended process for sending invoices to Accounts Payable is for vendors to send the invoices directly to Accounts Payable, preferably via the email box. That said, Departments now have the ability to

email PO invoices directly to Accounts Payable for processing. Invoices must be emailed in pdf format, one invoice per pdf file to poinv@upenn.edu. Multiple invoices can be sent in one email. Please ensure that the PO number is listed on the invoice, not in the subject or body of email. Quotes, Proforma Invoices and Statements will not be processed.

- **Invoice Holds:** Please remember to release invoice holds as timely as possible. APEX reports are now available to help you monitor your holds. If you need further information or access to APEX please see the Penn APEX P2P Dashboard and Reporting Tool Quick Reference Guide below or contact Mike Popko at mpopko@upenn.edu.

https://www.finance.upenn.edu/sites/default/files/DashboardORG_2.pdf

FY20 Forecaster Award Recipients Announced!



At the September 30th Budget Officer's Forum Meeting, the Office of Budget Planning & Analysis announced the FY20 Forecaster Award winners. The rankings are determined through a comparison of the spring forecast (mid-April) versus closing results on all funds basis. The School of Arts and Sciences won "Best School Forecast" for the third year in a row, Morris Arboretum won "Best Resource Center Forecast," and The Office of Audit, Compliance, and Privacy won the award for "Best Administrative Center Forecast". Most Improved Forecast is a relatively new category, and the FY20 winner is the School of Veterinary Medicine. Congrats to all of our FY20 award winners!

	Schools	Resource Centers	Admin Centers	Most Improved
FY20	SAS	Morris Arboretum	Audit, Compliance, and Privacy	Penn Vet

For a full list of past winners go to <https://budget.upenn.edu/fy20-forecaster-award-recipients-announced/>.

Office of the Comptroller



TREATY EXEMPTIONS

Income tax treaty exemptions are granted on a calendar year basis for certain types of payments such as scholarships/fellowships and employment income. All eligible employees will receive an email communication with instructions to claim tax treaty benefits for calendar year 2021.

In order to meet the deadline for the January 2021 payroll, students and employees must return the signed treaty document by Friday, January 22, 2021. If they do not meet the January deadline, they may still apply for the exemption, however the treaty benefits will not take effect until February. Please note that Payroll **will not refund the federal withholding tax for individuals who missed the January 2021 deadline.** The individual can claim the exemption when filing their 2021 tax return. Please contact the Employee Solution Center with any questions or concerns at 215-898-7372 or submit an inquiry to hcmsolutioncenter@upenn.edu.

ADDRESS UPDATE

Employees are encouraged to review and update, if necessary, their residence address information in Workday. To review or update your address in Workday, follow the instructions on the [Self Service: Modify Your Personal Information Tip Sheet](#).

Important Reminder: As the University continues to return to work on campus, HR Analysts and HR Partners **must update the Work Address of non-Philadelphia residents who were working remotely to the campus address as they return to their on-campus worksite.** Additionally, these individuals will need to review and update their tax information.

Guidance for HR Partners/Analysts and for Individuals is available on the [Workday](#) website to assist with making these updates.

If you have any questions, please contact the Penn Employee Solution Center at:

hcmsolutioncenter@upenn.edu

PAYROLL AND SOLUTION CENTER WINTER BREAK COVERAGE

THE PAYROLL OFFICE AND SOLUTION CENTER WILL BE STAFFED ON
TUESDAY, DECEMBER 29TH , THURSDAY, DECEMBER 31ST AND TUESDAY, JANUARY 5TH.

GIFTS TO EMPLOYEES

As we approach the holiday season, Corporate Tax, Compliance and Payroll would like to remind you that giving gift cards to faculty, staff, or students is against University policy. Under IRS regulations, gift cards provided by employers to employees are deemed to be wages and are subject to employment taxes without regard to their value.

Please refer the Comptroller's web site to review the policy associated with the distributions of gifts to employees; [Policy #2326 Gifts Based on University/Employee Relationship](#).

If you have any additional questions, please contact the Penn Employee Solution Center at hcmsolutioncenter@upenn.edu or (215) 898-7372.

DECEMBER 2020 YEAR END GIFT PROCESSING DEADLINES

As we approach year-end, please be advised of the following closing guidelines for gifts.

December 31 Gift Date end of year processing:

- **January 11:**
 - Last date to deliver to Gifts Accounting & Administration and Records (GAAR) or overnight to PNC Bank (directions on next page) December 2020 – FY21 gifts (need December 31 postmark) **IRS rules require that year-end gifts be postmarked on or before December 31 for 2020 tax purposes.**
 - Last date to submit Adjustments for year-end processing
- **January 12, 13, 14: Gifts Office will close for year-end processing**

- **January 21:** Begin preliminary reporting

Notify Jean Suta in Security Gift Office (jeanie@upenn.edu) or 215-898-7254 of any **securities gifts as soon as you are made aware of them.** Securities gifts must be transferred into a Penn brokerage account **by 4 p.m. on December 31, 2020.**

Should you have any questions on this information please contact one of the following:

Kate Micklow Harwan
micklow@upenn.edu

Maria Perkins
mariak@upenn.edu

Jean Suta
jeanie@upenn.edu



**GIFTS ACCOUNTING & ADMINISTRATION AND RECORDS
(GAA&R)
WINTER BREAK SCHEDULE**

December 24, Thursday	University Closed (GAA&R closed)
December 25, Friday	Holiday (GAA&R closed)
December 28, Monday	9:00 a.m. – 3:00 p.m.
December 29, Tuesday	9:00 a.m. – 3:00 p.m.
December 30, Wednesday	9:00 a.m. – 3:00 p.m.
December 31, Thursday	9:00 a.m. – 12:00 p.m.
January 1, Friday	Holiday (GAA&R closed)
January 4, Monday	University Closed (GAA&R closed)
January 5, Tuesday	University Closed (GAAR closed)

**REMOTE GIFT PROCESSING DURING CALENDAR YEAR END CLOSE-OUT
PLEASE USE THE FOLLOWING AS A GUIDE FOR DONATIONS**

• Online Giving: <https://giving.apps.upenn.edu/>
Preferred method; this is the most secure and immediate way to donate to the University of Pennsylvania.

• Bank Wire Instructions:
<https://www.finance.upenn.edu/cash-management/wire-transfer>

New! New! New!

- Mailed checks: **Please forward all checks to our PNC Bank Lockbox.** Gifts will be processed, funds deposited and paperwork imaged 😊 by PNC. *No transmittals required!*
 - What to do -
 - Write processing instructions on documentation (i.e., H\$/S\$, fund#, tribute, etc.)
 - Use large paperclip and attach envelope
 - Keep record of documents (e.g., copy or scan) of each packet and total amount for your files
 - Use UPS mail label (supplied by GAA&R during Winter Break) to send to PNC
 - Take picture of label and send via email to Maria and Kate for tracking purposes
 - **Note:** if there is a donation that requires special attention please contact Maria and Kate directly to coordinate delivery at FMC.

PNC Bank Mailing Addresses:

US Mail Address:

University of Pennsylvania
Office of the Treasurer
P.O. Box 71332
Philadelphia, PA 19176-9913

Overnight UPS/FedEx Address:

Trustees of the University of Pennsylvania
Attn: Lockbox 824949
525 Fellowship Road
Suite 330
Mt Laurel, NJ 08054

- Fund creation: forward forms to Funds Team email list: FUNDS@LISTS.UPENN.EDU
- Incoming pledge transmittals, journals, remote deposit captures (if any) should be forwarded to the GAA Front Desk email: GAAFRONTDESK@LISTS.UPENN.EDU
 - *If bringing paperwork to GAA&R Office - don't forget to tape things down!*
- Stocks/securities:
<https://powerofpenn-wp-uploads.s3.amazonaws.com/uploads/securitytransfer.pdf>
Please have these forms emailed to Jean Suta at jeanie@upenn.edu

LOCKBOX PLEDGE CARD TESTING:

Step 1: Vendors should email a sample of 10 lockbox cards with live donor data directly to GAAFRONTDESK@LISTS.UPENN.EDU and cc: the school/center contact.

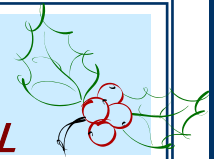
- The vendor should include your name, school and email, so Gifts Accounting & Administration knows who the job belongs to.
- Kate will review for: donor id matching name on card, fund number matching school/center, and active appeal code. We will not take measurements at this time. Vendors will need to ensure this is accurate.

Step 2: Once Kate approves the above, we will communicate back to the vendor (and school/center contact) to forward a sample of 50 pledge cards with live donor data to PNC Bank for further testing and approval. The vendor should take a photo of the UPS air bill and send to Kate so that we can communicate to the bank as required. They should send via UPS to this address - **Send via Overnight UPS:**

PNC Firstside Center
Lockbox Implementations P7-PFSC-02-X
Attn: Cyndi Sacco, LBX#824949
500 First Avenue
Pittsburgh, PA 15219
Phone: 412-768-1957
Email: Cynthia.sacco@pnc.com

Step 3: You and the vendor will be notified via email when the lockbox cards pass at PNC Bank.





Individual Service Providers and Honoraria

Based on an internal audit, numerous instances of divergent practices from both Penn's financial policies and federal regulations regarding payments to individual service providers were discovered. As a result, changes have been made to the processes of certain payments through the Penn Marketplace to ensure compliance with existing University policy and federal regulations.

INDIVIDUAL SERVICE PROVIDERS

Effective October 1, 2020, payment requests for individuals using the 'Other' payment category will be reviewed by Purchasing's supplier support team to ensure proper documentation exists to support the categorization of the payment as 'Other.' Any payments improperly categorized will be rejected and returned to the initiating department for proper categorization based on the service being provided. Purchasing's supplier support team will provide guidance, as necessary.

HONORARIA

Faculty, staff, and students, along with individuals under agreements, and non-individuals (i.e. companies, LLCs, corporations) may not receive honoraria payments per IRS honoraria payment regulations. Financial Policy #2319.2 Payment for Honoraria prohibits payment of honoraria to faculty, staff, and students based on this IRS regulation. Audits of honoraria payments made during calendar year 2017 and again in 2019 show that schools and centers continue to pay honoraria to restricted entities. In order to ensure compliance with the IRS

regulations and the University's honoraria policy, beginning in mid-September, the Penn Marketplace will automatically reject honoraria payments made to individuals with a vendor type of Employee or Student as well as to any existing Penn suppliers and non-individual entities.

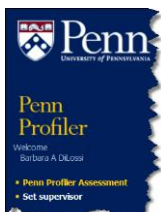
Payments to employees for services outside the scope of their employment should be reviewed by the school or center's HR Analyst or HR Partner prior to engagement to ensure proper payment. For payments to students, please refer to the Student Payment policy to determine the appropriate method of payment based on the nature of the payment. Payments to corporations or LLCs should be processed through the Marketplace using the object code appropriate for the payment.

Any questions on classifying individuals as independent contractors or employees should be directed to Human Resources ISP Helpdesk.



Group Exercise at Penn
Come join the fun!
Zoom for Free!!
Click [here](#) to register.

How to Add/ Change Your Supervisor in Knowledge Link



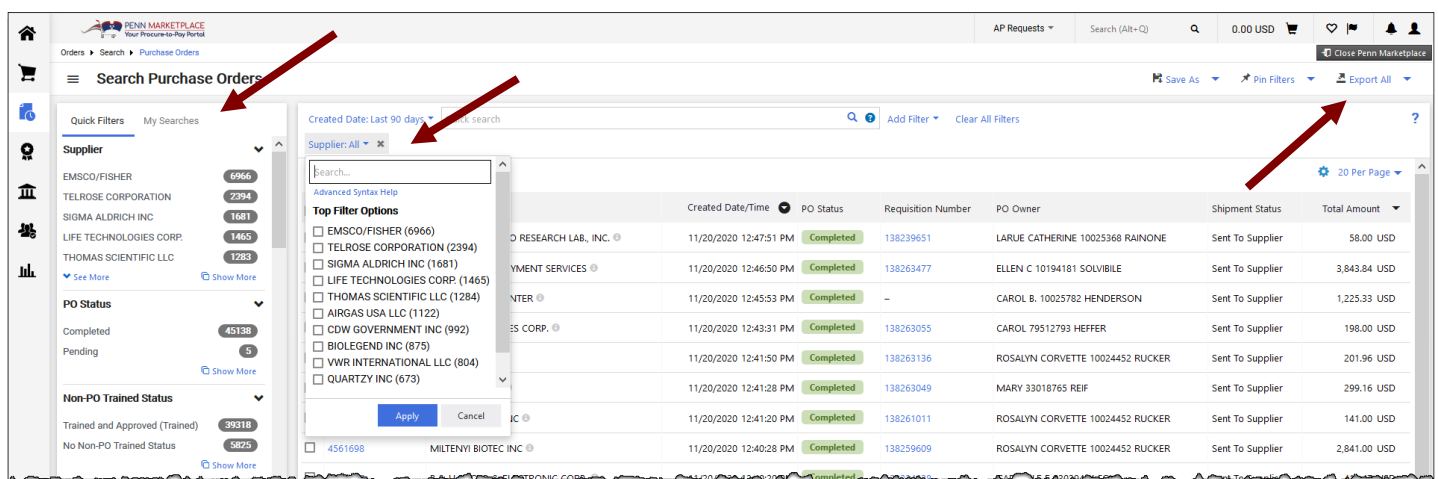
To add or change the Supervisor in Knowledge Link follow these steps:

- From the Knowledge Link website, click on 'Penn Profiler'
- Click on 'LOGIN'
- Click on 'Set supervisor'
- Update/Enter the new supervisor
- Click on [Submit]



Penn Marketplace has introduced a new document search option as part of a larger effort to unify the user's experience in Penn Marketplace. The new document search function replaces how you currently search for Carts and Purchase Orders. *Note - invoices in Penn Marketplace adopted this search method in March 2020.* Some of the new search features include a Quick Filters panel to the left, where you can refine your search results quickly and easily. You can also add and pin filters and save the selected options as default filters for future searches.

Please contact PennMarketplace@upenn.edu if you any questions.



Created Date/Time	PO Status	Requisition Number	PO Owner	Shipment Status	Total Amount
11/20/2020 12:47:51 PM	Completed	138239651	LARUE CATHERINE 10025368 RAINONE	Sent To Supplier	58.00 USD
11/20/2020 12:46:50 PM	Completed	138263477	ELLEN C 10194181 SOLVIBLE	Sent To Supplier	3,843.84 USD
11/20/2020 12:45:53 PM	Completed	-	CAROL B. 10025782 HENDERSON	Sent To Supplier	1,225.33 USD
11/20/2020 12:43:31 PM	Completed	138263055	CAROL 79512793 HEFFER	Sent To Supplier	198.00 USD
11/20/2020 12:41:50 PM	Completed	138263136	ROSALYN CORVETTE 10024452 RUCKER	Sent To Supplier	201.96 USD
11/20/2020 12:41:28 PM	Completed	138263049	MARY 33018765 REIF	Sent To Supplier	299.16 USD
11/20/2020 12:41:20 PM	Completed	138261011	ROSALYN CORVETTE 10024452 RUCKER	Sent To Supplier	141.00 USD
11/20/2020 12:40:28 PM	Completed	138259609	ROSALYN CORVETTE 10024452 RUCKER	Sent To Supplier	2,841.00 USD

Local, Minority-Owned Businesses Making a Difference

Throughout the response to COVID-19, Replica Creative – a local, minority-owned small business - has worked with the Office of the University Architect and space planners from across Penn to design, produce, and install high-quality signage throughout campus. As part of its service, Replica also offers excellent consultative advice to those contemplating solutions for their space. If you are considering signage for your work area – COVID safety-related or otherwise - you are encouraged to contact Replica Creative at Penn's dedicated support mailbox, PennSupport@replicacreative.com.

Additionally, if business units are interested in learning more about sourcing local, minority-owned businesses for specific commodities such as consulting or print services, contact Penn Purchasing Services at DiversitySupplier@upenn.edu. Purchasing staff members are available to host a virtual session describing various resources available to help you advance your local and diverse procurement.



There have been several high-profile campaigns of cyber-criminal attacks against institutions like Penn. Many of these attacks begin with a malicious or misleading email message. Given the environment of heightened concern, this is a reminder to avoid opening attachments or clicking links in unexpected or out of character emails.

Malicious and misleading emails, also called "phishing" emails, are the number one way that cyber-criminals begin their attacks. A hyperlink or attachment can attack and silently take over your computer when clicked, or a fake login screen presented when you click can be used to get you to provide your password without realizing it. Attacks of this kind have spiked recently so be on high alert.

Here are some specific things you can do to help protect yourself and to protect Penn:

- **Verify the Sender:** While fake emails can be made to look entirely like authentic messages, often you can spot a malicious email by reviewing the email address carefully. The name part of an email address can be changed easily – click on the email address in the “from” field and review the full email address to make sure it is who you think it is.

- **Report Suspicious Events:** Reach out to your Local Service Provider for IT support if you think you may have been deceived by a suspicious message. Modern attacks are quiet and do not have signs like slowing down your computer or causing error messages. Therefore, if you click a link or attachment and the content doesn't make sense, get help from your IT team to get to the bottom of the matter. These attacks are generally easy to clean up when reported right away, so alert your IT team to suspicious events. You can also send the suspicious email to phishing@isc.upenn.edu for analysis.
- **Safer Ways to Open Messages:** If you are not sure that a message is authentic, the best approach is to contact the sender using a previously established phone number to confirm, but at times this is not practical. If you need to open an attachment or link in one of these situations, it is safer to do so using an up to date iPhone, iPad or Chromebook than to use a Windows or Macintosh computer. If you are opening a Microsoft Word or Excel document you are unsure of, do not select the option in the yellow banner to enable editing, saving, or macros. These options can enable the document to attack your computer.

Effort Reporting Deadline

Effort Report Period	Description	Start Date	End Date		Date Forms are Available	Closing Date / Due Date
123120	Fall Semester	07/01/20	12/31/20		02/01/21	04/02/21

These dates can also be found in the Effort Reporting section of the ORS website:
<https://researchservices.upenn.edu/systems/effort-reporting-system/>

PennERA Upgrade



In April, a significant upgrade to the PennERA (Electronic Research Administration) system was completed, and the team is currently working on moving the application from on-premises to a cloud-hosted environment at the end of this calendar year (over winter break). **The system will be unavailable from Saturday, December 26, 2020 through Saturday, January 2, 2021.** PennERA users will be contacted directly with more detailed information about the system outage timeframe and impact during the move to cloud. There will be no anticipated user interface changes.

DATA CLEANUP – INACTIVE PERSONNEL

In preparation for the move to cloud and in compliance with data retention policies, data cleanup of inactive personnel was completed over the Thanksgiving break in the current production environment. This cleanup will lessen system downtime when moving data during the migration to cloud, improve the efficiency of select data integrations, and ultimately improve overall system performance.

ACCESS & ROUTING REQUESTS REMINDER

As a reminder, access for new personnel, changes to access for existing personnel, or changes to routing are now made electronically within the PennERA application using the new user access and routing assignment module. Users should log into PennERA with their PennKey and password and then navigate to *Module Access & Routing*. For more information, see the quick reference guides at:

<https://researchservices.upenn.edu/areas-of-service/pennera/access-and-forms/>

PENNERA BUDGET DECIMAL PRECISION SIMPLIFICATION

In October, there was a budget decimal precision configuration change in Proposal Development (PD). By default, all PD budget figures are now rounded to whole dollars. This change was made to match the system-to-system budget submission precision. Displayed and calculated budget data in the PD application now precisely matches data submitted to Grants.gov.

REFERENCE MATERIALS

Updated and new reference materials, including quick reference guides, are available on the PennERA website at:

<https://researchservices.upenn.edu/areas-of-service/pennera/proposal-development-reference-materials/>

QUESTIONS

If you have any questions, please send an e-mail to PennERAhelp@lists.upenn.edu. For general information on PennERA, please visit the website at <https://www.pennera.upenn.edu/>.

— The PennERA Team

**Who is my School/Center
Business Officer?**

**What is my two-digit
School/Center number?**

[Click Here](#)

Enforcement of NSF-approved Biographical Sketch and Current and Pending Support



Effective October 5, 2020, the National Science Foundation (NSF) began enforcing the [Proposal & Award Policies & Procedures Guide \(PAPPG\)](#) (NSF 20-1) requirement to use NSF-approved formats for the preparation of the Biographical Sketch and Current and Pending Support proposal documents. The NSF-approved formats are [SciENCv: Science Experts Network Curriculum Vitae](#) and an NSF fillable PDF.

All other PAPPG (NSF 20-1) changes were effective on June 1, 2020. Please refer to the complete list of PAPPG (NSF 20-1) [significant changes and clarifications](#) which include the IT system changes and other policy-related changes. A set of [Frequently Asked Questions \(FAQs\) on proposal preparation and award administration](#) related to NSF PAPPG (NSF 20-1) is also available and includes Biographical Sketch and Current and Pending Support information.

BIOGRAPHICAL SKETCH AND CURRENT AND PENDING SUPPORT WEBSITES

- The NSF [Biographical Sketch](#) and [Current and Pending Support](#) websites include links to the NSF-fillable PDF formats, updated FAQs, and instructions.
- For the fillable PDF formats, NSF recommends users download and save the blank PDF document prior to adding content. Populating content directly into a web browser (e.g., Chrome or Safari) may result in formatting inconsistencies. The completed and saved PDF can then be uploaded via FastLane, Research.gov, or Grants.gov.
- Beginning on October 5, 2020, links to the Biographical Sketch and Current and Pending Support websites are located in FastLane (on the Biographical Sketch and Current and Pending Support Personnel pages), in Research.gov (on the Biographical Sketch and Current and Pending Support Upload pages), and in Grants.gov (on the NSF Senior Key Person Profile form version 2.0).

Questions? Policy-related questions should be directed to policy@nsf.gov. If you have IT system-related or technical questions regarding the SciENCv or NSF fillable PDF formats, please contact the NSF Help Desk at 1-800-673-6188 (7:00 AM - 9:00 PM ET; Monday - Friday except federal holidays) or via fastlane@nsf.gov.

CHANGE OF PRINCIPAL INVESTIGATOR (PI) AND ADD/CHANGE CO-PI REQUESTS

- Effective October 5, 2020, Biographical Sketch and Current and Pending Support documentation must also be in an NSF-approved format when uploaded with a Change of PI and an Add/Change co-PI request in FastLane.

RESEARCH PERFORMANCE PROGRESS REPORT (RPPR) SUBMISSIONS WITH ACTIVE OTHER SUPPORT CHANGES

- Effective October 5, 2020, PIs and co-PIs must include an NSF-approved format for Current and Pending Support when **notifying NSF that active other support has changed since the award was made, or since the most recent annual report.**
- This new requirement serves as NSF's implementation of the revised RPPR, a uniform format for reporting performance progress on Federally-funded research projects and research-related activities.
- Further details about the RPPR can be found on the Research.gov [About Project Reports website](#).

AUTOMATED COMPLIANCE CHECKS FOR NSF-APPROVED FORMATS

- Biographical Sketch and Current and Pending Support documents not in an NSF-approved format will trigger a compliance error and ultimately will prevent proposal submission or completion of the post-award action. This compliance check applies to proposals, Change of PI requests, Add/Change co-PI requests, and relevant RPPR submissions.
- The complete lists of FastLane and Research.gov automated proposal compliance checks effective October 5, 2020, are available on the [Automated Compliance Checking of NSF Proposals website](#).
- Note that automated compliance checks also apply when a proposal file update (PFU) is performed on a proposal. Proposers should be

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aware that if a proposal was previously submitted successfully, a PFU performed on the proposal will be prevented from submission if the proposal does not comply with the compliance checks in effect at the time.

NSF-APPROVED FORMAT UPDATES

Based on feedback from the research community, NSF has enhanced both approved formats, and users are encouraged to use the latest versions. Please see the system-related [FAQs on using SciENcv](#) and the system-related [FAQs on using the NSF fillable PDF](#) for a list of the improvements to each format. In particular, note the permitted use of "et al." for publication citations in the Biographical Sketch when listing multiple authors. Senior personnel who wish to include publications in the products section of the Biographical Sketch that include multiple authors may, at their discretion, choose to list one or more of the authors and then "et al." in lieu of including the complete listing of authors' names.

SCIENCv ENHANCEMENTS

The SciENcv module for creating NSF Biographical Sketch and Current and Pending Support documents were updated prior to October 5, 2020; however, all SciENcv-generated Biographical Sketch and Current and Pending Support PDF documents created on or after April 1, 2020 remain compliant in NSF systems.

Prior to the October 5th requirement to use the NSF-approved format, SciENcv will make a number of enhancements that include:

- ability for users to reorder products and appointments in the Biographical Sketch
- ability for users to edit long author citations imported from ORCID on the Biographical Sketch and add "et al."
- addition of a Current and Pending Support tool tip to provide clarification and guidance on how users should document support under a fiscal year calendar

Please see the system-related [FAQs on using SciENcv](#) for details.

As a reminder, the SciENcv tool integrates with ORCID, enabling users to populate the Biographical Sketch by importing data directly from ORCID records rather than having to manually enter all the required

information. This helps reduce administrative burden associated with the Biographical Sketch preparation process. Additionally, SciENcv allows users to grant access to delegates to assist with maintaining and updating data. SciENcv also offers users a dynamic and more customized PDF. For example, users with fewer Current and Pending Support entries may elect to use SciENcv to generate their Current and Pending Support PDF document since SciENcv will produce a PDF without any blank pages. Conversely, the Current and Pending Support fillable PDF will always be 15 pages regardless of how much data is included.

LATEST NSF FILLABLE PDF VERSION

- Revised NSF fillable PDF formats were released on May 1, 2020; however, the previous versions remain compliant in NSF systems.
- The May 1, 2020 version is indicated by "Revised 05/01/2020" printed on the first page of each form.

ADDITIONAL TRAINING RESOURCES

To learn more about the NSF-approved formats for Biographical Sketch and Current and Pending Support, please view the [NSF PAPPG \(NSF 20-1\) webinar](#) and [NSF-Approved Formats for the Biographical Sketch & Current and Pending Support Sections of NSF Proposals webinar](#).

SciENcv has created the following materials to guide NSF users through the preparation of the NSF documents available in SciENcv:

- [NSF Biographical Sketch Video Tutorial](#)
- [NSF Current and Pending Support Video Tutorial](#)
- [NSF-specific Bookshelf Resource](#) (includes screenshots and step-by-step instructions)

OTHER UPDATES FOR PROPOSERS

A revised NSF Grants.gov Application Guide was published on September 16th and effective October 5, 2020. The Guide will be updated to remove references and instructions for the Research & Related Personal Data Form. NSF will no longer require this form, and this form will no longer be included in NSF's packages effective October 5, 2020.

*Jean Feldman, Head, Policy Office
Division of Institution and Award Support
Office of Budget, Finance & Award Management
Email: policy@nsf.gov*

Did You Know...

... the preferred practice for **logging into BEN Financials** is to always start from the Business Enterprise Network (BEN) site <https://benapps.isc-seo.upenn.edu> which can be bookmarked or reached from the U@Penn portal (<https://www.upenn.edu> > Faculty & Staff) > go to the Business tab > then click on BEN Financials from the "Administrative Systems" section). Bookmarking the BEN Financials login page is not recommended because messages about changes to BEN availability are posted on the BEN site. Trying to reach BEN Financials by searching the internet wide open for "BEN Financials" is not recommended because of firewall issues.

...If you ever need to **re-set your BEN Financials or MarkView/AP Web Inbox passwords**, from the BEN Financials login page click on "Login Assistance" (located under the "Login" and "Cancel" buttons), enter your BEN Financials user name (same as your PennKey name), and an email will be sent to allow you to re-set your BEN Financials and MarkView password. https://www.finance.upenn.edu/sites/default/files/Login_Assistance_Forgot_Username_or_Password.pdf

...**When paying people working outside the U.S.**, Global Support Services, in coordination with other offices across Penn, has developed new guidance for service payments for faculty, staff, postdocs, and students who may be temporarily displaced outside the United States due to COVID-19 for Spring 2021. The Spring guidance has changed significantly from Fall 2020 and should be reviewed thoroughly.

Quarterly Quiz

Instructions: The following questions can be answered based solely on information contained in this issue of **The Bottom Line**.

To participate in the contest, please submit your answers via email to doftraining@pobox.upenn.edu no later than **February 1, 2021**

The Winner will receive a gift certificate for two for the University Club for Fall 2021!

1. Name one validation rule in Workday to prevent common data entry issues?
2. Name one new or newly enhanced report in Workday.
3. When is the next Penn Marketplace Information Session?
4. When is the final day for Purchase Order invoices to be processed by the calendar year-end?
5. Where can you go to see a list of your Invoice Holds?

**Last Quarter's Winner:
Congratulations!
Maureen Goldsmith, PACE
Administrative Coordinator
Secretary, Weekly-Paid Professional Staff
Assembly, FY21
Information Systems and Computing**



BEN KNOWS...

<http://www.finance.upenn.edu/benknows/>

To Check the Status of an eForm:

Go to: <http://www.upenn.edu/computing/da/eforms>

If you are the Initiator/ Submitter:

- Click on the 'My eForms status' link on the left
- The list will show ALL eForms you submitted (BEN Financials, Data Warehouse, etc.)
- Find the eForm you want to review
- Click on the 'Route Log' icon on the right to view the routing history

If you are an Approver:

- Under 'For Supervisor and Administrators' section, click on the 'eForms action list' link
- You can perform a 'doc search' by entering one or more of the following search criteria:
 - Document/ Notification Id
 - End-user's PennKey or Penn ID by using the 'Initiator' field
 - Date range by using the 'Date Created From' and 'Date Created To' fields
 - Once you have entered your search criteria, click on the 'Search' button or [Enter] key
- You can also use the 'eForms action list' to view all eForms you have acted on
 - To determine the current status, look in the 'Route Status' column
 - To determine the action request by you, look in the 'Action Requested' column
 - To view the routing history, click on the 'Route Log' icon located in the last column
- You can also use the 'Outbox' to view all eForms which have been processed to date

NOTE: To view any notes, click on the ID number to view the eForm or month

- Place a check in the 'Save this schedule' box to save your schedule
- Provide a **unique name** for each schedule you save
- Enter a **description** of your schedule
- Click **OK** to return to the 'Submit Request' window
- Click **[Submit]** to save your request and return to the 'Requests' window

For a Non-Marketplace Requisition, when Do I Use "Goods Billed by Quantity" and "Goods or Services Billed by Amount"?

It is important to select the appropriate 'Item Type' when creating a 'Non-Marketplace' requisition. Below are examples of when to use 'Goods Billed by Quantity' and 'Goods or Services Billed by Amount'.

* Item Type: Goods billed by quantity
* Item Description: Basketballs to Penn Varsity Basketball games.
* Category: ATHLETICS.PRODUCTS
Example: RESEARCH.LABORATORY
* Quantity: 10
Example: Enter # of Items
* Unit of Measure: Each
Example: "Each"
* Unit Price: 50
Example: Enter Cost Per UOM

- Select the Item Type '**Goods billed by quantity**' when you ordering items that will be billed by the Supplier using the 'quantity', i.e. 5 of something, 10 of something, etc.
- Select the Item Type '**Goods or services billed by amount**' when you are ordering something that will be billed by the Supplier using the 'amount', i.e. \$500, \$1,000, etc.

For more information, go to the [Financial Training Department](#) website, Documentation page, and click on the 'Requisitioner User Guide'.

