The Bottom Line

FISCAL YEAR 2020 FINANCIAL CLOSING INSTRUCTIONS

> - Detailed Financial Closing Instructions
> - Closing Calendar Quick Reference Guide

Above are the FY20 Financial Closing Instructions and related Quick Reference Guide (QRG). The closing schedule and deadlines include some changes designed to benefit users, so please read the instructions carefully.

HIGHLIGHTED CHANGES

- The adjustment period for ADJ-20 will include two additional days, beyond the typical five workdays, to record manual journal entries {Workday #7 or Friday, July 10}.

- The responsibility center, School/Center Closing Administrator ('SCA'), has been retained within the BEN Financial systems. In conjunction with the Comptroller's department, each organization will once again designate up to two SCAs for the FY20 close. The SCAs will have 3 additional days to record progressively limited manual journal entries to ADJ-19.
  - July 13: corrections & adjustments to all but Grant funds and the UPHS interfund
  - July 14: corrections & adjustments to 0xxxxx funds only (excludes the UPHS interfund)
  - July 15: transfers between 0xxxxx funds only, using only objects codes 4820, 4825, 4839 and 4840.
  - Please note: no interschool/center entries should be recorded unless agreed to by both parties.

- The SCAs will also record the organization's final closing entries by Tuesday, July 21; 5 p.m. The entries must be cleared with your Budget Office contact and provided to the Comptroller's office for posting.

REMINDERS

- The receipt accrual threshold will remain at $10,000. Items that you wish to accrue for less than $10,000 must be done via manual journal entry at your respective school or center level.

- Substantiation for the assets and liabilities carried at the individual school and center level must be maintained, but does not have to be reproduced, nor delivered, to the Comptroller's office. Instead, a high-level summary reconciliation document, referred to as an Object Code Inventory, should be completed, signed and submitted to the Comptroller's office by Tuesday, July 21. For those schools and centers needing refreshers with Object Code Inventories, your Financial Reporting Contacts can guide you through its preparation.

Please review the Closing Instructions and ensure that appropriate plans and actions are implemented within your respective organization to meet the related deadlines.

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Office of the Comptroller

FISCAL YEAR 2020 CLOSING INSTRUCTIONS

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FY2020 Closing Dates – Payroll

Merit Increase via Workday

Refer to FY 2021 Faculty/Staff Salary Increase Program Guidelines for detailed instructions.

Monday, May 4th, 10:00 a.m.	Merit Increase via Workday opens.
Friday, May 29th, 11:59 p.m.	Merit Increase via Workday closes.

FY 2021 Payroll

First weekly payroll for FY 2021 will be for the week ending June 28, 2020.

Annual increases for weekly paid personnel will be effective for the week ending July 5, 2020 and payable on **July 10, 2020**.

Weekly Payroll for the Period Ending June 21, 2020

Monday, June 22nd, 4:00 p.m.	Final FY20 Weekly Payroll Cycle begins. All payroll adjustments for current/prior periods must be submitted.
Wednesday, June 24th, 12:00 p.m. (Noon)	Final FY20 Weekly Payroll Cycle is complete. Any payments or current and/or prior periods will be processed in FY21.

Monthly Payroll for the Period Ending June 30, 2020

Wednesday, June 17th, 4:00 p.m.	Final FY20 Monthly Payroll Cycle begins. All payroll adjustments for current/prior periods must be submitted.
Thursday June 25th, 3:00 p.m.	Final FY20 Monthly Payroll Cycle is complete. Any payments for current and/or prior periods will be processed in FY21.

FY2020 Closing Dates: Accounts Payable*

Friday, June 12th, 5:00 p.m.	Final day to request Final Closing of Purchase Orders in FY 2020.
Friday, June 19th, 5:00 p.m.	Purchase Order invoices to be processed in FY2020.
Friday, June 19th, 5:00 p.m.	Requests to correct and reverse receipts for FY 2020.
Friday, June 19th, 5:00 p.m.	PDA-FC Forms submission deadline.
Tuesday, June 30th, *approved by* 3:00 p.m.**	Non-PO Payment Requests to be recorded in FY20.

** The dates and times listed above are the year-end processing cut-off dates for the Accounts Payable Office.
In order to ensure that your requests are processed before the end of the Fiscal Year,
we are requesting you submit all forms by the dates listed.
Requests submitted after these dates may still be processed before the end of the Fiscal Year; however, due to the increased
volume of requests we receive during this time we cannot guarantee they will be processed.
** Approved in Penn Marketplace*

FISCAL YEAR 2020 GIFT AND PLEDGE DEADLINES

June 30 Gift Date end of year processing:
- **June 30th:** Adjustments - Submit all adjustments for gifts recorded prior to June 30th.
  - ***Special Note:*** *Contact Kate Micklow Harwan if an adjustment request is needed between **July 1st** and **July 10th**.*
- **July 7th at Noon:** Gifts Office will close for fiscal year-end processing
  - Deliver to Gifts Accounting & Administration FY20 gifts (needs June 30th postmark).
  - ***Special Note:*** *Contact Kate Micklow Harwan or your team representative if a gift is received during this time requires immediate attention.*
- **July 10th:** Last day of Gifts close-out. Gifts Office will reopen for deliveries.
- **July 13th:** Begin preliminary reporting.

Given a movement to more corporate standards of reporting timeliness as required by Penn Trustees, the 'mailbox rule*' will apply to GIFT DATE recording for June 30th gift date processing during the month of July.

Gifts will be processed with a June 30th gift date, so long as they are postmarked on or before June 30, 2020. Therefore, it is imperative for you to send fully completed gift transmittals and backup information, including postmarked envelopes, to Gifts Accounting and Administration (GAA) for June 30 gift date processing as quickly as possible.

Notify Jean Suta or Irma Lerma in Securities Gifts (jeanie@upenn.edu) or 8-7254 of any **securities gifts as soon as you are made aware of them**. Securities gifts must be transferred into a Penn brokerage account **by close of business on June 30, 2020** in order to ensure they will be counted on the FY19 financials.

If you have any questions on this information, contact:

Maria Perkins @ 8-8687
Kate Micklow Harwan @ 8-3104 or
Jean Suta @ 8-7254

Gift Agreement Reminder!

In following the guidelines set forth by the University of Pennsylvania to help mitigate the spread of COVID-19 by reducing foot traffic across Penn's campus, the Department of Gift and Investment Services is requesting that you hold onto all hard copies of original gift agreements/intentions, until further notice. This documentation should be stored safely in a fire resistant filing cabinet, if possible. Development Offices across Penn have been instructed to email all gift agreements/intentions to GAAFRONTDESK@LISTS.UPENN.EDU and to FUNDS@LISTS.UPENN.EDU, if creating a new fund. Please share this memo with anyone in your department or school/center DAR office who manages the hard copy distribution of gift agreements/intentions.

IF WORKING REMOTELY DURING CLOSE-OUT PLEASE USE THE FOLLOWING AS A GUIDE FOR DONATIONS/LINKS:

- Online Giving: https://giving.apps.upenn.edu/

  This is the most secure and immediate way to donate to the University of Pennsylvania.

- Wire Transfer: https://www.finance.upenn.edu/cash-management/wire-transfer

- Mailed Checks: Encourage all checks to be mailed to our PNC Bank Processing center. Checks can be processed/deposited without solicitation documents.

  University of Pennsylvania
  Office of the Treasurer
  PO Box 71332
  Philadelphia, PA 19176-9913

- Fund Creation: Forward forms to Funds Team email list: FUNDS@LISTS.UPENN.EDU

- Incoming pledges, journals, transmittals, remote deposit captures (if any) should be forwarded to the GAA Front Desk email: GAAFRONTDESK@LISTS.UPENN.EDU

- Stocks/Securities: https://powerofpenn-wp-uploads.s3.amazonaws.com/uploads/securitytransfer.pdf

  Please email to Jean Suta at jeanie@upenn.edu.

- Development Lockbox Purposes - Bank Testing for Lockbox Solicitations

  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.

  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:
     PNC Firstside Center
     Lockbox Implementations P7-PFSC-02-X
     Attn: Cyndi Sacco, LBX#824949
     500 First Avenue
     Pittsburgh, PA 15219

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

IMPORTANT: CHANGE TO WORK ADDRESSES IN WORKDAY DUE TO REMOTE WORKING

The following is being sent on behalf of Jack Heuer, Vice-President of Human Resources and MaryFrances McCourt, Vice President of Finance and Treasurer

The University continues remote working to address the health and well-being of its employees during the Coronavirus 19 pandemic. As remote work progresses toward 90 days and more, we are now moving forward with making a change in Workday to update work addresses to home to ensure compliance with state and local tax withholding requirements. The good news is that the University has identified a method to make a systemic change to update work address. This systemic change will take the burden off the Schools and Centers to manually make these changes, as we previously thought.

For employees residing outside of Philadelphia who are working remotely, their work address in Workday will be updated to be the same as their primary home address effective June 1, 2020. Work addresses will not be changed for identified groups of individuals in functional areas that cannot perform their job functions remotely, as follows:

- FRES, Business Services, and Public Safety union staff;
- Penn Child Care Center employees;
- Certain ULAR and EHRS employees (identified by the Provost's Office); and
- Certain Ryan Hospital employees (identified by the Vet School)
- Individuals identified as essential employees to HR

No change in work location will be made for students; temporary employees; postdocs; faculty in early retirement; individuals on STD, LTD or scholarly academic leave; or for individuals with a primary home address outside of the U.S.

Note that this change affects pay dates after June 1, 2020. **The change will not be retroactive to March 13, 2020**.

IMPACT TO EMPLOYEES

- **Employees Residing in Pennsylvania**
  - **Non-Philadelphia residents** – will no longer have Philadelphia City Wage tax withheld from their pay but instead will have any local taxes withheld for the tax jurisdiction in which they reside.
  - **Philadelphia residents** – will not have their work location changed as there would be no change to their tax withholding.

- **Employees Residing Outside of Pennsylvania**
  - **Employees who live in reciprocal states** (New Jersey, Ohio, Maryland, Virginia, West Virginia and Indiana)
    - *Who have elected to be taxed in their state of residence instead of the state in which they work (PA)-* will no longer have Philadelphia City Wage Tax withheld from their pay and will instead have any local taxes withheld for the tax jurisdiction in which they reside. Additionally, any credit received against state tax withholding for Philadelphia City Wage Tax withheld will be adjusted for the change in local tax withholding.

    - *Who have NOT elected to be taxed in their state of residence, but are instead taxed in the state in which they work (PA)* – will no longer have Philadelphia City Wage Tax or Pennsylvania state tax withheld, but will instead have state and local tax withheld based on the state and locality of where they reside.
  - **Employees who live in non-reciprocal states** - will no longer have Philadelphia City Wage Tax or Pennsylvania state tax withheld and will instead have state and local tax withheld based on the state and locality of where they reside.

- **Workday Tasks to be Completed by Employee** - For individuals residing outside of Pennsylvania
  - To ensure they are properly taxed, workers should access Workday on June 1 to review and update their tax information. Individuals whose work address has been changed will receive a notice in Workday of a To-Do task "Address Change: Possible Updates Needed to Tax Elections." Workers should click on the "BSI Tax Withholding Form Employee" link and review and complete the appropriate state or local tax forms displayed. Individuals should also click on the "Pick Other Forms" button to determine if additional forms are available to be completed. For additional information, refer to the Self Service: Access Tax Withholding Forms tip sheet.

- **City Wage Tax Refunds**
  - Non-residents of Philadelphia may make a claim directly with the City at the end of the year for Philadelphia City Wage Tax withheld from their pay while they worked outside the City for the period March 13 through May 31, the remote work period prior to the effective date of the work location change. The completed petition form must include the following:
    - W-2 showing Federal, State, Medicare and Local wages
    - Statement of dates worked outside the City of Philadelphia signed by both employee and employer
    - Signatures from both the employee and the employer
  - Any refund claim must be filed within three (3) years from the date the tax was paid or due, whichever date is later.
  - For any days worked outside Philadelphia, the employee may be liable for taxes in other jurisdictions within Pennsylvania or in another state. It is the employee's responsibility to determine whether they have any such liability, to file the appropriate tax forms, and to make any payments due to such other jurisdictions.

If you have any questions, please contact the Employee Solution Center at hcmsolutioncenter@upenn.edu.

Merit Increase and Benefits Open Enrollment Processes in Workday

The benefits open enrollment and merit increase processes were in Workday this year for eligible faculty and staff. A tip sheet and a just-in-time video helped end users complete the enrollment process. A new security role, called staff Merit Planner, entered and submitted eligible staff data directly in Workday and academic merit increases were uploaded using an EIB (Enterprise Interface Builder).

Delivery of Workday 2020, Release 1, on March 7

Workday delivered the first of two semi-annual releases. The Workday@Penn Operations team is rolling out new functionalities and enhancements as analysis and testing are completed. Among the enhancements:

- New tool to help prevent duplicate records when hiring academic workers, postdocs, and temporary workers or contracting contingent workers
- New and improved worker search results in task and report
- Workday-generated email notifications now link directly to the actionable item
- Enhanced view of payslips, including the pdf and the mobile app
- A series of streamlining changes in staff recruiting

Improve How You Manage Your Inbox, Archive, and Grid

Three just-in-time videos demonstrate advanced ways to manage and navigate your inbox, archive, and the grids which display data. Each video is approximately three minutes.

Contact Information for Workers

HR Analysts, HR Partners, and Budget Partners may run two reports that allow a department, center, or school to get worker email addresses and worker emergency contact information. Search for the desired report by name, either **CR-Worker Email Addresses by Organization or Emergency Contacts for Workers by Organization**, in Workday.

Updated Object Code Rules in Workday

Updated guidance on object code rules in Workday is now available. For part-time non-union staff who are less than 87.5% FTE, their overtime straight (similar to their regular hours) will be charged to PT object code 5134 *not* 5112.

Six (6) Week Retroactive Time Notifications to Managers and Timekeepers

Managers and timekeepers now receive Workday notifications if they have non-exempt workers who have **un-approved timesheets for pay periods in the previous six weeks**, excluding the current pay period. Unlike auto-submit and auto approve of timesheets on Mondays for the pay period just ended, adjustments for prior weeks are NOT auto-submitted / auto-approved.

How to Make Successful Retroactive Time Adjustments

You can retroactively adjust a worker's timesheet in Workday to modify time for time blocks that were already submitted, approved and paid in a prior pay period for up to 6 weeks after submission. Submit and get approved changes to time blocks within a single weekly period.

These retroactive adjustments need the full approval process as they do not go through the auto-submit or auto-approval processes in Workday, which are intended for the current pay period.

Providing First-Year PhD Stipends in August

You may now complete a process to pay a PhD stipend in August for educational fellows, pre-doctoral trainees, and research and teaching fellows in their first year. These students must have a hire date in August. The hire and compensation business processes must be successfully completed prior to August payroll close, regardless of the August hire date, for the student to receive compensation. In addition, all workers in Workday are required to complete their I-9 at Onboard@Penn no later than three days after the hire date. This includes foreign nationals who have not yet applied for their Social Security Numbers.

Student Summer Funding: Is Payment through Workday or Accounts Payable?

When processing payments to students this summer, keep in mind the following guidance.

- If the student is receiving funds because they submitted an application or proposal and not all submitters have received funding, process this payment as an award in Accounts Payable.
- If the student is receiving a prize or award, process payment through Accounts Payable.
- If the activity performed using the funds is for the student's personal development/benefit and not to benefit the institution, nor is it for a degree requirement, the payment should be processed through Accounts Payable.
- If the student is required to work and provide services, and no application or proposal was required, then the student should be hired in Workday with the appropriate compensation plan.

Compensation Plan Reminders:

- **Review Compensation End Dates before Close of Fiscal Year**. Necessary to ensure data accuracy, and continued pay, if appropriate.
- **New One-Time Payment for Clothing Allowance Gross Up.** For a complete list of one-time payments

and the descriptions of which are automatically grossed up, see One-Time Payments.

- **Frequency for Exempt Workers: Annual.** Exempt workers (monthly paid) are assigned salary plans, based on either their staff or academic positions, and the frequency must always be **annual**. Allowance plans are a compensation plan type which allows Penn to compensate workers beyond their base pay for additional work activities. These plans are paid monthly, on a recurring basis, and can be awarded and managed through the Request Compensation Change business process. In setting up the allowance plan, please keep the **monthly frequency**; do not indicate an annual frequency.

- **Grant Funding of One-Time Payments.** When entering a one-time payment for work that was previously completed and which should be attributed to a grant fund, your effective date should be in the pay period in which the work for the one-time payment was completed.

- **Costing is Not Retroactively Applied in Period Activity Pay.** When you set a past effective date for period activity pay, the payment will be made retroactively, but the costing will not be retroactively applied; you will need to reallocate.

- **For Graduate Students, Difference between "Additional Work" as a Reason Code, and "Additional Work" as a One Time Payment.** Do not use the one-time payment plan called "additional work" to pay graduate students. For research or teaching, use Period Activity Pay, or add to their Base Pay. For other work, you may use a relevant student one-time payment plan.

- **Weekly scheduled hours of temporary workers, student workers, and work-study student workers**. Verify accuracy to reduce incorrect encumbrances. Calculate the correct scheduled weekly hours using the "calculating encumbrances formula" [pdf] provided by Financial Systems &Training below.

Workday@Penn

Calculating Encumbrances
Based on Budgeted Amount

- Review your budget plan and identify the amount budgeted for this Work-Study position
- Count the number of weeks in the Comp Plan
  - **All** calendar weeks between the start and stop dates

Budget ÷ # of Weeks = $ per Week

$ per Week ÷ Hourly Rate = Weekly Hours

- Enter the 'Weekly Hours' in **Scheduled Weekly Hours** on the Job Requisition

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Penn Division of Finance | MarkView / PO Invoice

New Markview Interface

We are pleased to announce that the new user interface has been successfully rolled out within MarkView. The user interface looks and feels different, but the core functionality remains the same.

Please see below for direct links to the updated documentation found on the Financial Training Department's website.

Quick Reference Guides:

- Managing Holds QRG
- Request Comment QRG

User Guides:

- Invoice Imaging (MarkView) User Guide
- PO Manager User Guide

Please contact BEN Helps if you have any questions or issues. To contact us:

1. Enter a **BEN Helps ticket** (preferred method) - http://BENHelps.finance.upenn.edu - please enter as much information in the ticket as possible and include telephone number you can be reached, if available.

2. Visit **BEN Knows** on our website to browse our knowledge base for an answer to your question - https://www.finance.upenn.edu/ben-knows/ben-knows

3. **Call our Help Line at 215-746-4357** – then option 1 for BEN Financials and the Penn Marketplace, and then option 1 again for BEN Financials, then enter your 2 digit School/Center #.

   a. If your School/Center is locally supported you will be forwarded to the applicable person in your School/Center.
   b. If your School/Center is centrally supported – **please leave a message.** We will be responding to voicemails as they come in - so please leave your name, phone number, and summary of the issue.

Thanks,
Financial Systems & Training

Department of Cash Management
Remote Deposit Options

With most University departments now working remotely in some capacity, we wanted to provide the current procedures for depositing cash and checks on campus as well as alternative options for depositing cash and checks remotely.

FIRST, MOVE TO ELECTRONIC PAYMENT METHODS WHENEVER POSSIBLE

In order to decrease physical handling of cash and checks by any University staff member, we highly encourage departments to start requesting incoming payments electronically.

For account details needed for incoming payments, please reach out to Cash Management.

To ensure your incoming payment gets posted correctly, please send an email to dofcashmgmt@pobox.upenn.edu with 1) the amount you are expecting, 2) the sender's name and 3) where you'd like it posted. Although we request senders put that information in the reference area, they don't always include it.

DEPOSITING CASH AND CHECKS ON CAMPUS

A member of the Cash Management team will be on campus on Wednesdays (or the last day of the month) in order to process any deposits that have been placed in the Franklin Building **CASH MANAGEMENT** drop box. We will continue to update you if these procedures change. The Smart Safe is still able to accept cash deposits. The deposit area is open Monday – Friday between 8:30 a.m. and 5:30 p.m.

NEW! If you are on campus and plan to drop off cash or checks during this quarantine period, please notify Cash Management so we can provide you with access to the Franklin Building. The building is currently restricted to essential Franklin Building personnel, however access can be provided to depositors.

DEPOSITING CASH AND CHECKS REMOTELY

1. **Deposit cash and/or checks via teller at your local Wells Fargo branch location**

   After creating a BEN deposit, depositors can take cash or checks to a local Wells Fargo branch for deposit. Funds should be deposited into the University account number ending in -2644. (Contact Cash Management for full account number, if needed). When making the deposit, be sure to write your BEN deposit tracking number on the deposit slip AND the receipt the bank gives you. Then email a scanned copy or picture of the deposit receipt to dofcashmgmt@pobox.upenn.edu. Please include the BEN Deposits tracking number in the body of the email. A pdf of the deposit ticket can be attached to the email but is not required.

   Subject line of email should read: ORG# / Branch deposit – Deposit Date

Certain Wells Fargo branches are temporarily closed, including the University City branch at 3550 Market Street. You can visit https://www.wellsfargo.com/locator/ to ensure your local branch is open or find one that is open.

2. **Deposit cash and/or checks at a Wells Fargo ATM**

   Depositors can take cash or checks to a local Wells Fargo branch and deposit via the ATM using an ATM Deposit Only Card. A BEN deposits ticket is not necessary for this option. Departments can provide the GL account string that they would like their funds deposited to, but all funds will be deposited into this account. We are unable to allocate funds to different account strings using this method.

   If you are interested in this option, please call or email Cash Management and we will have an ATM card mailed out to you as soon as possible. The ATM card works as a DEPOSIT ONLY card. Funds cannot be withdrawn using this card.

3. **Mobile Desktop Deposit via Smart Phone**

   Checks can be deposited remotely using a mobile phone and the Wells Fargo CEO app. Simply download the Wells Fargo CEO app to your mobile phone, log in using your CEO login information and select Desktop Deposit from the menu. This service is limited to one check per deposit, however multiple deposits can be created each day.

   - **EXISTING Desktop Deposit Users**

     Existing users can begin using the mobile deposit service at their convenience. Once you log into the app, you should see Desktop Deposit on your menu and it will walk you through making a deposit. Deposits will hit your GL account the same as they would if you were depositing with the desktop scanner.

   - **NEW Desktop Deposit Users**

     Departments interested in using Mobile Desktop Deposit should contact Cash Management in order to receive access to the Desktop Deposit module.

     We are continuing to work with Wells Fargo on additional remote options and will update this as they become available. As always, please reach out to Cash Management via email or phone (215-898-7256) if you have any questions or need help working through one of the solutions above.

EMAILING PO INVOICES

Due to the extension of remote work, we have temporarily allowed departments to email their PO invoices directly to the Accounts Payable email box. Our preference is still to have suppliers email them directly to Accounts Payable, however we understand that there are exceptions and there is a need to have flexibility. Please ensure that you follow the instructions below to avoid rejections.

Email should be sent to poinv@upenn.edu in the following format:

- PDF format only. Provide one PDF file per invoice. Number of files in an email is unlimited.

- PO number and invoice number need to be included on the invoice. It should not be included in the email. AP will not see the email, only the invoice.

This email address is not to be used for inquiries. Any inquiries should be directed to our helpdesk at dofapsupp@pobox.upenn.edu.

PAPER PO INVOICES

We are in the office every 2 weeks scanning mailed paper PO invoices into Markview.

CHECK RUNS

We are processing check payments every 2 weeks and paying forward approximately 30 days. We are recommending suppliers register and sign up for ePayables or ACH.

Remote Wells Fargo check printing/mailing has been tested and is available to us. We have kicked off a project with Wells Fargo to work on including remittance information with these remote checks. We are expecting to have this in production by the end of Q1 FY21.

WILL CALLS

Every 2 weeks we will process Will Call checks. Our preference is for departments to not request Will Calls at this time and allow checks to be sent directly to the suppliers. We set up a process with Penn Global to manage Homeland Security checks.

If you have an urgent will call request need, please contact reneenow@upenn.edu.

HELP DESK

Please forward your requests on the following topics to our AP help desk.

(dofapsupp@pobox.upenn.edu).

- Final PO closes

- Void and reissues

- Inquiries

Accounts Payable FY20 Year-End Processing Cut-Off Dates*

Friday, June 12, 5:00 p.m.

- Final day to request Final Closing of Purchase Orders in FY20

Friday, June 19, 5:00 p.m.

- Purchase order invoices to be processed in FY 2020

- Requests to correct and reverse receipts for FY 2020

- PDA-FC Forms submission deadline

Tuesday, June 30, Approved by 3 p.m.**

- Non-PO Payment Requests to be recorded in FY 2020

*To ensure that your requests are processed before the end of the fiscal year, we are requesting you submit all forms by the dates and times listed. Requests submitted after these dates may still be processed before the end of the fiscal year; however, due to the increased volume of requests we receive during this time, we cannot guarantee they will be processed.

**Approved in the Penn Marketplace

PDA-FC FORMS

We are currently looking to automate this form in the Penn Marketplace in Q1 FY 2021. Further information will follow.

On March 17, 2020, Treasury Secretary Stephen Mnuchin announced that the April 15 **deadline to pay taxes owed has been pushed back to July 15, 2020**. Penalties and interest during this time will be waived.

On March 20, 2020, Secretary Mnuchin announced that the April 15 **filing deadline has also been pushed back to July 15, 2020.** For additional information please visit the IRS website.

On March 21, 2020, the Commonwealth of Pennsylvania announced that the deadline for filing state income tax returns was also extended to July 15, 2020. Penalties and interest on 2019 personal income tax payments will be waived through the new deadline of July 15.

Other states, such as California and Maryland, have also extended state tax return filing deadlines for residents. We are unaware at this time whether any similar taxpayer relief will be granted in New Jersey or Delaware. We will provide more detail when it becomes available.

The Office of Corporate Tax, Compliance and Payroll is continuing to monitor these developments at both the federal and state level and will post updated information on our website as more is provided.

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

New COVID-19 Program Value

Sent on behalf of the University Office of Budget Planning & Analysis

Given the recent developments related to COVID-19, we have established a Program Code in BEN Financials in order to track financial activity directly related to this disease. Please note that we had originally requested you place this activity in a CREF, but due to the need to provide external reporting, we have decided to utilize a Program Value.

Program #: CV19

Description (Short): COVID-19 PANDEMIC

Description (Long): COVID-19 Pandemic

It is our expectation that you use this Program # in BEN Financials and for your budgets in Planning so that we can more effectively monitor, track, plan, and report on COVID-19 related financial activity across the University. This should be used going forward in your planning and, if possible, please reallocate relevant FY20 activity to this code.

We have created a COVID-19 Program Code FAQ document to assist with using the new code.

https://budget.upenn.edu/wp-content/uploads/CV19ProgramCodeGuidance.pdf

Please keep in mind that (1) this is a guide for proper utilization of the new code, (2) this guidance may change periodically, so pay attention to the "last updated" date in the header, and (3) consistent use of this code will help us to utilize the FY20 Forecast and FY21 Budget as a reporting source.

We appreciate all that you are doing to assist your schools and centers with financial planning related to this disease.

Please let us know if you have any questions.

Payroll Reallocation News

Sent on behalf of Financial Systems and Training

NEGATIVE SUSPENSE

The Payroll Reallocations Application has been updated to allow you to enter a regular reallocation directly against a payroll record with negative suspense. You are now able to move the credit off of the payroll suspense object code (9501) and onto the object code which Workday originally tried to use. This regular reallocation should post each night Monday-Saturday, and the "Costing Allocation Suspense" message should drop off afterwards.

Please note that you are still unable to submit reallocations on negative amounts in non-suspense payroll records. If there is a credit amount in an account other than objcd 9501, the only way to clear this negative balance via the Payroll Reallocations Application is to move the same amount off of another account in the same PPE with the same Earning Type onto the 26-digit account which is reporting a net negative, so that after the reallocation posts, the new debit offsets the old credit and the account now nets to $0.00.

RESTRICTED REALLOCATION REQUEST (RRR)

Any payroll reallocation which is not changing object codes and which is not on a closed Effort Period no longer needs to be submitted as a Restricted Reallocation Request (RRR) simply because the original payroll is older than 12 months.

If someone wishes to reallocate payroll from Jul-18 onward, and the object code isn't changing and the pay is not on a closed Effort Report, the reallocation should be a regular reallocation, not an RRR.

PennERA Upgrade

— The PennERA Team

The PennERA team is pleased to announce that a significant upgrade to Penn's Electronic Research Administration system was successfully completed on April 19, 2020. The upgrade was required to effectively respond to current and future business needs and brings improved functionality to users. Enhancements include an updated user interface, a new user access and routing assignment module, and an improved Proposal Development budget tool, among other functionality. For more information, visit the newly redesigned PennERA website at https://www.pennera.upenn.edu.

UPGRADE FAQs

Q: I'm having issues logging into the system since the upgrade. What might be the cause?

A: Before logging into the system for the first time after the upgrade, please clear your browser's cache and cookies. Also check the Desktop Requirements page on the website to ensure you are using a supported browser: https://researchservices.upenn.edu/areas-of-service/pennera/requesting-help/. If you continue to have issues logging in, please contact the Help Desk at PennERAhelp@lists.upenn.edu.

Q: I'm using Remote Desktop and think I'm having connectivity issues. What should I do?

A: Try logging into PennERA directly from the browser on your local computer. This may also help if you logged into a networked computer via VPN.

Q: Where are the Module Access forms?

A: Module access and routing requests are now made from within the PennERA application. Users should log in with their PennKey and password and then navigate to *Module Access & Routing*. See the quick reference guides at https://researchservices.upenn.edu/areas-of-service/pennera/access-and-forms/.

Q: How do I find my Supervisor on the Module Access screen?

A: PennERA now has predictive search in many areas. Begin typing your Supervisor's name and wait for the results to load.

Q: I can't locate an existing Penn person. Is it OK to create a new profile?

A: Please do not create new profiles for existing Penn personnel. Contact PennERAhelp@lists.upenn.edu so they can troubleshoot why the name can't be located.

Q: When do I have to use FORMS-F for NIH submissions?

A: Use FORMS-F for NIH submissions with a deadline date of May 25, 2020 or later.

Q: Is "SubAward" the same as "SubContract"?

A: Yes, the new version of PennERA has a terminology change. "SubAward" replaces "SubContract" or "Consortium".

Q: I searched but can't find a SubAward entity. Can I use a placeholder?

A: No. Never use a placeholder for a SubAwardee. Please contact PennERAhelp@lists.upenn.edu for assistance.

Q: Where should I use child records?

A: Use child records for all supplemental and modification-type submissions, as well as noncompeting continuations.

Q: What should I do if the F&A calculation is wrong or missing in the record?

A: Contact PennERAhelp@lists.upenn.edu, as there could be several possible explanations, but please do not make manual adjustments until discussing with them.

Q: Where can I find the upgrade demo presentation?

A: The slides are located on the PennERA website at https://researchservices.upenn.edu/document/pennera-upgrade-demo-presentation/.

END-USER SUPPORT AND REFERENCE MATERIALS

For questions or assistance, please consult the following resources:

- 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/. Key upgrade materials include:
    - PennERA Upgrade Demo Presentation
    - PennERA Access and Routing Module – Create Guide
    - PennERA Access and Routing Module – Reviewer Guide
    - PennERA v15 Personnel and Budget Overview Instructions
    - PennERA v15 Upgrade Package
    - Converting Existing PD Records to NIH FORMS-F
- E-mail – If you have any questions, please send an e-mail to pennerahelp@lists.upenn.edu.
- Web – For general information on PennERA, please visit the website at https://www.pennera.upenn.edu/.

Effort Reporting News

Penn ORS
Office of Research Services

UPCOMING CHANGE WITH SPRING 2020 REPORTING PERIOD (063020):

For schools with 9-month faculty appointments and summer pay, summer payments will be incorporated into the regular effort reporting process according to the pay period end date. June 2020 payments will fold into Spring 2020 effort reports and July and August payments will be reported on Fall 2020 effort reports. Please prepare accordingly.

OTHER RECENT CHANGES/REMINDERS:

1. Effort reporting for weekly-paid employees has been eliminated beginning with the Fall 2019 reporting period since all weekly-paid employees are required to submit timesheets through Workday beginning July 1, 2019. Managers and department timekeepers should make sure to approve these timesheets in Workday.

2. Payments to individuals on non-service fellowship object codes are not considered "effort" and therefore do not appear on effort reports. These are:
   - Object Code 5043 Post Doctoral Fellow
   - Object Code 5045 Pre Doctoral Fellow
   - Object Code 5046 Educational Fellowship Recipient

   These object codes are for individuals on training grants or recipients of fellowships where the payment is a stipend for which there is no service required.

3. Effort forms must be reviewed and re-certified if payroll reallocations are completed after the initial reporting period closes. As a best practice, prereview and certification must be completed within a reasonable time from the date the effort report is re-generated for payroll reallocations.

   DHHS over-salary-cap cost sharing on applicable effort forms must be recorded during PreReview in the "Cost Sharing" column in the effort from. ORS will continue to monitor the reporting of over-salary-cap cost share, where required.

POLICY REMINDER:

PER SPONSORED PROJECTS POLICY #2114.

The effort form must represent, in percentages totaling 100%, a reasonable estimate of an employee's University compensated effort for the period. **Faculty must certify their own individual effort report form. Effort reports for other employees in 1.a and 1.c must be completed and certified either by the employee, the principal investigator (PI), or a responsible official (business administrator or chairperson) using a suitable means of verification that the reported effort was expended.**

Additional effort reporting resources and reference materials:

https://researchservices.upenn.edu/systems/effort-reporting-system/

Effort Reporting Period	Description	Start Date	End Date	Date Forms are Available	Closing Date / Due Date
063020	Spring Semester	01/01/20	06/30/20	08/03/20	10/02/20
123120	Fall Semester	07/01/20	12/31/20	02/01/21	04/02/21
063021	Spring Semester	01/01/21	06/30/21	TBD	TBD

The Office of Research Services Launched a New Website

You can now find us online at https://researchservices.upenn.edu.

The new website allows you to browse content easily by ORS area of service, find relevant policies and data for proposals, access ORS and University systems, and identify your assigned school/department contacts. There is also have a section dedicated to information related to the ongoing COVID-19 emergency, which we will be updating regularly. Please use this site to find information about specific sponsor guidance. There are also links to other useful resources as we navigate through these times.

If you've bookmarked links to the old website, it will redirect to our new homepage.

Many thanks to the staff in ORS, the Office of the Vice Provost for Research, and Division of Finance for their work on this project.
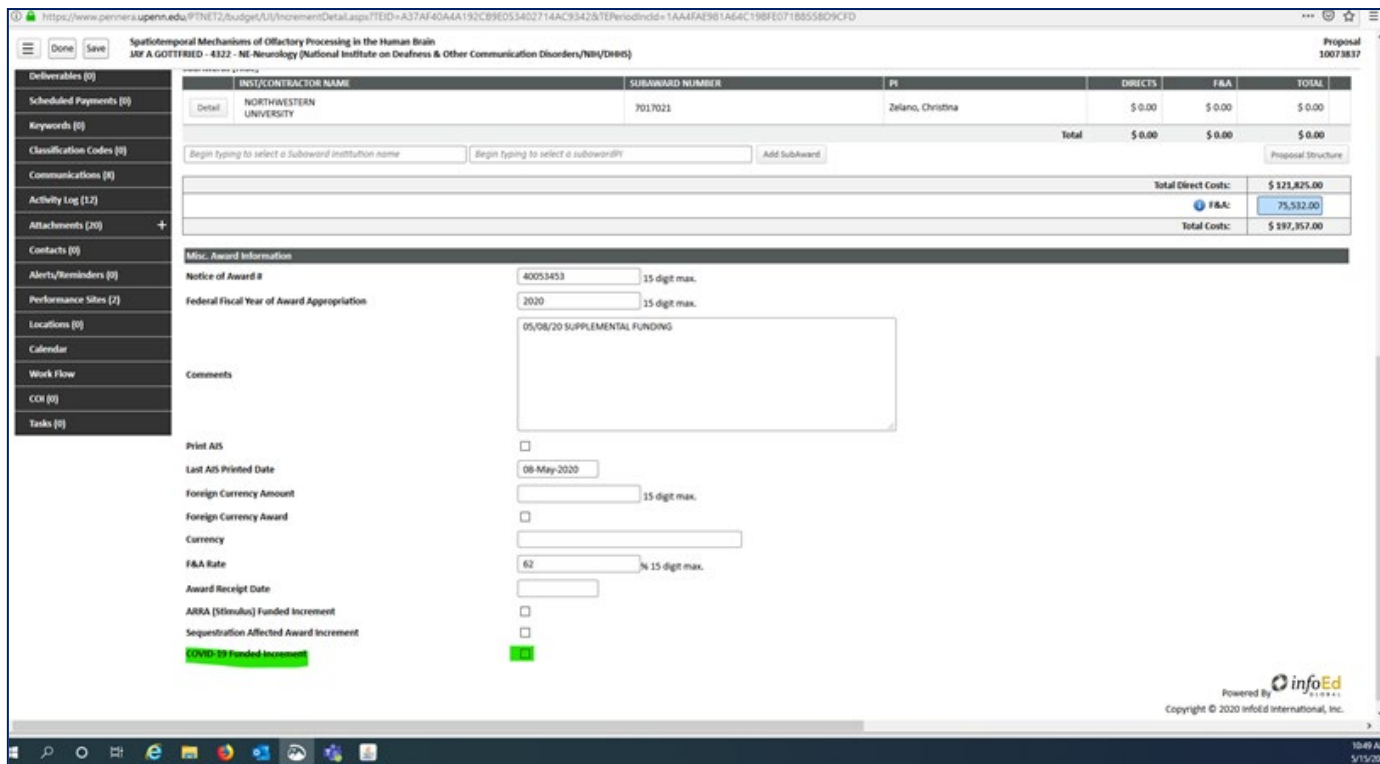
If you have any questions about the new site, please contact Keith Dixon, Director of Research Operations and Cash Management, at kdixon@upenn.edu.

When should I use the CV19 program code for sponsored research activity?

- **On Existing Grants:**
  - CV19 should be used for extraordinary expenses resulting from the suspension and resumption of research operations activity due to COVID-19.
    - Sub-Account worksheet should be submitted to ORS that includes the new Program Code Value CV19 to request a new account number to be created.
    - This will ensure that the Indirect cost and Revenue activity will posted to the correct 26 digit account number in the University's Financial System and that the account number will be available in downstream systems such as Polaris. The dollar amount assigned to the new account # can be 0.00
      - If the new account # is not created indirect costs and revenue activity will be posted to Program Code: 0000 and CREF 0000
  - For Supplemental funding on an existing projects a new FUND # is not required unless there is specific reason such as a different indirect cost rate assigned to the supplemental dollars.
    - The Supplemental dollars will be flagged on the PennERA increment detail screen as a COVID-19 Funded Increment (this information is be available in the PennERA Data Warehouse Universe for reporting purposes)

Note: These funds might be restricted for COVID-19 purposes. Balances at this level would not be available to the parent grant if restricted.

- For Supplemental funding The ORS Operations group will create a new account number in PennERA includes the new Program Code Value CV19.
  - This will ensure that the supplemental dollars are associated with an account number that includes the CV19 program code value
  - The RESP ORG for the project should ensure that the award is mapped to the CV19 program code. The ORS Operations does not create the new account # the then the account number needs to be request via email list RS-AWARD@LISTS.UPENN.EDU.

- **New Grants:**

  o COVID-19-associated research should reference the CV19 program code on the PennERA transmittal form. ORS will use this code when creating the account number values for the project. These grants will use CV19 to record both revenue and expense. For projects that recognize revenue based on expense activity (COST), the revenue activity would follow the account number used to record the expense. This is the standard process used in BBR/BEN to record revenue. For projects/AWARD that recognize revenue based on Milestones (EVENT), ORS will use CV19 when updating the BBR Event Schedule used to record revenue

  o The dollars will be flagged on the PennERA increment detail screen as a COVID-19 Funded Increment (this information is be available in the PennERA Data Warehouse Universe for reporting purposes)

Any questions can be directed to Keith Dixon at kdixon@upenn.edu.

For proposal **due dates on or after May 25, 2020,** NIH and AHRQ require the use of application packages with a Competition ID of **'FORMS-F'.** Be sure to check out the PennERA FORMS-F Quick Reference Guide. PennERA Proposal Development - Converting to NIH Forms-F.

The big changes are:

1) PHS 398 Cover Page Supplement: **New Fetal Tissue Section** on the PHS 398 Cover Page Supplement with two additional attachments if yes to Human Fetal Tissue question.

2) PHS Human Subjects/Clinical Trials Information form: "**Inclusion of Individuals Across the Lifespan**" and "**Inclusion of Women and Minorities**" are now two separate attachments.

3) PHS Assignment Request form: Added "**Rationale for assignment suggestions**" text box and removed the "Do not Assign to Awarding Components" and "Do not assign to Study Sections" fields.

Career Development and Fellowship Type Apps Only:

4) There is a new attachment for Career Development and Fellowship Supplemental forms: "Description of Candidate's Contribution to Program Goals."

The new FORMS-F Parent R01 FOAs were released on 5/5/2020 and are listed as follows:

- PA-20-185: https://grants.nih.gov/grants/guide/pa-files/PA-20-185.html - Parent R01 Clinical Trial NOT Allowed
- PA-20-184: https://grants.nih.gov/grants/guide/pa-files/PA-20-184.html - Parent R01 Basic Experimental Studies with Humans Required
- PA-20-183: https://grants.nih.gov/grants/guide/pa-files/PA-20-183.html - Parent R01 Clinical Trial Required

As you develop future proposals make sure that you are looking at the Forms F version of the Application Guide: https://grants.nih.gov/grants/how-to-apply-application-guide.html

Please email your ORS Pre-Award contact. The ORS Team Directory can be found at: https://researchservices.upenn.edu/about-ors/team-directory/.

Application Form Instructions
Need help selecting the right instructions?

Application Instructions	Description	SF424 (R&R) - Version E	SF424 (R&R) - Version F
G General Instructions	Comprehensive guidance for research, training, fellowship, career development, multi-project, and small business applications	HTML / PDF	HTML / PDF
Filtered Application Instructions			
R Research Instructions	Guidance for research only	PDF	PDF
K Career Development Instructions	Guidance for career development only	PDF	PDF
T Training Instructions	Guidance for training only	PDF	PDF
F Fellowship Instructions	Guidance for fellowship only	PDF	PDF
M Multi-Project Instructions	Guidance for multi-project only	PDF	PDF
B SBIR/STTR Instructions	Guidance for small business only	PDF	PDF

Call for nominations are now open for Penn's Green Purchasing Awards. Now in its sixth year, the program is held in conjunction with the Environmental Sustainability Advisory Committee (ESAC) Purchasing Subcommittee and Penn Sustainability. This award recognizes the leading actions of any individual or team that advances the development of sustainable purchasing practices at Penn. This award program is a chance to spotlight those who are championing sustainability across campus, as well as to celebrate projects that are contributing to a more sustainable future. Click here to view the past recipients of the award -- some of these achievements may inspire you to submit your colleagues' work for consideration.

Visit the Green Purchasing Award web page to review the nomination guidelines and information about the submittal process. Nominations will remain open until Friday, July 31, 2020. Results from this year's nominations will be announced in the fall.

- Penn Purchasing Services

QUARTERLY QUOTE

Remember not only to say the right thing in the right place, but far more difficult still, to leave unsaid the wrong thing at the tempting moment.

– Benjamin Franklin

H-1B PROCEDURES FOR DEPARTMENT REPRESENTATIVES

As campus is currently closed, we have been updating our process to ensure that the University of Pennsylvania remains in compliance with applicable regulations while at the same time allowing us to continue processing nonimmigrant petitions in a remote environment. In that spirit, we have updated our notice of filing process to be entirely electronic. You may remember that an integral step in H-1B processing required the hiring department to post notice of the hiring at the physical work location. We have changed this process so that we now have a digital notice of filing website, which satisfies the requirement that all potentially affected employees are notified of the H-1B hiring. There is also a link on central HR's website to our notice of filing page. Please note that:

- The department contact no longer needs to take any steps to satisfy the notice requirement, but you will be notified by email once the notice is digitally posted.
- Receipt of this email would be a good time to submit check request to accounts payable as Non-PO Payment Requests through the Penn Marketplace if you have not done so already. As a reminder, our new check process is outlined for you here (Tip: scroll down), as well as on the H-1B required documents checklist which is generated when a new H-1B case is opened in iPenn. **Please remember to enter the employee's first and last name and item into the "brief description of payment" box so that we can identify which case the check belongs.**

As a reminder, submitting an H-1B petition to United States Citizenship and Immigration Services (USCIS) is an indication that a formal offer of employment has been made to the potential employee. With the University in the midst of a hiring freeze (per University Email Notification sent on April 13, 2020, titled A Message on Summer Programming and Budget Considerations for Fiscal Year 2021), we ask that H-1B requests for new employment -- either initial employment or transferring an H-1B employee from another institution -- **include proof that an exception to the hiring freeze has been approved by Human Resources or Faculty Affairs. Proof can be as simple as an email from Human Resources Recruitment confirming that the hire has been approved.**

We ask you to avoid the ISSS general email inbox (isss@pobox.upenn.edu), especially if your inquiry is of an urgent nature, as it is being inundated with requests and questions, many of which are complex and difficult to answer through email. In that spirit, please email the adviser assigned to the case for case-specific questions. For permanent residence or O-1 Extraordinary Ability initial reviews, please contact Aaron Fuccello, Associate Director, so that the case can be assigned and opened in the most efficient manner. Also, you can schedule an advising meeting with one of our advisers in iPenn. These digital advising sessions are a great way to go over complex questions about specific cases or more general processing questions.

Although we are doing our best to respond to inquiries, please understand that response times may be delayed in the current environment. We are receiving questions and inquiries from students, scholars, and hiring departments at an unprecedented volume because of the current pandemic and its impact on immigration and travel. Your patience is greatly appreciated during this difficult time.

QUARTERLY QUIZ

Instructions: To participate in the contest, please submit your answers to the questions at the right, found in this issue of *The Bottom Line*, via email to doftraining@pobox.upenn.edu no later than **August 1, 2020**

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

Last Quarter's Winner – Congrats!

Stanley Drake
Residential and Hospitality Services
Associate Director – Audit and Vendor Compliance

1. What is the FY20 closing date and time for a Non-PO Payment Requests?
2. What is the effective date for the Work Address change?
3. On the Closing Schedule QRG, what is the last day to process all ADJ-20 manual JEs directly to the ADJ-20?
4. How do you calculate the encumbrance formula in Workday?
5. How do you resolve a 'Quantity Receipt Hold' to approve an invoice payment?
6. Which department has a new website?

BEN Knows - ALL ABOUT PURCHASE ORDERS

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

PO STATUS REVIEW

Click on the link below to see all of the PO's statuses and depending on the status, whether or not a receipt or an invoice can be entered.

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

RESOLVING HOLDS

Reminder - All PO Managers are responsible for resolving their Invoice Holds. This includes those PO's they have approved for a Requisitioner.

REJECTED VS. CANCELLING PO'S

Rejected Purchase Order
Please click on the link below for the specific scenarios for how to handle a 'rejected' PO:
- Scenario #1: PO has been rejected back to the Buyer with a change other than to the Original GL Account
- Scenario #2: PO has been rejected back to the Buyer and a change is required to the Original GL Account or PO is no longer needed.

Cancelling a Purchase Order
- Only 'approved' purchase Orders can be Cancelled, i.e. not 'in process'
- The PO must not have been 'invoiced' or 'receipted' in the system
- To cancel a PO:
  o Go into the **PO Manager Responsibility**
  o Choose **Purchase Orders>View/Control PO**
  o Enter the PO # and click on [Find]
  o Select **Tools>Control** from the top menu
  o Select **Cancel PO**
  o Enter the **reason** the cancellation is required and a **note to the Supplier**
  o Click **[OK]**

  Important Note! To confirm the PO has been 'cancelled', please re-query the PO. DO NOT click on Tools/Control again as this locks the record.

POs OVER $10,000

- All purchase orders over $10,000 must be receipted via the Requisitioner or PO Manager responsibilities.

- Please be sure to enter the receipt *after* receiving the goods/services.

- Do not 'Express' receive the PO if all of the goods/services have not been received.

FINALLY CLOSING POs

If a purchase order has been fully executed, i.e.
- All goods and/or services were received
- All invoices entered and holds resolved
- All checks issued to the Supplier

and the purchase order still has a remaining encumbrance balance, this PO is a candidate for a request to be 'finally closed'.
Send an email to 'finally close' a PO to Accounts Payable and include the following details:
- PO Number
- Buyer Name
- Supplier Name
- Reason for requesting to final close the PO

REMINDER FOR BUDGET JOURNALS

Posted Budget Journals cannot be marked to reverse in BEN Financials. To correct a posted Budget Journal a new Budget Journal must be created with the Debits and Credits reversed.

DID YOU KNOW...

... All of Financial Training Department's instructor-led training classes are being delivered via a 'virtual classroom. Full course descriptions, including all pre-requisites, can be found at Financial Training on the **Courses** tab. The upcoming schedule can be found on the FTD Training Calendar and course registration is via Knowledge Link. Please direct any questions to doftraining@pobox.upenn.edu.

... Although the traditional **Models of Excellence** ceremony could not take place this spring, the University of Pennsylvania invites the entire Penn community to take a moment to celebrate the 2020 honorees by viewing a commemorative video.
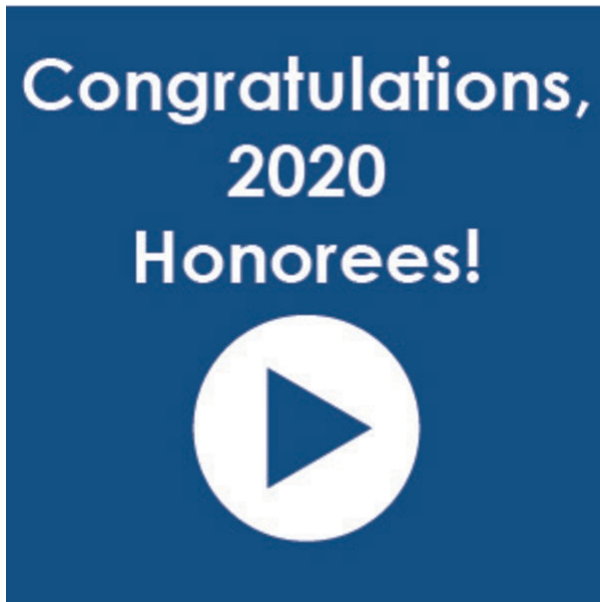
Learn more about the contributions of the 2020 Models of Excellence program honorees by downloading an electronic copy of the special 2020 Models of Excellence keepsake book.

Please join the Models of Excellence team in congratulating this year's honorees. Near and far, the Penn community is grateful for your service to the University's mission in education, research, and public service.

Amendment to Tuition Assistance for New Faculty and Staff

The University of Pennsylvania strives to make improvements to the Tuition Benefit program in ways that will better serve the academic needs of faculty and staff, and their dependents. Penn has approved an amendment to the Tuition Assistance for Faculty and Staff policy, changing the timeframe in which newly-hired faculty and staff can begin using the tuition benefit.

Effective July 2, 2020, Penn will institute a six-month waiting period for newly-hired faculty and staff to use the tuition benefit for themselves. Rather than becoming eligible for the benefit immediately upon hire, new staff will now be required to work in their position for six months before qualifying for tuition assistance.

This policy update is intended to give faculty and staff a better balance of work and academic pursuits, as well as adequate time to focus on their position, get acclimated to their role, and to complete their introductory period. It also brings Penn in greater alignment with our peer institution's tuition benefit programs, and with the University's other tuition benefit plans, all which require a reasonable waiting period.

Under the revised policy, the end date of the waiting period will determine the staff member's tuition eligibility date. The tuition eligibility date will then determine the term for which the staff member can begin requesting tuition benefits. This process is similar to the function of other tuition benefit policies at Penn.

Penn takes great pride in providing an exceptional tuition benefit program that serves faculty and staff, and their dependents. We appreciate your support of our efforts and your cooperation in helping us make this change.

Please review the updated Tuition Assistance for Faculty and Staff policy and share it with your colleagues. If you have questions about the policy, please call the Penn Employee Solution Center at 215-898-7372 or email tuition@hr.upenn.edu.

The Division of Human Resources