

Office of Research Services -- Research Administration News --

Special Interest Articles:

- **NEW!**
Great New Tool for info on Research Administration – Check out the Office of Research Integrity and Compliance's new website -- See page 3
- Questions about the new AIS's?-- See page 4
- Proper closeout procedures for NIH Grants – See page 4

Individual Highlights:

NIH News	4&6
FAQ's	4
Training	5
ORS Staff List	7

SPIN Plus Released to Penn Community

The PennERA (Electronic Research Administration) Team is pleased to announce that SPIN Plus was migrated to an onsite Penn server on March 8, 2004. SPIN Plus is a comprehensive, web-based service that provides the most current information on available funding opportunities (national and international) for research projects. SPIN Plus is not just limited to scientific opportunities; there are listings for many disciplines including education, nursing, and social work among others.

SPIN Plus is now available to anyone at Penn (students, staff, faculty) who has a valid PennKey and PennKey password. Prior to migration to an onsite server, Penn users could only access SPIN from a computer on campus (with a Penn IP address). Because of PennKey authentication, users can now authenticate from off campus and enjoy anywhere, anytime access to the SPIN Plus system.

SPIN Plus at-a-glance

SPIN Plus consists of three modules:

- SPIN—An up-to-date listing of funding opportunities from national and international governmental and private funding sources.
- GENIUS—A searchable expertise profile system that contains profiles and/or full *curriculum vitae* of investigators. Investigators can choose to make their profiles public (the default is private). These profiles can be used by SMARTS and will also be used during later phases of PennERA (Protocol and Proposal Development).
- SMARTS—A system that matches GENIUS profiles with the SPIN funding opportunities and automatically delivers daily updates via e-mail.

SPIN Plus access

To access SPIN Plus, users need a valid PennKey and PennKey password. The PennKey and PennKey password replace the username and password in the old SPIN system.

If you need to get a PennKey, or have a PennKey but forgot your password and need to reset it, visit the PennKey web site for instructions at <http://www.upenn.edu/computing/pennkey/>. Once you have your PennKey and PennKey password, you may access the system with a standard web browser at <http://www.pennera.upenn.edu/>

Users should access SPIN Plus via a Penn-supported web browser. For information on Penn-supported web browsers, see the Supported Products page at <http://www.upenn.edu/computing/product/>.

Note: If you do not get prompted for a PennKey and PennKey password, go to your browser's preferences or internet options and make sure your browser's cache is set to update "every time the page" (Netscape) or "every visit to the page" (Internet Explorer).

SPIN Plus reference and learning materials

Online reference materials, including a tutorial, frequently asked questions (FAQs), and a quick reference guide, are available from within the SPIN Plus application.

Recap of PennERA activity

With the release of SPIN Plus, the PennERA Team nears the end of Phase I of the PennERA project. Following are activities and implementations that have occurred over the last several months:

- SPIN Plus implemented in March 2004
- Human Subjects and Lab Animal Protocol Tracking modules implemented in ORA in November 2003
- Proposal Tracking module implemented in ORS in October 2003
- PennERA Proposals Data Warehouse collection implemented in October 2003
- AIS form redesigned in October 2003
- Effort Reporting Analysis completed fall 2003
- Conversion of "Sponsor" names to new standard format in August 2003
- Human Subjects Adverse Events Reporting System (PennAEs) implemented in November 2002

What's next

Following is an overview of next steps for the PennERA project:

- Automating entry of special budget values from PennERA into BEN Financials
- Addressing discrepancy in some Proposal Tracking data (such as dates and statuses)
- Revising and improving the Proposal Transmittal Form and Cost Share Form
- Defining a process to accommodate non-faculty physician-sponsored regulatory protocols
- Developing modification to use "online directory addresses" as prime addresses for research correspondence, when available
- Upgrading the PennERA web site to include both an application portal and an advisory section listing known system issues, their status, and workarounds (if applicable)
- Achieving "steady state" (steady state implies that any outstanding critical issues have been resolved, that the system is operating reliably and consistently, and that the knowledge and skill of users in working with the new tools and processes are equally consistent and responsive)
- Reviewing/finalizing the target date and content for the next phase of PennERA, which includes a recommendation for PennERA Reporting and the development of an end user support model

The PennERA Team wishes to acknowledge the invaluable contributions of users and advisory groups, such as the Research Reps group, to the development of PennERA and appreciates everyone's cooperation throughout the first phase of the project.

More Information about PennERA

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

**--Robin H. Beck,
Vice President of Information Systems and Computing
--Andrew B. Rudczynski, Ph. D.,
Executive Director of Research Services and Associate Vice President of Finance
--Joseph R. Sherwin, Ph.D.,
Director of the Office of Regulatory Affairs**

Did you know that.....?



To avoid having to cover expenses with departmental funds, it is imperative that departments actively administer their research funds.

If a sponsor refuses to pay a receivable due to lack of performance, a missing progress report or other similar reason, it is the department's responsibility to cover the shortage. Please see [Sponsored Projects Policy 2125](#).

If a revised FSR with additional costs has been submitted to NIH and NIH has not made additional funding available, it is the department's responsibility to cover the resulting overdraft. It is very important to ensure costs are appropriately reported on the initial closeout (for NIH, due within 90 days of end date). In the rare case of the necessity of a revised NIH closeout, it must be submitted within one year of the end date. If it is not submitted within one year, the department will be responsible to cover the resulting overdraft. For more information on revised FSR's, please see [Sponsored Projects Policy 2137](#).

It is the department's responsibility to avoid overdrafts on their research funds. Overdrafts reflect poor administration of the fund and will be written off to the unrestricted operating budget of the responsible center if not addressed in a timely manner. For more information on overdrafts, please see [Sponsored Projects Policy 2129](#).

Announcing the Office of Research Integrity and Compliance's Website

The Office of Research Integrity and Compliance (ORIC) website is now available at <http://www.upenn.edu/ric> . Some of the features of this site include:

- Training and education programs available at Penn and at external organizations;
- Testing yourself in the profession of sponsored programs administration. Tests taken are not monitored and are for your own challenge;
- Experiencing an NIH research compliance site visit interview;
- Recent audit reports of the NSF and HHS OIG;
- Relevant email listings and listservs to subscribe;
- Federal resources;
- University policies;
- The ability to ask a question and receive a response related to sponsored programs administration (rscomp@upenn.pobox.edu); and
- Listing of professional societies and their codes of ethical behavior in the conduct of research.

The information provided in this newly created site is designed to assist the community in better understanding of its responsibilities and obligations and the promotion of an environment of compliance. This is accomplished by providing tools to administrators and faculty alike to help them accomplish Penn's mission of educating its faculty and staff in research regulatory requirements.

A solid red rectangular graphic element located at the bottom of the page.

Frequently Asked Questions ...

Why does the account number on the AIS have an object code of 3000, when it used to be XXXX?

All AIS documents issued since the PennERA system has been implemented have displayed BEN Financials account mappings exactly as they appear in the General Ledger. This data is now fed directly from the general ledger into PennERA and hence this is how they appear on the AIS.



I received an AIS on April 5th for an award that starts on May 1st, why does the award show on the second page as a "future year"?

The PennERA system uses the budget start date as the indicator of whether an award is labeled as a "Prior Year", "Current Year" or "Future Year". An asterisk is placed next to the increment that is shown as the current year on the first page of the AIS.

Please forward other questions regarding the new AIS's to pennera@pobox.upenn.edu

When the new AIS documents were first introduced, each award was shown separately for each period. For instance if several checks were received during a year there was an entry for each check. Now, there is one entry for each period with all awards being summed for each period. Why did this change and will it change back?

When production of the new AIS began with the implementation of PennERA, it was our intention to present the Award Information (typically page 2) for Prior, Current and Future Years in the manner it is today with each grant year's increments summed into one line. The initial version of the software that produces the AIS document however, did not sum the increments into yearly totals. At the time, we weren't overly concerned by this variation from the original specification because, that detail can sometimes be useful. What we eventually found however, was that for some projects, this level of detail on the AIS can be overwhelming and made some documents run on to literally dozens of pages. The clear (and nearly unanimous) feedback from Research Reps and the field in general was that rolling-up increments into grant year totals was the preferred appearance of the AIS. We responded to this feedback and altered the software to provide that functionality. For approximately the last two months the AIS documents have been produced with the increments summed in this manner. Please note that the award increment by increment detailed breakdown for projects remains available via the Data Warehouse.

Please Review: Proper Closeout Procedures for NIH Grants

Final Progress and Final Invention Statement and Certification Reports: Principal Investigators are required to submit Final Progress and Final Invention Statements within 90 days of the end of grant support. Failure to submit timely and accurate final reports may affect future funding to the organization or awards with the same Principle Investigator. There is no set format for these reports but specific information required is listed below. Once the report is complete an original, one copy and a list of publications is required.

Final Progress Report: A final progress report is required for any grant that is terminated and any award that will not be extended through the award of a new competitive segment. The final progress report should include a summary of progress toward the achievement of the originally stated aims, a list of results (negative or positive), and a list of publications. Other issues the final report should address are the following:

Report on the inclusion of gender and minority study subjects. (Using the gender minority inclusion table that is provided in the 2590).

Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children.

Describe any data, research materials (such as cell lines, DNA, probes, animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed.

Final Invention Statement and Certification: The Principal Investigator must submit a final invention statement and certification (HHS 568), whether or not the funded project results in any inventions. The HHS 568 must list all inventions there were conceived or first actually reduced to practice during the course of the work under the project, and it must be signed by the PI and an Authorized Official from the Institution (Office of Research Services). The completed form must cover the period from the original effective date of support through the date of expiration/termination of that award. It should then be submitted to the NIH awarding office. You can locate that information on the NIH notice of award.

Training Opportunities:

ORS Quizzes and FAQ's:

Take a moment to look at our quizzes or FAQ section for more guidance on administering 5-funds here at Penn. Both can be accessed by clicking Training on our home page (<http://www.upenn.edu/researchservices/>).

Outside Upcoming Training:

National Council for University Research Administrators (NCURA)

Region II Spring Conference

Baltimore, April 25 – April 27.

For further information or to register, please go to

http://www.osp.cornell.edu/NCURA_Region_II/Meetings.html

April's Contributing Authors, ORS Newsletter:

Pam Caudill, Director of Pre Award Non-Financial Administration, Office of Research Services

Teresa Leo, PennERA/PennERS Communications Specialist, Information Systems and Computing

Tina Nemetz, Staff Assistant, Office of Research Services

Kerry Peluso, Director of Post Award Financial Administration, Office of Research Services

Andrew B. Rudczynski, Associate Vice President for Finance and Executive Director, Office of Research Services

Todd Swavely, Associate Director –Penn ERA, Project Manager, Office of Research Services

Alice Tangredi-Hannon, Director, Research Compliance, Office of Research Integrity & Compliance



Getting to know your ORS Staff:

HEATHER LEWIS, Contract Administrator

Years at Penn: 3 years

Years in Research Services: 3 years

What she does: Reviews and negotiates terms and conditions of awards to ensure compliance with University and Sponsor guidelines. Establishes accounts for sponsored projects. Is a liaison between the principal investigators and the sponsor.

Hobbies/Interests: Spending time with my children. We enjoy going to the Park.

Favorite Restaurant: The Shark Bar Restaurant

Favorite ways to spend a vacation: Just relaxing, preferably on an island ...in a hammock...reading a book.

What Co-workers say: Heather is an inspiration to us. She works full-time, goes to school (taking two classes each semester!), has three small children at home and still manages to come to work with a smile.

NIH –National Cancer Institute (NCI) Obtaining Summary Statements

The NIH has converted most grants-related communication processes to the internet. It established a secure web site (the NIH Commons) at which NIH grantee organizations can access useful information related to most aspects of the grant application life cycle. The NIH Commons web site allows all NIH grantee organizations to interact with grants data, check the status of grant applications, including viewing scores and summary statements when they are ready, and submit progress reports on line, among a number of other functions. Applicants and grants administrators should become familiar with the Commons. URL: <https://commons.era.nih.gov/commons/index.jsp>

The NCI Cancer Imaging Program will no longer routinely retrieve, prepare and mail paper copies of summary statements. A copy of the summary statement prepared by the Scientific Review Administrator of the Initial Review Group (study section) that evaluated your application will be posted on the NIH Commons web site as soon as it is completed, approved, and released. Registered users may access it immediately.

Evaluation of an application for its scientific merit by an Initial Review Group is the first step in a two-step process of peer review. The second step will be carried out by the National Cancer Advisory Board (NCAB) at a meeting following summary statement release.

Funding decisions are based on the scientific merit of an application as determined by peer review, availability of funds, and program priorities. If your application is selected for payment, you will be notified and asked to supply just-in-time information necessary to complete the funding process.

Pre-Award Administration Staff

The Pre-award staff is responsible for processing proposals, reviewing, negotiating, and accepting awards (except for corporate contracts), as well as, providing post-award non-financial administration for these accounts. Questions concerning issues such as no-cost extensions, carryover requests and other administrative matters should be directed to the appropriate pre-award contact.

Questions concerning **industrial clinical trial agreements and sponsored research agreements** should be addressed to the Corporate Contracts Group. Greg Curley is responsible for Account Information Sheets (AIS's) for all industrial clinical trials and sponsored research agreements.

PAMELA S. CAUDILL - DIRECTOR

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

- SOM – Dean's Office

JOANNE CROSSIN – SR. CONTRACT ADMINISTRATOR

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

- Biochemistry/Biophysics – SOM
- Biomedical Graduate Studies – SOM
- Biostatistics – SOM
- Cancer Center – SOM
- Center for Experimental Therapeutics – SOM
- Institute for Environmental Medicine – SOM
- Institute for Human Gene Therapy – SOM
- Institute for Neurological Sciences – SOM
- Medical Genetics – SOM
- Neurology – SOM
- Pathology & Laboratory Medicine
- Rehabilitative Medicine – SOM

ALICE DUNLEAVY – ASSOCIATE DIRECTOR

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

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

VACANT – ASSISTANT DIRECTOR

Please contact Pam Caudill.

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

HEATHER LEWIS – CONTRACT ADMINISTRATOR

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

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

ROSE MAZUR – ASSISTANT DIRECTOR

(215) 573-6701 OR rmazur@pobox.upenn.edu

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

LAUREN OSHANA – ASSOCIATE DIRECTOR

(215) 573-6710 OR oshana@pobox.upenn.edu

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

SUSAN POMPONIO - CONTRACT ADMINISTRATOR

(215) 898-8751 OR pomponio@pobox.upenn.edu

- Bioinformatics – SOM
- Center for Aids Research – SOM
- Genetics – SOM
- Hematology/Oncology
- Neurosurgery - SOM
- Orthopedic Surgery – SOM
- Pediatrics – SOM
- Physiology – SOM
- School of Medicine, Institute for Medicine & Engineering – SOM
- Radiation Oncology
- Radiology

SOPHIA WHITEHEAD – SR. CONTRACT ADMINISTRATOR

(215) 898-9322 OR sophiaw@pobox.upenn.edu

- Anesthesiology – SOM
- Annenberg Center for Performing Arts
- Annenberg School for Communication
- Cell & Developmental Biology – SOM
- Center for Bioethics – SOM
- Dermatology
- Geriatrics – SOM
- Microbiology – SOM
- Ophthalmology – SOM
- Otorhinolaryngology – SOM
- School of Nursing
- School of Veterinary Medicine

CORPORATE CONTRACTS GROUP:

DONALD DEYO, Esq. –DIRECTOR

(215) 573-9970 OR deyo@pobox.upenn.edu

EDWARD PIETERS, Ph.D. – ASSOCIATE DIRECTOR

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

- Sponsored Research Agreements

SHEILA ATKINS – ASSOCIATE DIRECTOR

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

- Clinical Trial Agreements

STACIA C. LEVY, M.A. – SENIOR CONTRACTS ADMINISTRATOR

(215) 746-6287 or stacial@pobox.upenn.edu

- Clinical Trial Agreements

GREGORY CURLEY – CONTRACT ADMINISTRATOR

(215) 746-0033 or gcurley@pobox.upenn.edu

- Account Information Sheets for Contracts

PennERA GROUP:

TODD SWAVELY – PennERA PROJECT MANAGER

(215) 573-9764 OR tswavely@pobox.upenn.edu

YVETTE ACEVEDO – TEAM LEADER, SpinPlus

(215) 898-6156 or acevedo@pobox.upenn.edu

STUART WATSON – Team Leader, PROPOSAL/AWARD TRACKING

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

Office of Research Services

3451 Walnut Street
Room P-221
Philadelphia, PA
19104-6205

PHONE:
(215) 898-7293

FAX:
(215) 898-9708

About Our Organization...

Our Mission

The Office of Research Services (ORS) oversees the administrative support of the University's externally funded research and is responsible for implementation of University policies established for this purpose. An important part of the ORS mission is service to the research faculty, through the provision of information and advice for the development of applications, and assistance in the administration of awarded grants and contracts.

In this role, ORS

- Supports the schools and centers in the development of proposals for grants and contracts;
- Reviews and approves all proposals before submission to the potential sponsor
- Coordinates negotiations of awards;
- Accepts awards for the University, including the signing of contracts;
- Provides oversight and guidance to faculty and staff concerning the proper management of sponsored projects;
- Prepares all financial reports to sponsors.

In addition to these functions, ORS is responsible for billing of contracts management of letters of credit for payment of grants, preparation of the facilities & administrative and employee benefit rate proposals and rate negotiations, management of the effort reporting system, and oversight of service center rate development. ORS reports jointly to the Senior Vice President for Finance & Treasurer and Vice Provost for Research.

Office of Research Services Quick Contact List:

ORS General Phone Numbers: 215-898-7293 (General Information, Proposals, Awards)
215-898-7269 (Financial Reports & Invoices, Accounting)

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

215-573-9249, abrud@pobox.upenn.edu

Pamela Caudill, Director of Pre Award Non-Financial Administration:

215-573-6706, caudill@pobox.upenn.edu

Donald Deyo Esq., Director, Corporate Contracts:

215-573-9970, deyo@pobox.upenn.edu

Robert McCann, Director of Cost Studies:

215-898-1469, mccannr@pobox.upenn.edu

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

215-573-6705, pelusok@pobox.upenn.edu

Todd Swavely, Associate Director –Penn ERA, Project Manager:

215-573-9764, tswavely@pobox.upenn.edu