Export Control Concerns in Sponsored Research Proposals

In the Proposal Transmittal and Approval Form, one of the certifications is:

“To the best of my knowledge, this project is/is not subject to Export Controls.” The Form references the ORS Export Controls website for further clarification.

Given the complex nature of Export Controls, it is not always clear which research proposals are “subject” to export controls. For clarification, all activities at the University of Pennsylvania are subject to export controls but the majority of research activities qualify for certain exemptions from export controls. This means that the research may proceed without the need for additional licenses or approvals from the U.S. Government.

After review of the ORS website, if you are not sure if the proposal you are working on requires additional approvals or licenses, please call the Office of Research Services for clarification. In order to assist in making this determination, the following should be noted:

1. When completing a sponsored project proposal, Principal Investigators should seek to determine if the technologies or activities covered by the research proposal are covered by Export Controls and indicate such on the ORS Proposal Transmittal and Approval form. The website contains guidance on making that determination and ORS staff should be contacted to assist in making the determination. As the individual most knowledgeable about the technologies and activities that will be covered by a sponsored project and the administrator of the technical aspects of the research, the PI is largely responsible for ensuring compliance with Export Controls in their research program at the University of Pennsylvania.
2. If one or more of the following Issues is applicable to the planned research activities or related contracts/grants, there is a higher probability that a careful examination of the proposals will be needed in order to ascertain the impact of export controls:

- Restrictions on the access, participation or hiring of faculty, students or staff researchers in the conduct of the Research due to their country of origin or citizenship, including limiting participation to US-Citizens only.

- Restrictions on the disclosure of information or research results or access to equipment to faculty, students or staff researchers due to their country of origin or citizenship, including limiting participation to US-Citizens only.

- Pre-approval rights of sponsor for any publications or disclosures of information or the research results generated in the conduct of the Research.

- Deletion rights of Sponsor in publications or disclosures of the research results or information other than confidential, proprietary information provided by the Sponsor.

- Allows Sponsor to delay disclosure or publication of research results for more than ninety days and such delay is not limited to Sponsor’s need to protect Intellectual Property.

- Allows Sponsor to require research results to be treated as confidential or proprietary.

- Travel, research, expenditures or transfer of research results/equipment/materials outside the United States.

For questions or additional information, please contact Donald T. Deyo, in ORS at deyo@pobox.upenn.edu.

**COGR Publication: Access to and Retention of Research Data: A Guide to Rights and Responsibilities.**

The Council on Governmental Relations (COGR) has published a helpful guide on the issue of access and retention of research data.

Scientific and technical data generated by research and other scholarly activities are possibly the most valuable creation of faculty in research their activities at the University of Pennsylvania. The value of this scientific and technical data means that faculty researchers and the University have certain obligations with respect to such data. Among these obligations are ensuring proper retention of the data and providing access to the data where appropriate.

The guide focuses on effective management of data, proper data stewardship, and provides case studies. There are also valuable references to federal regulations. The guide is available on the COGR web site at http://206.151.87.67/docs/DataRetentionIntroduction.htm.
The response to the Fall Semester effort reporting period was terrific! A well deserved thank you to everyone who helped achieve timely completion of effort forms.

With any new system there is a learning process. Listed below are a few items that we would like to clarify for you about the ERS system and the processes.

**Post Review**: At times, effort forms post are reviewed when it does not appear necessary. Post review is only required when a certifier changes the effort form from pre-review. In these instances the pre-reviewer will get an email letting them know that there is a form to post review.

Also, if you receive an email that you have a form to post review, and upon reviewing the form, you think the certifier erred, or misunderstood, and you need to discuss this with them, DO NOT SAVE the form, or click on PROCEED. If you do, that locks the form in Post Review and the certifier will not be able to access the form any longer. Simply review the form, copy and paste to an email or print for further discussion.

**Certifiers**: All faculty must certify their own effort forms.

**Cost Transfers**: A cost transfer entered in ERS will remain there until the effort form is certified. As soon as the form is certified the cost transfers will move to the payroll system to be processed at the next payroll cycle, normally on Monday night. Once a cost transfer is entered in ERS and processed in payroll, the effort form is complete and no further changes can be made to the effort form. Dropping a record in ERS does not undo any posted transactions.

If there is a justifiable circumstance to make a change to a payroll distribution, it can only be done outside of ERS, with ORS Executive Director’s approval. A Restricted Salary Reallocation form and a written justification must be prepared and submitted to ORS for approval before ORS will send the form to the Payroll Office.

In these instances, the effort form in ERS will remain certified. A blank paper effort report form is available from the ORS web site that can be prepared, if necessary, with the new distributions, and re-certified. A copy of the paper form should be send to the ERS administrator.

**Frozen Accounts**: Every Tuesday morning an email is received listing all the cost transfers that failed on Monday night. Most of these failures are due to frozen accounts. It is relatively easy to check the status of an account. Pre-reviewers must verify that accounts are active prior to posting the cost transfers.

**Email Address Changes**: Email addresses for everyone with a role in ERS are populated from the Penn Directory and refreshed every Thursday evening. If a certifier is added to ERS, and the email address provided is different from that in the directory, the certifier must update their email address in the Penn Directory. If the change is not made in the Penn Directory, the email address will be incorrect in subsequent reporting periods. The web site to do that is:
Printing Effort Reports: There are many reports that are available in ERS, e.g. under Administrative Reports, you can print certified statements can be printed by selecting Reporting, Print Certified Statements, select the effort reporting period, and your sub department. You can choose an individual report, or check all of the reports to print.

CHOP Based Physicians: ORS is in the process of eliminating CHOP based physicians from ERS. This will be a 2 step process; the first step is to modify the initiation process so that these physicians are excluded from ERS at the outset of an effort reporting period. The 2nd step is to eliminate them from this past Fall Semester. Since there is no consistency in how individual departments have organized or identified these individuals, the process will take several weeks to complete.

Additional ERS Training Classes: Two additional training classes have been scheduled for Monday May 8th and Monday June 19th from 9-12 Noon in the FTD training facility, Room 409 Franklin Building. Registration is through Knowledge Link, select Optional Training and scroll down to ORS training classes. The web site is: www.knowledgelink.upenn.edu.

NIH/AHRQ Announce Change in Business Process Concerning eRA Commons Verifications of Electronically Submitted Applications

The purpose of this Notice is to inform the research community of a change in business process concerning eRA Commons verification of electronically submitted applications.

The original process for electronic submission of grant applications required that both the Signing Official (SO) and the Project Director/Principal Investigator (PD/PI) access the electronic grant application in the eRA Commons, check it for completeness, and verify it via a form checkbox. This verification served as the electronic signature for the application and completed the electronic submission process.

As indicated in Guide Notice NOT-06-054, the PD/PI signature on a grant application has been replaced with an institutional compliance requirement. The application guides have been revised to reflect this business process change and to add the PD/PI assurance as an Institutional compliance requirement. This change, and the recognition of the Authorized Organization Representative’s (AOR) signature at the time of application submission to Grants.gov, has allowed NIH/AHRQ to simplify the eRA Commons verification process.

Effective for applications submitted for May 10, 2006 and beyond, NIH/AHRQ will no longer require the verification of the grant application by the AOR/SO and PD/PI. The verification step will be replaced with a two business day period for checking the assembled application in eRA Commons, after which the submission process will be complete and the application will automatically move forward to the Division of Receipt and Referral, Center for Scientific Review. Within the two day period, the AOR/SO will have the ability to “Reject” the application and stop further processing. PD/PIs must work through the AOR/SO to “Reject” an application.

- Once an application package has been successfully submitted through Grants.gov, any errors have been addressed, and the assembled application has been created in the eRA Commons, the PD/PI and AOR/SO have two business days to view the application image.
• If everything is acceptable, no further action is necessary. The application will automatically move forward for processing by the Division of Receipt and Referral after two business days.

• Prior to the submission deadline, the AOR/SO can “Reject” the assembled application and submit a changed/corrected application within the two day viewing window. This option should be used if the AOR/SO determines that warnings should be addressed. Reminder: warnings do not stop further application processing. If an application submission results in warnings (but no errors) it will automatically move forward after two business days if no action is taken. Please remember that some warnings may not be applicable or may need to be addressed after application submission.

• If the two day window falls after the submission deadline, the AOR/SO will have the option to “Reject” the application if, due to an eRA Commons or Grants.gov system issue, the application does not correctly reflect the submitted application package (e.g., some part of the application was lost or didn't transfer correctly during the submission process). The AOR/SO should first contact the eRA Commons Helpdesk to confirm the system error, document the issue, and determine the best course of action. NIH will not penalize the applicant for an eRA Commons or Grants.gov system issue.

• If the AOR/SO chooses to “Reject” the image after the submission deadline for a reason other than an eRA Commons or Grants.gov system failure, a changed/corrected application still can be submitted but it will be subject to the NIH late policy guidelines and may not be accepted. The reason for this delay should be explained in the cover letter attachment.

• Both the AOR/SO and PD/PI will receive e-mail notifications when the application is rejected or the application automatically moves forward in the process after two days.

Although the AOR/SO and PI will no longer need to complete the verification process, NIH/AHRQ strongly encourages applicants to take advantage of the two day window to view assembled grant applications in the eRA Commons. The eRA Commons provides the only opportunity to see the grant application just as a reviewer will see it. Once the two day window has elapsed, any changes to the application must be made through and with the permission of the assigned Scientific Review Administrator and can potentially delay the processing of the application.

Please note that the following resources continue to be available for assistance in the electronic submission of grant applications to NIH/AHRQ through Grants.gov:

**General Information:**
http://era.nih.gov/ElectronicReceipt/
http://www.ahrq.gov/path/egrants.htm

---

<table>
<thead>
<tr>
<th>Grants.gov Customer Support</th>
<th>eRA Commons Help Desk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phone: 800-518-4726</td>
<td>Web: <a href="http://ithelpdesk.nih.gov/eRA/">http://ithelpdesk.nih.gov/eRA/</a></td>
</tr>
<tr>
<td>Hours: M-F 7:00 a.m.-9:00</td>
<td>Phone: 301-402-7469 or 866-504-9552</td>
</tr>
<tr>
<td>p.m. ET</td>
<td>(Toll Free)</td>
</tr>
<tr>
<td>Email: <a href="mailto:support@grants.gov">support@grants.gov</a></td>
<td>TTY: 301-451-5939</td>
</tr>
<tr>
<td></td>
<td>Hours: M-F 7:00 a.m.–8:00 p.m. ET</td>
</tr>
</tbody>
</table>
NIH Announces Change in Business Process: Replacing Principal Investigator Signature on Grant Applications, Progress Reports, and Prior Approval Requests with an Institutional Compliance Requirement

The purpose of this Notice is to inform the grantee community of a change regarding the signature of the Principal Investigator (PI) as a part of applications, post-submission information, progress reports, and post-award prior approval requests and the corresponding implementation of a new Institutional compliance requirement to secure and retain the PI signature as part of the institutional review/approval process.

The signature of the Principal Investigator is no longer required as a part of a submitted application. Instead, a new compliance requirement is now implemented whereby the applicant organization agrees to secure and retain at the organization a written assurance from the Principal Investigator (PI) prior to submitting an application to the PHS. While this assurance is no longer required as part of the submitted application, it remains a compliance requirement. Therefore, organizations must retain a unique signature and date for each submitted application. This assurance must be available to the sponsoring agency or other authorized HHS or Federal officials upon request. Such an assurance must include at least the following certifications: (1) that the information submitted within the application is true, complete and accurate to the best of the PI’s knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and (3) that the PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application. When multiple PIs are proposed in an application, this assurance must be retained for all named PIs.

This change is effective with competing applications submitted for submission/receipt dates May 10, 2006 and thereafter.

Changes to Specific Applications

PHS 398 Application

This change applies to all competing applications prepared using the PHS398 application for submission/receipt dates May 10, 2006 and thereafter. The Face Page (Form Page 1) of the PHS398 has been revised to remove the PI signature item; corresponding instructions have also been deleted. Part III Policy/Assurances/Definitions has been revised to now include the Principal Investigator Assurance as an institutional compliance requirement. See NIH Guide Notice NOT-OD-06-056 for additional details on changes to the PHS398.

Applications Using the SF424 Family of Forms

This change applies to all competing applications submitted electronically through Grants.gov using the SF424 family of forms and is effective for submissions with Open dates May 10, 2006 and thereafter. The PI verification step in the eRA Commons is being eliminated. Instead, once an application package has been successfully submitted through Grants.gov, all errors corrected, and the application assembled by the eRA Commons, PD/PIs and AOR/SOs will have two business days to review the application. If everything is acceptable, no further action is necessary. The application will automatically move forward in the process after two business days. If, however, it is determined that some part of the application was lost or didn’t transfer correctly during the submission process, the AOR/SO will have the option to “Reject” the image and submit a Changed/Corrected application. See NIH Guide Notice NOT-OD-06-055 for additional details.
**Annual Progress Reports (PHS2590)**

This policy also applies to all progress reports submitted using the PHS2590 form. The Face Page (Form Page 1) of the PHS2590 has been revised to remove the PI signature item. Comparable instructions have also been deleted. See NIH Guide Notice NOT-OD-06-058 for additional details on changes to the PHS2590.

The equivalent PI approval currently developed in the eRA Commons E-SNAP module will be removed in the future.

**Prior Approval Requests**

Effective immediately, this policy also applies to all requests for NIH prior approval. The signature of the PI is no longer required on requests submitted to the agency; however, the grantee institution must secure and retain such documentation within their own internal processes.

In all cases, this assurance must be available to the sponsoring agency or other authorized HHS or Federal officials upon request.

**Inquiries**

Questions concerning this guide notice may be directed to:

Division of Grants Policy  
Office of Policy for Extramural Research Administration  
National Institutes of Health  
Telephone: (301) 435-0938  
Email: GrantsPolicy@od.nih.gov

The Office of Research Services will be revising the Proposal Approval and Transmittal form to incorporate the appropriate PI certification, as required by NIH.

---

**NIH COMMONS**

The NIH eRA Commons is a web-based system that allows NIH extramural grantee organizations, grantees, and the public to receive and transmit information electronically about the administration of biomedical and behavioral research grants. To be able submit grant applications electronically to NIH through Grants.gov or to use the NIH eRA Commons to manage awards, individuals must be registered as a user and be assigned a role within the Commons.

The available roles are as follows:

**SO.** The Signing Official (SO) for the grantee organization should be one of possibly many officials with institutional authority in so far as legally binding grants administration actions with the NIH are concerned, including serving as one of possibly many grantee organization authorities responsible for submission of grant applications to the NIH. The individual fulfilling this role may have any number of titles in the grantee organization. The SO can create and modify accounts, and also will be able to modify IPF information.

**AA.** The Account Administrator (AA) is designated by an SO to facilitate the administration of the eRA Commons accounts for their institution. The AA can create accounts, delete accounts, and modify accounts as necessary.

**AO.** The Administrative Official (AO) reviews grant applications before the final application is submitted
to the NIH by the SO. Depending on the institution workflow process, it is possible for the SO and AO to be the same person (in this case the institution would only need a SO account). An AO can also create additional AO and PI accounts.

**PI.** The Principal Investigator (PI) is an individual designated by the grantee organization to direct the project or activity being supported by the grant. The PI is responsible and accountable for the proper conduct of the project or activity. The role of the PI within the eRA Commons is to complete the electronic grant process.

**Asst.** The Assistant role (ASST) indicates a basic NIH eRA Commons user who can be assigned as a PI delegate for eSNAP/X-Train. Users with this role have no access other than updating their Personal Profile. However, it will be possible to delegate PI authority or Submit authority to these accounts to aid in administrative tasks.

**FSR.** The Financial Status Report (FSR) role indicates an FSR user.

**IAR.** The Internet-Assisted Review (IAR) role indicates an IAR user.

**OFM.** The Office of Financial Management (OFM) role indicates an internal FSR user.

The NIH eRA Commons is organized into sections. Depending upon the privileges/roles granted to an individual, the following sections may be viewed and accessed:

**Administration.** The Account Administration section lets institution officials maintain user accounts associated with the institution.

**Institution Profile.** The Institution Profile (IPF) section lets institution officials maintain the institution information on file at the NIH, including the organizational hierarchy.

**Personal Profile.** The Personal Profile (PPF) section lets users maintain their personal information on file at the NIH (including information such as degrees, publications, and contact information). **This must be completed prior to electronic submission through Grants.gov.**

**Status.** This section lets Principal Investigators (PIs) review the current status of all their grant applications and review detailed information associated with the grant. Signing Officials (SOs) or Administrative Officials (AOs) associated with the institution are able to see a summary view of grant applications, review Notices of Grant Award, and access Progress Report face pages. The PI and the SO can review errors and warnings generated during the application verification process and view the completed image of a grant application.

**eSNAP.** The electronic Simplified Non-competing Award Process (eSNAP) section lets extramural grantee institutions submit electronic versions of Type 5 (non-competitive) progress reports to the grants management community.

**IAR.** The Internet Assisted Review (IAR) section lets reviewers submit critiques of grant applications and view each other’s reviews before the actual meeting. Scientific Review Administrators (SRAs) and Grants Technical Assistants (GTAs) are able to view all critiques and generate preliminary score reports and pre-summary statement bodies.

**FSR.** The Financial Status Report (FSR) is a statement of expenditures sent to the sponsor of a grant or contract. This section lets Grant and Contract Accounting (GCA) prepare and submit an FSR on behalf of the Principal Investigator (PI).

**X-Train.** The electronic Trainee Activities System (X-Train) section lets Program Directors (PDs) of grantee institutions create and update trainee appointments. See the X-Train User Guide for more information about this module.

**Links.** This section provides links to websites that provide information related to the NIH eRA Commons and related applications.

**Help.** This section provides online Help for all aspects of using the NIH eRA Commons.

### HOW TO REGISTER

The Office of Research Services is the only office authorized to submit applications on behalf of The Trustees of the University of Pennsylvania, so accordingly those individuals with signing authority within Research Services will be designated as SOs. Roles that can be assigned at the school level are PI, AO and Asst. The AO role has the authority to create and modify additional AO accounts, as well as PI accounts. Each School within the University must designate a senior administrator to be designated as an AO. **Research Services will create the account for that individual who in turn can create additional AO and PI accounts.**

Schools who have not yet designated an individual to be the initial AO should contact Pamela S. Caudill at caudill@pobox.upenn.edu or their appropriate pre-award contact.
UPCOMING TRAINING

Using PureEdge Viewer
and
Preparation of NIH Electronic Grant Applications

The Office of Research Services is pleased to announce that hands-on training using the PureEdge Viewer and SF424(R&R) forms to prepare NIH electronic grant applications will be offered on the following dates:

Tuesday May 2  
Friday, May 12  
Monday, May 15  
Monday, May 22  
Monday, June 5  
Monday, June 12  
Monday, July 10  
Monday, July 24  
Monday, August 7  
Monday, August 21

2:00 - 4:00 PM
2:00 - 4:00PM
2:00-4:00 PM
2:00-4:00 PM
2:00-4:00 PM
2:00-4:00PM
2:00-4:00 PM
2:00-4:00 PM
2:00-4:00 PM
2:00-4:00 PM

The classes will be held in the Franklin Building, Room 409.

Because of the hands-on nature of this training, attendance is limited to fourteen participants per class. The goal of this first round of hands-on training is to prepare faculty and business administrators to submit applications through Grants.gov for NIH programs with deadline dates on or before June 1, 2006. These include the R03, R21, R33 and R34 grant mechanisms, as well as the mechanisms that have already transitioned, such as STTR/SBIR applications. Therefore, faculty and business administrators meeting this criterion will be given priority should the number of registrants exceed the number of available places. Additional hands-on training will be conducted to accommodate faculty and business administrators who will be using Grants.gov to submit NIH applications due after June 1, 2006.

To register for one of these classes, please call (215) 898-5624.
ORS Monthly Quick Quiz

(Answers can be found within this newsletter.)

1) In order to avoid write off to the department’s “0” fund, overdrafts must be addressed by:

   a) The end date of the project.
   b) The end of the adjustment period.
   c) Within one year of the end date of the project.

   See page 11 for answer.

2) A cost transfer entered into PennERS will remain there until:

   a) The next payroll cycle.
   b) The effort is certified.

   See page 3 for answer.

3) Certified Effort Reports can be printed.

   a) True.
   b) False.

   See page 4 for answer.

Research Compliance Tutorials Available

Available on the ORS Web Site are tutorials on the subjects of Allowability, Cost Transfers & Documentation; Export Controls, and Effort Reporting. Please take a few moments to view these tutorials. The tutorials and other complicity related information can be found at http://www.upenn.edu/researchservices/rc/pages/training.htm.
Frequently Asked Questions

In preparing for the year end close, what do I need to think about in regards to sponsored projects?

As one prepares for the year end close, it is important to consider several areas that impact sponsored projects. The following areas should be reviewed and addressed prior to year end.

Advance Funds/Hold Accounts: It is important that every effort is made to move advance funds out of advance status. While circumstances may not allow this, every effort should be made to facilitate this process prior to year end.

Accounts Receivable: The ORS Accounts Receivable Staff continually reviews past due receivables. As the year comes to a close, they begin the process of writing off AR which has not been collected and is not anticipated to be collected. Departments should review their delinquent AR and ensure that they have met the terms of the agreement including submitting final technical reports. Prior to writing off any receivable to the department, ORS will contact the Business Administrator for a preferred 26 digit code. However, if a response is not received within the time frame provided, the write off will be done to the department’s “0” fund.

FSR’s: All FSR’s must be completed by June 30. There is no justification for a delinquent FSR. Please ensure that any funds which have FSR’s due by June 30 have had all adjustments completed by the end of their adjustment period (by the end of May at the latest).

Overdrafts: All overdrafts on expired funds which do not have back up for continuation funding must be addressed. As normally done, ORS staff will request a preferred 26 digit code to write off the overdraft. If it is not received by the end of the requested time frame, the overdraft will be written off to the department’s 0 fund. This includes CLINICAL TRIALS. If a clinical trial should be extended, that must be addressed with preaward staff. It is improper to leave large overdrafts in expired clinical trial funds.

If you have any questions regarding the year end closeout process for sponsored projects, please contact your ORS Accountant or Kerry Peluso, Post Award Director at (215) 573-6705 or pelusok@pobox.upenn.edu.
Did You Know.......??

...The Grants.gov Application guide SF424 (R&R) was revised on April 7, 2006 and can be found on the NIH website http://era.nih.gov/ElectronicReceipt/sf424.htm.

...During our initial transition period to electronic application submission, applicant institutions can submit changed/corrected applications in the week following the submission deadline as long as the changes made are needed to address errors encountered when the eRA Commons checks the application for conformance with application guidelines.

...Effective, May 10, 2006, if an electronic NIH application is lost or did not transfer correctly during the submission process, only the Office of Research Services has the option to “reject” the application and submit a “change/corrected” application. PIs should work with ORS to determine when the “reject” feature is appropriate. This feature should not be used to tweak an application or to submit an incomplete application in order to meet the deadline.

Training Opportunities:

Sponsored Programs at Penn:
This is a two day workshop which covers the fundamentals of Sponsored Projects Administration at Penn. Topics include Proposal Preparation & Processing, Contract Negotiation, Award Acceptance and Account Set-up, Financial Compliance & Allowability, Post Award Management, Reporting Tools and Data Sources, Closeouts, and Audits. Please visit http://www.upenn.edu/researchservices/training.html for more information.

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/).

Research Compliance Tutorials and Other Education:
For further guidance on administering 5-funds here at Penn, please visit the Research Compliance Training and Education page at http://www.upenn.edu/researchservices/rc/pages/training.htm.
Getting to Know......

Pam Caudill
Director, PreAward Non-Financial Administration

Time at Penn: 7 years

Time in Research Services: 7 years

ORS Responsibilities: Oversight of PreAward and Operations Groups

Hobbies/Interests: Sewing, Gardening, Cooking

Favorite Restaurant: Brick Alley Pub, Newport, RI

Favorite ways to spend a vacation: Doing anything in Key West

What Co-workers say:
...Pam is great to work with in ORS. She knows preaward better than anyone. She has a great sense of humor and never loses her cool.

...Great multi tasker! Extremely knowledgeable and wonderful to work with!

...Extremely knowledgeable about the grant and contract process (not just the pre-award part of the process). She makes sound, well informed decisions and always has a pleasant, friendly attitude. Plus, she hosts nice parties.

April’s Contributing Authors, ORS Newsletter:

Pam Caudill, Director of Pre Award Non-Financial Administration, Office of Research Services
Donald Deyo, Director, Corporate Contracts, Office of Research Services
Teresa Leo, PennERA/PennERS Communications Specialist, Information Systems and Computing
Robert McCann, Director of Cost Studies, 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, Institutional Compliance Officer, Office of Audit and Compliance
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.

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

DEBORAH FISHER – ASSOCIATE DIRECTOR
(215) 746-0234 OR dfisher@pobox.upenn.edu
• School of Engineering and Applied Science
• Wharton School
• Graduate School of Education

BENITA HALL – CONTRACT ADMINISTRATOR
(215) 573-6709 OR benitah@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts
• Emergency Med. - SOM
• President’s Center
• University Museum

COLLEEN SPEAKMAN – CONTRACT ADMINISTRATOR
(215) 746-0033 OR cspeakma@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
• School of Dental Medicine

ROSE MAZUR – ASSISTANT DIRECTOR
(215) 573-6701 OR mazur@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

--continued--

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
• 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
• Otolaryngology – 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
• Corporate Contracts
• Sponsored Research Agreements

SHEILA ATKINS – ASSOCIATE DIRECTOR
(215) 573-6713 or satkins@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

ADAM RIFKIND, Esq. -ASSOCIATE DIRECTOR
(215) 898-9990 OR rikkind@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

CLIFFORD K. WEBER, Esq. –ASSOCIATE DIRECTOR
(215) 898-9984 OR ck@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

BENITA HALL – CONTRACT ADMINISTRATOR
(215)573-6709 OR benitah@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

Operations:

CARMEN ROWE – OPERATIONS SUPERVISOR
(215) 898-2346 OR rowec@pobox.upenn.edu

RICK FLOM - GRANT/CONTRACT ASSISTANT
(215) 898-7295 OR rickfom@pobox.upenn.edu

AYESHA PURDIE – GRANT/CONTRACT ASSISTANT
(215) 898-1967 OR apurdie@pobox.upenn.edu

JAMIE ARAFIN– GRANT/CONTRACT ASSISTANT
(215) 573-4946 OR arafin@pobox.upenn.edu
The main functions handled by these ORS staff members are the preparation of financial invoices and reports, coordination of audits, collection of receivables, cash management functions, and close outs of funds. The Federal Compliance Group handles facilities and administrative costs, employee benefit rates, effort reporting, and compliance issues. Contact Information for all areas is provided below.

**PennERA Group:**
- Todd Swayne – PennERA Project Manager
  (215) 573-9764 OR tswaynev@pobox.upenn.edu
- Emerson Taylor – PennERA User Support Provider
  (215) 746-6287 OR emersont@pobox.upenn.edu
- Stuart Watson – Team Leader, Proposal/Award Tracking
  (215) 573-6712 OR wswatson@pobox.upenn.edu

**Federal Compliance Group:**
- Robert McCann – Director
  (215) 598-1469 OR mccannr@pobox.upenn.edu
- Annamarla Molnar – Financial Analyst
  (215) 898-0818 OR molnar@pobox.upenn.edu
- Floyd Harris – Accountant
  (215) 898-5743 OR harrsf@pobox.upenn.edu

**Post Award Administration:**
- Kerry Peluso CPA – Director
  (215) 573-6705 OR pelusok@pobox.upenn.edu

**Financial Invoicing and Reporting – Group 1:**
- Kim Garrison – Associate Director
  (215) 898-2344 OR kimmg@pobox.upenn.edu
-LOSSIE GRAZIOLA – Team Leader
  (215) 573-6708 OR graziola@pobox.upenn.edu
- Grace Beattie – Senior Grant Accountant
  (215) 898-2342 OR gbeattie@pobox.upenn.edu
- Christopher Guy – Grant Accountant
  (215) 898-2155 OR guyc@pobox.upenn.edu
- Liza Craig – Grant Accountant
  (215) 898-9212 OR lizacrai@pobox.upenn.edu
- Latasha Towles – Grant Accountant
  (215) 573-6716 OR towles@pobox.upenn.edu
- Jasmine Burns – Grant Accountant
  (215) 898-9214 OR burns@pobox.upenn.edu

**Financial Invoicing and Reporting – Group 2:**
- Jim Clavin – Assistant Director
  (215) 573-6704 OR clavin@pobox.upenn.edu

**Contact Jim Clavin**
(215) 898-6147 OR jackk@pobox.upenn.edu

**Vacant – Grant Accountant, Contact Jim Clavin**
- School of Medicine Departments: Anesthesia, Center for Bioethics
  Center for Experimental Therapeutics, Institute for Aging, Institute for Human Gene Therapy, Family Practice, Molecular & Cellular Engineering, Center for Clinical Epidemiology and Biostatistics
- School of Arts & Sciences: Genetics, Penn Muscle Institute
- School of Social Work
- School of Veterinary Medicine
- School of Veterinary Medicine
- School of Veterinary Medicine

**Receivables:**
- Gokila Venkateswaran – Receivables Manager
  (215) 898-2515 OR gokila@pobox.upenn.edu
- April Johnson – Receivables Accountant
  (215) 746-0235 OR apjohnh@pobox.upenn.edu
- Mirmir Stevenson – Staff Assistant
  (215) 573-6711 OR stevensh@pobox.upenn.edu
- Floyd Harris – Accountant
  (215) 898-5743 OR harrsf@pobox.upenn.edu

**Data Management:**
- Keith Dixon – Accounting/BRIM Supervisor
  (215) 898-1966 OR kdkinon@pobox.upenn.edu
- Valerie Swartz – Financial Coordinator
  (215) 898-6700 OR valeriem@pobox.upenn.edu
- Bob Speakman – Financial Analyst
  (215) 898-2345 OR dbspeakma@pobox.upenn.edu
- Jennifer Mulhern – Senior Accountant
  (215) 898-2343 OR jmulhern@pobox.upenn.edu
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 Vice President for Finance & Treasurer and Vice Provost for Research.

Office of Research Services
Quick Contact List:


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

Not receiving our newsletter? Please visit our homepage to subscribe to our listserv. http://www.upenn.edu/researchservices/ (see bottom right corner)