ORS is offering a reprise of their workshops collectively titled “Sponsored Programs at Penn”. Prior to the first offering of this type in April of 2003, these workshops were offered on a monthly basis throughout the course of the year. In order to provide this training in a more efficient fashion, these courses have been consolidated into a two-day program. It is important to note that the content of the course is the same as the previous sessions you may have attended. It is the format of the delivery which has been redesigned.

This program has been designed to provide a comprehensive introduction to the basic knowledge required to effectively monitor and manage grant funds at Penn. The program is being offered as follows:

**Sponsored Programs at Penn**

**Date:** August 19th  
**Time:** 9:00 a.m. – 5:00 p.m.  
- Proposal Preparation & Processing  
- Contract Negotiation  
- Award Acceptance and Account Set-up  
- Financial Compliance & Allowability

**Date:** August 20th  
**Time:** 9:00 a.m. – 5:00 p.m.  
- Reporting Tools & Data Sources  
- Project Management  
- Closeouts  
- Audits

**Please note:** You must register for both days and attend the entire program.

**Questions on Course Information:**

Questions pertaining to the content of the “Sponsored Programs at Penn” series should be directed to Pam Caudill, Director of Pre-Award, Office of Research Services, at caudill@pobox.upenn.edu. Questions pertaining to the registration process should be directed to Barbara Murray at murrayb@upenn.edu.

**Registration:**

You may register for this program via the Learning and Education online course catalog at the following URL: [http://www.hr.upenn.edu/training_coursecatalog/search_criteria.asp](http://www.hr.upenn.edu/training_coursecatalog/search_criteria.asp). From this page, select either “Finance and Accounting” under Browse by Category or “Finance” under Browse by Department. Follow the “Register for This Course” instructions at the bottom of the page.
Accounting Notes:

FSR Due Dates Reminder – Generally 90 Days, Not 3 Months

When reviewing notices of award, it is important to note the due date(s) for all interim and final reports (financial and technical/programmatic). Most due dates are set at intervals such as 30, 60, or 90 days after a specific date (generally the end of a budget or project period). Most final federal FSR’s (Financial Status Reports) are due within 90 days after the end date. As an example, an award ending 6/30/2003 would require that a final FSR be submitted no later than 9/28/03. A report submitted after that date would be considered delinquent.

Please keep in mind that an ORS accountant can be responsible for submitting up to 60 reports in a month. Thus not all, or even most, FSR’s can be submitted on the actual due date. Final financial reports need to be submitted throughout the period preceding the due date in order to avoid the submission of delinquent FSR’s. Please ensure that all costs are finalized by the end of the adjustment period (60 days for NIH awards). According to Penn’s policy, costs are reported based upon what is on the ledger at the end of this adjustment period. If you have any questions about the due date of any financial report or preparation for it, please contact your ORS Accountant.

Object Code 4920 – Miscellaneous
Not Allowable on 5 Funds

Please note that object code 4920 should not be used on grant funds. If you have any questions regarding the correct object code to use, please contact your ORS Accountant.

Object Code 4822 – Cost Sharing Transfer (grants/contracts)
Proper Usage

The object code used for cost sharing transfers is 4822. It is important to note that this object code should not retain a balance. Thus, each time it is debited, it should be credited. Further information regarding cost sharing transfers can be obtained at http://www.upenn.edu/researchservices/rs/costshare.html. If you have any further questions regarding these transfers, please contact your assigned ORS Accountant, designated Assistant Director, or Kerry Peluso, Post Award Director at pelusok@pobox.upenn.edu.

Where can I get more information about administering my grants?

Office of Research Services Web Site:
www.upenn.edu/researchservices/
Research Investigator’s Handbook:
www.upenn.edu/researchservices/rh/intro.html
A Quick Guide for Faculty:
www.upenn.edu/researchservices/pdfs/newfacbk.pdf
University of Pennsylvania Cost Sharing Policy:
www.upenn.edu/researchservices/rs/costshare.html
Contact an Office of Research Services Staff Member:
www.upenn.edu/researchservices/rs/contact.html
Recent NIH Statement

REVISION OF PHS 398 (GRANT APPLICATION) AND PHS 2590 (PROGRESS REPORT)

RELEASE DATE: June 19, 2003

NOTICE: NOT-OD-03-049

The Office of Extramural Research (OER) is embarking on revisions of the Public Health Service Grant Application (PHS 398) and Progress Report for Public Health Service Grant (PHS 2590). The Application and Progress Report are used to request Federal assistance for research and research-related training. The forms and instructions are used by the following PHS agencies: National Institutes of Health (NIH), Agency for Healthcare Research and Quality (AHRQ), Agency for Toxic Substance and Disease Registry (ATSDR), Centers for Disease Control and Prevention (CDC), Food and Drug Administration (FDA), Indian Health Service (IHS), and the Substance Abuse and Mental Health Services Administration (SAMHSA).

The current PHS 398 and PHS 2590 have OMB Clearance through 5/04/03. The NIH will publish an announcement in the NIH Guide for Grants and Contracts when the new forms and instructions are available for use. There will be a transition period when the current or revised forms will be accepted. Current PHS 398 and 2590 forms and instructions can be viewed at http://grants.nih.gov/grants/forms.htm

Primary goals of the revision process will be to enhance quality and clarity, with special emphasis on streamlining and plain language efforts. Some of the recent policy changes to be incorporated into the revision are the following:

Change in PHS Policy on Humane Care and Use of Laboratory Animals


New NIH Policy on Data Sharing


Revised Policy on Submission of Amended Applications


Other 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/).

Upcoming Outside Training Opportunities:
National Council for University Research Administrators (NCURA) Annual Conference, Washington DC, November 2 – 5
For further information, please see http://www.ncura.edu/conferences/45/.
Frequently Asked Questions...
What is the Correct Mailing Address for NIH Non-Competing Progress Reports (PHS 2590)?

Non-Competing Progress Reports to continue support of a PHS grant must be submitted to the awarding component's grants management office using the PHS 2590 forms at least two months before the beginning date of the next budget period.

How many copies should be submitted?

Submit the completed, signed original progress report and two copies. Do not bind or staple the original. An incomplete or incorrectly prepared continuation progress report may result in a delay in award of funds.

If you are unsure as to which institution your award was made from, refer to the two letter code in your grant award number (ex. “CA” = awarded by NCI, National Cancer Institute; EY= awarded by NEI, National Eye Institute).

Correct mailing addresses are maintained at the following URL: http://grants1.nih.gov/grants/type5_mailing_addresses.htm.

Should Carryovers of Unspent Funds (between budget periods) be addressed in Non-Competing Progress Reports?

YES, if such carryovers exceed 25%. While most NIH awards are covered under FDP and carryovers of unexpended funds are allowable, if such carryovers exceed 25%, they require further action. Upon preparation of a non-competing progress report, the grant fund should be carefully reviewed. If a carryover in excess of 25% of the budget is anticipated to exist at the end of the budget period, this must be addressed in the non-competing progress report. Information on the reason for the carryover and plans for future spending should be included.

Please note that while individual financial reports on awards may not be required until the end of the project, the University is required to submit a quarterly expenditure report for all NIH awards. This report provides NIH with the total amount of funds which have been spent on specific projects through the end of the quarter. These amounts come directly from BEN at the end of each quarter (March 31, June 30, September 30, December 31).

Not addressing anticipated carryovers in the non-competing progress reports may result in a decrease in continuation funding. If you have any questions regarding carryovers, please contact your assigned ORS accountant, designated assistant director or Kerry Peluso, Post Award Director at pelusok@pobox.upenn.edu.
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.
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.

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  - Institute of Neurological Sciences  
  - Medical School  
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• School of Nursing  
• Institute of Contemporary Art  
• Vice Provost of University Live  
• School of Medicine Departments: 
  - Cancer Center  
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  - Radiation Oncology  
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• School of Medicine Departments: 
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  - Center for Experimental Therapeutics  
  - Institute for Aging  
  - Institute for Human Gene Therapy  
  - Molecular & Cellular Engineering  
  - Center for Clinical Epidemiology and Biostatistics

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• School of Engineering and Applied Science  
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  - Materials Science & Engineering  
  - Mechanical Engineering  
• Minority Programs

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• Annenberg Center  
• Graduate School of Education  
• Law School  
• Morris Arboretum  
• University Museum

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• School of Medicine Departments: 
  - Chemistry  
  - Linguistics  
  - Center for Bioinformatics  
  - Institute for Medicine & Engineering

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• The College  
• General University  
• School of Social Work  
• Van Pelt Library  
• Wharton School  
• School of Arts & Sciences: 
  - All except Chemistry, Linguistics, Economics and Physics  
• School of Medicine Departments: 
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  - Diabetes  
  - Rehabilitation Medicine

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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 and Vice Provost for Research.