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Sponsored Programs at Penn

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. 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/rih/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

IMPORTANT

**September, October
and November are
Penn's heaviest
months for
FSR's due.**

*In order to avoid
delinquent financial
reports, it is important
to ensure that all
costs are finalized
within the adjustment
period. Unfreeze
requests will be
accepted for limited
situations only with
detailed and adequate
justification.*

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

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-064.html>

New NIH Policy on Data Sharing

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-032.html>

Revised Policy on Submission of Amended Applications

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-041.html>

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/>.

National Council for University Research Administrators (NCURA), Financial Research Administration Conference, San Diego, February 29 – March 2. Further information to be available soon.





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.



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

CHRISTINE GUNDERSEN – ASSISTANT DIRECTOR

(215) 746-0234 OR gund@pobox.upenn.edu

- 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 – ASSISTANT 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 POMONIO - 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 – SENIOR CONTRACTS ADMINISTRATOR

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

- Corporate Clinical Trial Agreements

VACANT – SENIOR CONTRACTS ADMINISTRATOR

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

- Corporate Clinical Trial Agreements

GREGORY CURLEY – CONTRACT ADMINISTRATOR

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

- Account Information Sheets for Corporate 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

Post Award Administration Staff

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.

FEDERAL COMPLIANCE GROUP:

ROBERT McCANN – DIRECTOR
(215) 598-1469 OR mcannr@pobox.upenn.edu

ANNAMARIA MOLNAR – FINANCIAL ANALYST
(215) 898-0818 OR molnar@pobox.upenn.edu

FLOYD HARRIS – ACCOUNTANT
(215) 898-5743 OR harrisf@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 – ASSISTANT DIRECTOR
(215) 898-2344 OR kimmq@pobox.upenn.edu

ALIYU MOHAMMED – TEAM LEADER
(215) 573-6716 OR aliyum@pobox.upenn.edu

- School of Medicine Departments:

Psychiatry	Surgery
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GRACE BEATTIE – DESK ACCOUNTANT
(215) 898-2342 OR gbeattie@pobox.upenn.edu

- School of Medicine Departments:

Biochemistry/Biophysics	Microbiology
Cell and Developmental Biology	Pathology
Radiology	

CHRISTINE YOO – DESK ACCOUNTANT
(215) 898-2155 OR christiy@pobox.upenn.edu

- School of Medicine Departments:

Biomedical Graduate Studies	Dermatology
Institute for Environmental Medicine	Neurology
Institute of Neurological Sciences	Neuroscience
Medical School	Ophthalmology
Orthopedic Surgery	Pharmacology
Pediatrics Admin	Pediatrics -Neonatology
Otorhinolaryngology: Head and Neck Surgery	

FLORENCE GRAZIOLA – DESK ACCOUNTANT
(215) 573-6708 OR graziola@pobox.upenn.edu

- School of Medicine Departments:
 - Department of Medicine

ALICJA NALEWAJEK – DESK ACCOUNTANT
(215) 898-9212 OR alicja37@pobox.upenn.edu

- School of Nursing
- Institute of Contemporary Art
- Vice Provost of University Live
- School of Medicine Departments:

Cancer Center	Center for Sleep
Neurosurgery	Physiology
Obstetrics and Gynecology	Radiation Oncology
Center for Research on Reproduction and Women's Health	

DATA MANAGEMENT:

KEITH DIXON – ACCOUNTING/BRIM SUPERVISOR
(215) 898-1966 OR kdixon@pobox.upenn.edu

VALERIE SWARTZ – FINANCIAL COORDINATOR
(215) 898-6700 OR valeriem@pobox.upenn.edu

BOB SPEAKMAN – FINANCIAL ANALYST
(215) 898-2345 OR bspeakman@pobox.upenn.edu

FINANCIAL INVOICING AND REPORTING –Group 2:

JIM CLAVIN – ASSISTANT DIRECTOR
(215) 573-6704 OR clavin@pobox.upenn.edu

SOOJIN KIM – TEAM LEADER
(215) 573-6715 OR snam@pobox.upenn.edu

- School of Dental Medicine
- 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	

ARLENE KNASIAK – DESK ACCOUNTANT
(215) 573-6147 OR knasiak@pobox.upenn.edu

- School of Veterinary Medicine
- School of Engineering and Applied Science

Bioengineering	Chemical Engineering
Materials Science & Engineering	Mechanical Engineering
Minority Programs	
- School of Medicine Departments: Emergency Service

DERRICK BOWMAN – DESK ACCOUNTANT
(215) 573-8929 OR bowmand@pobox.upenn.edu

- Annenberg School
- Annenberg Center
- Graduate School of Education
- Law School
- Morris Arboretum
- University Museum
- School of Arts and Sciences:

Chemistry	Linguistics
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- School of Medicine Departments:

Center for Bioinformatics	Institute for Medicine & Engineering
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CHARLES MOLLI – DESK ACCOUNTANT
(215) 573-8597 OR cmolli@pobox.upenn.edu

- 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:

Cancer Biology	Diabetes
Rehabilitation Medicine	

BRIAN DUNPHY – DESK ACCOUNTANT
(215) 898-9124 OR bdunphy@pobox.upenn.edu

- Graduate School of Fine Arts
- School of Dental Medicine
- Wharton School
- Law School
- School of Engineering and Applied Science:

Electrical Engineering	Computer Science and Engineering
Institute for Research in the Cognitive Sciences	
Systems Engineering	
- School of Arts and Sciences:

Economics	Physics
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- School of Medicine Departments:

Genetics	Penn Muscle Institute
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RECEIVABLES:

GOKILA VENKATESWARAN – RECEIVABLES MANAGER
(215) 898-2515 OR gokila@pobox.upenn.edu

JUDITH L. REED TIJATTAS – RECEIVABLES ACCOUNTANT
(215) 746-0235 OR judithr@pobox.upenn.edu

JENNIFER MULHERN – RECEIVABLES ACCOUNTANT
(215) 898-2343 OR jmulhern@pobox.upenn.edu

MIRIAM STEVENSON – STAFF ASSISTANT
(215) 573-6711 OR stevenson@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 Vice President for Finance 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