Best Wishes for a Wonderful Holiday Season and Prosperous New Year!

from the staff of ORS

- Grant Transfers -
ORS Needs to Know When a PI is Leaving Penn

It is extremely important to notify ORS in a timely manner when a PI with active grants is planning to leave the University. In cases when a PI leaves, he or she may request to transfer active grants to his or her new institution. In order for this process to occur in a timely manner, ORS needs to be informed of the transfer within 60 days in advance of the date of transfer. They will assist in completion of the appropriate forms/documentation (i.e: Relinquishment Statement, Grant Transfer Form, etc.). When ORS is not notified of the transfer, delays in transferring the grant may result.

Expenses should be finalized on the fund in BEN when the transfer is processed. They must be finalized no later than the last day of the quarter in which the PI leaves the institution (3/31, 6/30, 9/30 or 12/31). i.e: If a PI leaves on 9/1, the expenses must be finalized in BEN on 9/30 or if the PI leaves on 7/1, the expenses must be finalized by 9/30. Please note that due to constraints in the Fastlane System, failure to do this may result in delays of up to seven months in transferring NSF awards.

If the grants will not be transferred to another institution, prior approval of the sponsor must be obtained prior to the appointment of a new PI. As a key person on the grant, approval is required for the project to continue at Penn after the original PI has left. When a grant is being transferred or a new PI is being named, the assigned Contract Administrator in ORS should be your first contact. The ORS Accountant should then be contacted to finalize and close out the award. If you have any questions regarding this process, please contact Pam Caudill, Director of Pre Award Non-Financial Administration at caudill@pobox.upenn.edu or Kerry Peluso, Director of Post Award Financial Administration at pelusok@pobox.upenn.edu
Phased Rollout Beginning:
Penn's Adverse Events Reporting System (PennAEs)

We are pleased to announce that on November 25, the Penn Human Subjects Adverse Events Reporting (PennAEs) component of the PennERA system was released to select members of the University of Pennsylvania's academic research community. PennAEs is a web-based software solution that facilitates the tracking and collecting of adverse events in clinical trials and the reporting of serious adverse events involving human subjects to the Institutional Review Boards of the University of Pennsylvania.

The system will be released in phases to facilitate orientation and the support of new users of the system. Additional members of the University community will be given access throughout the fall. This phased rollout follows a successful pilot release of the system that began in September 2002. This is a first release and over time, as hands-on use expands, there may be enhancements to terminology and navigation features of the system. This evolutionary approach to a new system and associated processes will help ensure that PennAEs will facilitate and enable improved tracking and information collection. Faculty investigators and the members of their research teams will be notified when PennAEs is available for campus-wide use.

PennAEs is one of the several components of the PennERA (Penn Electronic Research Administration) project. This multi-year project is designed to enhance the processes that support research and grants administration at the University.

If you have any questions or would like more detailed information about the PennAEs component of the PennERA system, or if you wish to register to use PennAEs, please send an e-mail to pennaes@pobox.upenn.edu or contact Chris Sandy at 215-746-6266. For the most up-to-date information on the PennERA project, visit the project web site at http://www.pennera.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

Training Opportunities:

Proposal Approval Process at the University of Pennsylvania, Thursday, December 12, 10 a.m.
For further information and to register, please go to http://www.finance.upenn.edu/ftfd/.


COMING SOON:

NEW Design for ORS's Website with lots more links, information and resources. Will be available in early 2003. Any suggestions or ideas are very welcome and should be forwarded to Kerry Peluso at 3-6705 or pelusok@pobox.upenn.edu. During the development phase of this project, we will be contacting researchers and administrators for feedback and suggestions.
REMEMBER:
Notifications of
Pending NIH Non-Competing Grant Progress Reports
(PHS 2590)
are now in Electronic Form

NIH has transitioned the notification of Non-Competing Grant Progress Reports from a hard copy mailing of preprinted face pages (PHS 2590) to an electronic format.

As discussed in the May 2, 2002 Notice on this topic [http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-047.html], the last hard copy mailing of pre-printed face pages was mailed in late June for those progress reports with November 2002 start dates. Office of Extramural Research has launched a website of Non-competing Progress Report due date information [http://era.nih.gov/userreports/pr_due.cfm]. This website can be queried using the Institutional Profile Number (IPF) to return a list of "due" progress reports for the institution. Penn’s IPF is 6463801.

As a convenience for the faculty, Research Services will access the website and send out an electronic reminder to the Principal Investigator and Business Administrator to alert them when an application is due. As this new system is implemented, please keep in mind that progress reports are due two months prior to the beginning of the next funded year and it is the responsibility of the principal investigator to submit the progress report on time.

It is strongly recommended that each department review this list for upcoming due dates. The necessary forms can be found at [http://grants.nih.gov/grants/forms.htm#applications]

Progress reports should continue to be mailed directly to the NIH awarding Institute/Center. A list of Institute/Center mailing addresses for progress reports is found at: [http://grants.nih.gov/grants/type5_mailing_addresses.htm]

If you have any questions regarding these procedures, please contact your contract administrator at Research Services.
Frequently Asked Questions

IS YOUR RESEARCH FUNDING A GRANT OR A GIFT?

Faculty members receive the bulk of their funding for research through sponsored research projects (contracts and grants). To ensure that funds provided from external sources to support research and other projects are administered in accordance with University policies as well as those of the sponsor, all externally sponsored projects for research or other purposes will be administered through ORS.

Another important source of external funding for faculty is from gifts. Gifts to the University of a restricted or unrestricted nature are not viewed as sponsored research projects and are not processed through ORS, but rather through the normal gift transmittal procedures. Gift solicitation and acceptance should be coordinated with the appropriate Development Officer in each school.

Any funding provided by U.S. government agencies are sponsored research projects. The same is generally true for funding from associations or foundations, such as the American Heart Association or Mellon Foundation. However, in some cases, it is not always clear if a source of external research funding is properly classified as a sponsored research project (“grant or gift”, since an actual contract would rarely be confused as a gift).

In order to assist faculty and business administrators in determining if a source of external funding is a grant or a gift, the following guidelines are provided. Proper characterization is needed to ensure the intent of the sponsor or donor is reflected and that Penn: i) complies with any terms specified by the sponsor/donor, ii) properly recovers its costs, both direct and indirect, and iii) complies with any research compliance reporting requirements. Classification of a given award will require the exercise of some judgment if its characteristics are such that the true nature of the award is not immediately clear. In cases where there is a question whether external funding should be treated as a sponsored project or gift, the Executive Director of ORS will consult with representatives of the school(s) involved, the Corporate and Foundation Relations Office and the Office of the Treasurer to determine its appropriate classification.

The following are characteristics are generally associated with a gift:

1. The funding does not commit the University to a specific line of scholarly or scientific inquiry as demonstrated by a specific work plan or proposal.
2. There are no formal financial accounting requirements or budgetary restrictions associated with the funding.
3. The funding is irrevocable.
4. There is no formal requirement that research results be reported to the Sponsor. However, a donor of a gift may be kept informed of research results or expenditures to demonstrate good faith on the part of Penn.
5. A gift imposes no requirements regarding the disposition of either tangible property (e.g., equipment, records, technical reports, theses or dissertations) or intangible property (e.g., inventions, copyrights or rights in data) which may result from the project.
6. There is no specific period of performance or during which funds must be used.
7. There are no other contractual obligations imposed as a condition of the funding.

The determination of a gift vs. grant will not be based upon indirect cost recovery or the avoidance of the gift tax. For further information, see Financial Policy 2101 (http://www.finance.upenn.edu/vpfinance/fpm/2100/2101.html).
Frequently Asked Questions……..
When do travel reimbursement requests require ORS approval?

Research Services review and approval is required only on travel reimbursements that include either foreign travel or entertainment expenses. When reviewing reimbursement requests, ORS determines the general allowability of the cost category, while it is the responsibility of the PI and business administrator to determine the allocability and timeliness of the charge. For instance, if a request is made for reimbursement of a trip to London to present a paper at a scientific meeting, ORS would determine if foreign travel was allowed by the sponsor and, if federally funded, was a US carrier used for the flight. It is up to the department to determine that the trip was directly related to the sponsored project being charged, that the charge is made in a timely manner and that the appropriate documentation is provided.

Most approval delays occur when unallowable costs are included in the reimbursement request. Travelers should check the policies of the funding agency, as well as the University policies to determine allowability of costs and any specific cost exclusions. For instance, federal policy requires that US flag carriers be used for government financed international air travel to the extent service by these carriers is available. Foreign air carriers cannot be used based solely on cost or convenience. Other examples of unallowable costs are meals for University employees not in travel status, refreshments at meetings, alcoholic beverages, social functions, gifts and flowers.

To expedite the approval process, unallowable costs should be removed from the expense report or charged to another type of account, if appropriate. If sponsor approval was required for a particular charge, a copy of the approval should accompany the expense report.

To ensure quick processing of your travel reimbursement requests, please verify that all charges are allowable on your grant.

Where can I get more information about administering my grants?

Office of Research Services Web Site:
http://www.upenn.edu/researchservices/

Research Investigator’s Handbook:
http://www.upenn.edu/researchservices/rih/intro.html

A Quick Guide for Faculty:
http://www.upenn.edu/researchservices/pdfs/newfacbk.pdf

University of Pennsylvania Cost Sharing Policy:
http://www.upenn.edu/researchservices/rs/costshare.html

Contact an Office of Research Services Staff Member:
http://www.upenn.edu/researchservices/rs/contact.html

National Conference for University Research Administrators (NCURA):
http://www.ncura.edu

For timely news and updates, subscribe to our mailing list....
http://www.upenn.edu/researchservices/rs/subscribe.html
Revised Assignments for Pre-Award Services

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 now responsible for Account Information Sheets (AIS’s) for all industrial clinical trials and sponsored research agreements.

PAMELA S. CAUDILL – DIRECTOR
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• SOM – Dean’s Office

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• 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

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• Law School
• Morris Arboretum
• Provost Interdisciplinary Program
• School of Art and Sciences
• School of Social Work
• Student Services
• Van Pelt Library

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• 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

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• 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:

DR. DONALD DEYO, Esq. – SENIOR ASSOCIATE DIRECTOR
(215) 573-8970 OR deyo@pobox.upenn.edu

DR. EDWARD PIETERS – 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

DENISE BOUYET – SENIOR CONTRACTS ADMINISTRATOR
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• Corporate Clinical Trial Agreements

GREGORY CURLEY – CONTRACT ADMINISTRATOR
(215) 746-0033 or gcurley@pobox.upenn.edu
• Account Information Sheets for Corporate Contracts
# 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:

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Phone Number</th>
<th>Email Address</th>
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## POST AWARD ADMINISTRATION:

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## FINANCIAL INVOICING AND REPORTING –Group 1:

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<tr>
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<th>Title</th>
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## GRACE BEATTIE – DESK ACCOUNTANT

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## CHRISTINE YOO – DESK ACCOUNTANT

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</tbody>
</table>

## FINANCIAL INVOICING AND REPORTING –Group 2:

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## RECEIVABLES:

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<tbody>
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## DATA MANAGEMENT:

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<tbody>
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About Our Organization...

Our Mission

The Office of Research Services 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, Research Services

- 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, Research Services is responsible for billing of contracts management of letters of credit for payment of grants, preparation of indirect cost and employee benefit rate proposals and rate negotiations, management of the effort reporting system, and oversight of service center rate development.

Office of Research Services
Quick Contact List:


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