February 2005
Volume 3, Issue 7

Office of Research Services
-- Research Administration News --

Special Interest Articles:

DID YOU RECEIVE A **1099** ADDRESSED TO THE **UNIVERSITY OF PENNSYLVANIA**? These should not be forwarded to ORS. They should be sent directly to the **Corporate Tax Department** (http://www.finance.upenn.edu/comptroller/tax/ .

PennERA Update
NIH Electronic Application Submission

On January 12, 2005, the National Institutes of Health (NIH) began accepting electronic submission of competing grant applications from researchers. The process, called eCGAP (electronic Competitive Grant Application Process), has been organized such that researchers may work with select commercial service providers to submit their grant applications electronically.

What does this mean for Penn Research Faculty?

While NIH has announced that they will accept competing grant applications through electronic submission, its capability to do so is still limited and has in fact often been problematic for investigators during recent submissions. At the present time, we are not encouraging faculty to submit applications to the NIH electronically through these commercial service providers. There are several issues of which you should be aware that are detailed below:

- Service providers are supplying their electronic submission services on a fee per use (proposal submission) basis
- NIH can only accept applications for R01, R03, and R21 mechanisms, which must have modular budgets and cannot include consortia or subcontracts
- Penn was involved in the eCGAP pilot and found that Appendix materials and the inclusion of high-resolution graphics were often problematic
- During the eCGAP pilot year, attempts were made to electronically submit roughly 100 competing proposals nationwide to the NIH; fewer than 45% of those proposals were successfully processed and the remainder had to be re-submitted by investigators via hard-copy

All applications to the NIH from Penn researchers must be reviewed and approved internally at Penn prior to submission to the NIH; submitting electronically directly to the NIH bypassing the Penn review and approval system will at the least create problems and delays, and will likely invalidate the application

At the present time, the Office of Research Services will not be participating in eCGAP because of the cost of submissions and the added burden placed on staff, particularly if the electronic process fails and in light of the volume of NIH submissions. Because of these issues, we encourage all investigators to continue to use the process they currently use to submit applications, rather than using the NIH eCGAP submission through service providers. Penn is already in the process of building a web-based system for investigators to use that will interface with the NIH system in the future (see below for more information).

Penn's plan for future electronic application submission

One of the initiatives of the PennERA (Electronic Research Administration) project is to develop and implement a Proposal Development application that will allow an investigator to create a complete proposal in a web-based environment here at Penn, route the proposal for internal review and approval online, and then deliver that proposal to the NIH via a system-to-system interface. An upgrade to existing Proposal Tracking software is scheduled in the next several months that will enable us to begin work in earnest on the Proposal Development and electronic submission system. Plans are also underway for handling non-competing electronic submissions to the NIH (eSNAP) using NIH Commons. More information will be provided as the project develops.

More information about PennERA

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

PennERA End-User Support

The PennERA (Electronic Research Administration) team is pleased to announce that on February 28, 2005, an End-User Support (EUS) system will be implemented to serve PennERA users. The EUS system will provide users with several ways to get help about PennERA applications and features.

As of February 28, users can access help through the following methods:

- **Help Line—*Users dial 6-2900 (on campus) or 215-746-2900 (off campus); hours are 9AM-5PM, Monday-Friday. This single help-desk number can be used for all operational and technical questions. Calls are routed to subject matter experts based on the product with which the user needs help. If a call involves a technical problem, it is re-routed to a technical expert. Calls are logged into a shared database where they can be tracked and easily retrieved, ensuring consistent and accurate responses.***

- **E-mail—*Questions can be e-mailed to pennerahelp@pobox.upenn.edu. (Users who need help with Account Information Sheets (AIS's) are asked to continue to use AISprob@pobox.upenn.edu.)***

- **Web—*A web form will be available from the PennERA Help page at http://project.pennera.upenn.edu/help.asp. Users can enter information that will automatically be directed to subject matter and technical experts in the same manner as the Help Line.***

If you have any questions, comments, or suggestions, please send an e-mail to pennera@pobox.upenn.edu.

REMINDER: Review of Electronic Submission Procedures

As more and more funding agencies allow for electronic proposal submission, Principal Investigators and Departmental Administrators are reminded that the following procedures must be followed when submitting an electronic proposal:

- All electronic submissions must be reviewed and approved at both the School level and the Office of Research Services, even if such approval is not required by the funding agency. If established procedures are not followed and the proposal is selected for funding, the University may opt not to accept funding or to delay account set up until all compliance reviews and negotiations are complete.
- A paper copy of the proposal, along with the completed Proposal Routing and Approval Form (transmittal), must be brought to Research Services prior to the submission of the electronic proposal. This provides Research Services the necessary documentation regarding school and regulatory approvals.
- For proposals that require electronic approval by Research Services, the electronic file should be completed and released to Research Services at least 4 hours prior to the deadline or no later than 1:00 pm to allow for adequate time for review and approval.

For more information regarding the submission of electronic proposals, refer to the September, 2004 ORS newsletter.

Submissions of Just In Time via the NIH Commons

If you are submitting JIT (JUST-IN-TIME) Information via NIH Commons, you must notify the SO (Signing Official/Research Services) that the information has been uploaded and is waiting for (SO) review and submission. This is necessary because the NIH Commons DOES NOT notify ORS that JIT information is PENDING our review and submission.

Method of Notification: After the requested information has been uploaded, please forward originating email notification received requesting JIT information from the Grants Specialist with a note indicating that the JIT Information is ready to be submitted. Alternatively, the information requested may be submitted directly to the Grants Management Office identified on the Just-In-Time Notification that you received. This information should be countersigned by an authorized institutional business official. It should be submitted by facsimile with a cover sheet labeled “JIT Information” and should include the application number and the name of the Principal Investigator.

Did you know that........?

Sponsored Projects Policy No. 2114 titled “Effort Reporting” has been revised. This Policy states, “Payroll screen prints of salary reallocations must accompany a modified effort report to ensure that the certified effort report agrees with the salary charged.” Click here to read the entire Policy.

There is a new Sponsored Projects Policy No. 2139 titled “Faculty Summer Effort”. This Policy defines the requirements for faculty with a less than twelve month appointment and who receive summer salary from a sponsored project(s). Click here to read the entire Policy.

The National Science Foundation is not the only federal agency that limits the daily rate of a consultant. NASA and EPA awards have a statutory limitation as well. The limitation is based on the daily equivalent of the then current federal Executive Schedule Level IV employee.

The NIH allows for “Other Significant Contributors” to be listed in a proposal. This individual as defined by the NIH is someone who will contribute to the scientific development and execution of the project, but is not committing any specified measurable effort to the proposed project. Check the NIH 398 Instructions for further information.

Proposals for federal awards that are to fund a clinical trial or have a clinical trial component should be marked on the transmittal form as “clinical trial” under program type. This does not include awards that have a clinical trial in the research plan, but the cost of the trial is not supported.

NIH

Ruth L. Kirschstein National Research Service Award (NRSA) Stipend and Other Budgetary Levels Effective for FiscalYear 2005

Notice Number: NOT-OD-05-032

Key Dates
Release Date: February 4, 2005

Issued by
National Institutes of Health (NIH), (http://www.nih.gov/)
Agency for Healthcare Research and Quality (AHRQ), (http://www.ahrq.gov/)
Health Resources Services Administration (HRSA), (http://www.hrsa.gov/)

The stipend levels for Fiscal Year (FY) 2005 Kirschstein-NRSA awards for undergraduate, predoctoral and postdoctoral trainees and fellows are shown below. The Training Related Expenses for trainees and the Institutional Allowance for individual fellows for FY 2005 are also shown below.

The Budgetary Categories Described in this Notice Are Effective Only for Kirschstein-NRSA Awards Made with FY 2005 Funds.

Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2004 are permitted. Budgetary adjustments for training grant and fellowship awards, therefore, will be made only at the time of the FY 2005 award.

STIPENDS: Effective with all Kirschstein-NRSA awards made on or after October 1, 2004, the following annual stipend levels apply to all individuals receiving support through institutional research training grants or individual fellowships, including the Minority Access to Research Career (MARC) and Career Opportunities in Research (COR) programs. These awards are made under the authority of Section 487 of the Public Health Service Act (as amended).

The stipend levels are as follows:

Career Level	**Stipend for FY 2005**
Undergraduates in the MARC and COR Programs:	
Freshmen/Sophomores	$ 7,812
Juniors/Seniors	$ 10,956
Predoctoral	$ 20,772
Postdoctoral	
Years of Experience:	
0	$ 35,568
1	$ 37,476
2	$ 41,796
3	$ 43,428
4	$ 45,048
5	$ 46,992
6	$ 48,852
7 or more	$ 51,036

These stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

The NIH encourages institutions to limit the duration of graduate and postdoctoral training to the extent possible. In most cases, graduate and postdoctoral research training from any source should not exceed 6 years and 5 years, respectively. The NIH retains eight levels of postdoctoral stipends to accommodate individuals who complete other forms of health-related training prior to accepting a Kirschstein-NRSA supported position. The presence of eight discrete levels of experience should not be construed as an endorsement of extended periods of postdoctoral research training. The NIH also seeks to address the need to help defray the increasing costs of health insurance for individual NRSA fellows.

It should be noted that the maximum amount that NIH will award to support the compensation package for a graduate student research assistant remains at the zero level postdoctoral stipend as described at http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-017.html.

Institutional Allowance and Training Related Expenses for Kirschstein-NRSA Recipients:

The Training Related Expenses for each predoctoral and postdoctoral trainee as well as the Institutional Allowance for all predoctoral and postdoctoral fellows will be paid at the amounts shown below for all awards made with FY 2005 funds:

Training Related Expenses on Institutional Training Grants

Predoctoral Trainees:	$2,200
Postdoctoral Trainees:	$3,850

Institutional Allowance on Individual Fellows Sponsored by non-Federal Public & Private Institutions (Domestic & Foreign)

Predoctoral Fellows:	$2,750
Postdoctoral Fellows:	$6,500

Institutional Allowance for Individual Fellows Sponsored by Federal and For-Profit Institutions

Predoctoral Fellows:	$1,650
Postdoctoral Fellows:	$5,400

Expenses allowed within these cost categories are described in the appropriate program announcements, which can be found at http://grants.nih.gov/training/nrsa.htm. These amounts will be applied to all competing and non-competing NRSA awards made with FY 2005 funds. Any FY 2005 awards issued using previously-approved levels will be revised. These levels are to be used in the preparation of future competing and non-competing Kirschstein-NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

Inquiries

Questions concerning this notice or other policies relating to training grants or fellowships should be directed to the grants management office in the appropriate NIH Institute or Center.

Walter L. Goldschmidts, Ph.D.
Acting Research Training Officer
National Institutes of Health
6705 Rockledge Drive, Room 3516
Bethesda, Maryland 20892-7963
Phone: (301) 451-4225
FAX: (301) 480-0146
Email: goldschw@mail.nih.gov

Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research

The National Institutes of Health (NIH) announces its policy on enhancing public access to archived publications resulting from NIH-funded research. Beginning May 2, 2005, NIH-funded investigators are requested to submit to the NIH National Library of Medicine's (NLM) PubMed Central (PMC) an electronic version of the author's final manuscript upon acceptance for publication, resulting from research supported, in whole or in part, with direct costs[1] from NIH. The author's final manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process.

This policy applies to all research grant and career development award mechanisms, cooperative agreements, contracts, Institutional and Individual Ruth L. Kirschstein National Research Service Awards, as well as NIH intramural research studies. The policy is intended to: 1) create a stable archive of peer-reviewed research publications resulting from NIH-funded research to ensure the permanent preservation of these vital published research findings; 2) secure a searchable compendium of these peer-reviewed research publications that NIH and its awardees can use to manage more efficiently and to understand better their research portfolios, monitor scientific productivity, and ultimately, help set research priorities; and 3) make published results of NIH-funded research more readily accessible to the public, health care providers, educators, and scientists.

This final NIH Public Access Policy (the "Policy") reflects modifications and clarifications to the proposed policy released September 3, 2004, in the **NIH Guide for Grants and Contracts** and September 17, 2004, in the **Federal Register** and the more than 6,000 public comments received through November 16, 2004. The most significant change in the Policy from that originally proposed is to provide more flexibility for authors to specify the timing of the posting of their final manuscripts for public accessibility through PMC. The proposed policy indicated a six-month delay of posting through PMC. The Policy now requests and strongly encourages that authors specify posting of their final manuscripts for public accessibility as soon as possible (and within 12 months of the publisher's official date of final publication). The Policy also clarifies that the publication date is the publisher's official date of final publication.

The complete policy can be found at http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-05-022.html.

Effective Date: May 2, 2005

Revised Instructions for Including Consortium Organizations in NIH Grant Applications

According to PHS Grant Application (PHS398) Instructions, revised 9/2004, a separate statement of intent is no longer required to be part of the application when proposing consortium arrangements. Instead, the signature of the authorized organization official on the Face Page signifies that the applicant and all proposed consortium participants understand and agree to the following statement: *The appropriate programmatic and administrative personnel of each organization involved in this grant application are aware of the NIH consortium policy and are prepared to establish the necessary inter-organizational agreement(s) consistent with that policy.*

Effective immediately, the Office of Research Services will require a PHS398 face page, along with the budget, checklist page and scope of work, completed and signed by the consortium organization. If this is a first time collaboration, a copy of their F&A Rate agreement is also required. This will allow for greater regulatory oversight, as well as providing evidence to the institutional official signing on behalf of the University that the administrative officials of the cooperating institution have agreed to the participation of their faulty in the proposed project under the NIH terms.

NASA is moving to a new web-based system for the submission and review of research

Effective January 2005, NASA is moving to a new web-based system for the submission and review of research proposals. The current system – SYS-EYFUS – is being phased out and the new system – NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) – is being introduced for proposal submission for solicitations released in January 2005. NSPIRES is designed to ultimately receive complete electronic proposals for NASA research opportunities, including NASA Research Announcements (NRAs), Announcements of Opportunity (AOs), unsolicited proposals and Congressionally directed financial assistance. Currently, only proposal cover page data is submitted online and that is generally expected to continue for the present.

The main change NSPIRES introduces is the submission of online proposal data will become the responsibility of the submitting organization's Sponsored Research Business Office, rather than the responsibility of the Principal Investigator as at present. This significant change will allow NSPIRES to serve as NASA's portal to Grants.gov, the Federal Government's common site through which organizations will submit proposals in response to NRAs.

All investigators and team members wishing to respond to NASA research solicitations need to register with NSPIRES. When registering, select Trustees of the University of Pennsylvania as your affiliate organization. The Office of Research Services will receive an email notification of your registration, and will then affiliate your registration with PENN to complete the registration.

To insure that information for current SYS-EYFUS users is incorporated into the NSPIRES system, all current SYS-EYFUS users need to register with NSPIRES through the current SYS-EYFUS system. This enables your historical records to be linked to your new NSPIRES account. Therefore, to register with NSPIRES, please do one of the following:

a) if you have a current SYS-EYFUS account, access http://proposals.hq.nasa.gov/proposal.cfm to begin setting up your NSPIRES account, or,

b) if you don't have an existing SYS-EYFUS account, access http://nspires.nasaprs.com and click the Registration Information link to register directly with NSPIRES.

The NSPIRES Help Desk can be reached by email at nspires-help@nasaprs.com or by telephone at (202) 479-9376, Mondays through Fridays, 8:00 a.m. through 6:00 p.m. Eastern Time if you have further questions

Charges Hitting Disabled Funds

During the recent upgrade to BEN financials, charges hit numerous disabled funds. Select charges and credits can be applied to disabled funds. However, since the fund is disabled, the process does not complete and the charges (or credits) remain in "limbo" until a process is run which allows the charges to hit the individual funds. As part of the upgrade, this process occurred.

We are reviewing the situation and determining the steps necessary to address these issues. We are also looking at the causes and how this can be avoided in the future.

We will provide further information on this topic soon.

Frequently Asked Questions . . .

Sponsored Programs Policy 2125 states that if a sponsor does not provide payment, the bad debt will generally be written off to the department. ORS has an Accounts Receivable Group who follows up on receivables. What is the department's responsibility in following up on outstanding receivables?

This policy states:

"Should all prudent collection efforts fail and unless compelling circumstances dictate otherwise as determined by the Executive Director, Research Services, uncollectible claims will be written-off to the appropriate department or responsibility center."

The responsibility for ensuring collection of receivables is a shared responsibility between ORS and the Department/PI. However, as the policy states, uncollectible claims are ultimately, in most cases, the financial responsibility of the department so it is important that the department take a proactive role in this area. ORS has an Accounts Receivable Group which is assigned to assist the departments in this area. Given the volume of receivables and the amount of available ORS staff assigned to this area, ORS has established a priority system to review and address receivables. (Total receivables on sponsored projects range in the amount of $25,000,000 to $33,000,000 on approximately 1000 funds and involving several thousand invoices.)

How does ORS follow up on receivables?

The ORS Accounts Receivable Group reviews the overall aged receivables on a monthly basis. Several potentially high risk populations are closely reviewed on a monthly basis and sponsors are contacted as needed. Included in these are:

*Awards with an outstanding balance exceeding $200,000
*Awards active six months where expenditures have occurred and no payment has been received
*Corporate Awards where no payment has been received
*Receivables on awards which expired over 180 days ago

If your receivable falls into one of the above categories, it may be already under review by ORS (higher amount receivables are given priority). In addition, the ORS AR Group reviews other populations resulting from their review of the aged receivable report and other reports. ORS contacts the departments regarding any actions (that come to their attention) which are required by the department to ensure payment. Departments are also contacted when concern exists about the potential collection of a receivable. Awards which have been brought to the attention of the ORS AR Group by a department or other ORS staff member are also given a priority review.

ORS Billing and Reporting Accountants review the receivables due on awards at invoicing and at closeout. If any receivable is greater than 90 days, the sponsor is contacted via phone, email or a dunning notice.

What should the department do to follow up on receivables?

The first step is to ensure that all technical reports and deliverables have been provided to the sponsor as outlined in the terms of the agreement. Beyond this, the department should review their receivables on a monthly basis. If a receivable exceeding the total amount of expenditures for the past 90 days exists, contact ORS. For active (prior to end date), invoiced awards (non Clincal Trials), contact your ORS Accountant. For all other receivables, the AR Manager should be contacted (Gokila Venkateswaran at 215-898-2515 or gokila@pobox.upenn.edu).

If at any point, irrespective of the amount or aging of the receivable, the department has information regarding a receivable, they must provide this information to ORS. Since the departments, in most cases, are ultimately responsible for the receivables, it is important that they remain active in this process. If the department does have a concern regarding a receivable, they can contact the sponsor. However, prior to doing this, it is recommended that the department speak to the ORS AR Manager so that they have full information on the status of the collection efforts, if any. To avoid significant write offs, the department should consider discontinuing spending if there is serious concern about the University's ability to collect payment.

Is it a good idea to forward all of my receivables to ORS on a monthly basis to ensure they review them all?

NO. If all departments do this, it would be impossible for ORS to review this volume. Departments should review their receivables and only contact ORS regarding those receivables which appear to have a potential collection issue as outlined above.

When is the department responsible to cover receivables that we are not able to collect?

After multiple contacts have been made to the sponsor and the receivable is determined to be uncollectible, the ORS AR Manager approves all requests for write offs. Requests are forwarded to the Post Award Director with detailed information on all collection efforts for approval. Upon review and approval, the Post Award Director and the Executive Director determine the appropriate source for the write off to be written off against. In determining this, consideration is given to the facts of the situation and all actions taken by ORS and the department. In most cases, the department will be responsible to cover the overdraft.

During the past couple of years, aged receivables extending back to the 1980's were addressed. Due to the age, many needed to be written off. Each write off was reviewed and many were written off to the University due to the span of time which had passed since the receivable was created. Going forward departments must take an active role in the administration of their receivables to avoid potential write offs.

PennERS Update

The pilot roll out of the Effort Reporting System is scheduled to begin on February 28, 2005. There will be approximately 200 end users during the pilot phase of the implementation.

The following departments have been selected for the pilot roll out of ERS:

SAS (0113) History and Sociology of Science
SEAS (1306) Mechanical Engineering
SOM (4132) Medical Ethics
SOM (4231) Department of Medicine, Diabetes/Endocrine Division
SOM (4532) Pathology Department, Cancer Biology
SOM (4602) Department of Medicine, Institute on Aging
SOM (4613) Institute for Environmental Medicine

- Acceptance testing of the system took place during the week of February 7-11
- Training of the Departmental Coordinators and Pre & Post reviewers was conducted February 15th by the software vendor, Maximus, Inc.
- Approximately 90 Departmental Coordinators previously attended one of three orientation sessions given in November and December.
- There are 46 proxy employees, 364 payroll updates and 92 salary plans.

Departments that are not participating in the pilot will continue to use the paper forms for reviewing and certifying effort. The paper forms for the Fall Semester 2004 were mailed to the departments Friday February 4th and are **due APRIL 8.**

Getting to know your ORS Staff:

Rick Flom
Grant/Contract Assistant

Years at Penn: 3 years

Years in Research Services: 3 years

What he does: Set up grant proposals in PennERA and creates files for them.

Hobbies/Interests: Weird music, books, the universe

Favorite Restaurant: I'm an Indian food addict; I'll take it wherever I can get it.

Favorite ways to spend a vacation: Semi-yearly visit to Ontario where I fish with Dad

What Co-workers say:

…. Rick is quite simply the most amazing person I have ever met and sometimes I think he should be in the movies.
…. Rick has a great wit and really adds humor to the staff meetings.
…. Rick is a pleasure to work with. He is willing to learn new things and has a great humorous personality.

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/).

Sponsored Programs at Penn
March 2nd and 3rd

ORS is once again offering their workshops on "Sponsored Programs at Penn". This two-day program is intended for administrative and other support staff at the University who manage grant and contract accounts. The program is a series of workshops that will cover the life cycle of extramural research from proposal preparation to account closeout. Topics include Proposal Preparation & Processing, Contract Negotiation, Export Controls, Award Acceptance and Account Set-up, Financial Compliance & Allowability, Post Award Management, Reporting Tools and Data Sources, Closeouts, and Audits.

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 on March 2nd and 3rd 2005. Enrollment is limited. Registration will soon be available through the Financial Training Department. Please see **http://www.finance.upenn.edu/ftd/courses.html** for further information.

February's Contributing Authors, ORS Newsletter:

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

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

Alice Dunleavy, Associate Director, Office of Research Services

Robert McCann, Director of Cost Studies, Office of Research Services

Lauren Oshana, Associate Director, 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 – ASSISTANT DIRECTOR
(215) 746-0234 OR dfisher@pobox.upenn.edu
- School of Engineering and Applied Science
- Wharton School
- Graduate School of Education

BENITA HALL – ACTING CONTRACT ADMINISTRATOR
(215)536-6709 OR hallb@pobox.upenn.edu
- Clinical Trial Agreements
- Corporate Contracts
- President's Center
- University Museum

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

School of Dental Medicine

ROSE MAZUR – ASSISTANT DIRECTOR
(215) 573-6701 OR rmazur@pobox.upenn.edu

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

LAUREN OSHANA – ASSOCIATE DIRECTOR
(215) 573-6710 OR oshana@pobox.upenn.edu

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

SUSAN POMPONIO - CONTRACT ADMINISTRATOR
(215) 898-8751 OR pomponio@pobox.upenn.edu
- Bioinformatics – SOM
- Center for Aids Research – SOM
- Genetics – SOM
- Hematology/Oncology
- Neurosurgery - SOM
- Orthopedic Surgery – SOM
- Pediatrics – SOM
- Physiology – SOM
- School of Medicine, Institute for Medicine & Engineering – SOM
- Radiation Oncology
- Radiology

SOPHIA WHITEHEAD – SR. CONTRACT ADMINISTRATOR
(215) 898-9322 OR sophiaw@pobox.upenn.edu
- Anesthesiology – SOM
- Annenberg Center for Performing Arts
- Annenberg School for Communication
- Cell & Developmental Biology – SOM
- Center for Bioethics – SOM
- Dermatology
- Geriatrics – SOM
- Microbiology – SOM
- Ophthalmology – SOM
- Otorhinolaryngology – SOM
- School of Nursing
- School of Veterinary Medicine

CORPORATE CONTRACTS GROUP:

DONALD DEYO, Esq. –DIRECTOR
(215) 573-9970 OR deyo@pobox.upenn.edu

EDWARD PIETERS, Ph.D. – ASSOCIATE DIRECTOR
(215) 573-6712 or pieters@pobox.upenn.edu
- Sponsored Research Agreements

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

STACIA C. LEVY, M.A. – SENIOR CONTRACTS ADMINISTRATOR
(215) 746-6287 or stacial@pobox.upenn.edu
- Clinical Trial Agreements

BENITA HALL – ACTING CONTRACT ADMINISTRATOR
(215)536-6709 OR hallb@pobox.upenn.edu
- Clinical Trial Agreements
- 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 wswatson@pob

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 kimmg@pobox.upenn.edu

ALIYU MOHAMMED – TEAM LEADER
(215) 573-6716 OR aliyum@pobox.upenn.edu
- School of Medicine Departments:
  Psychiatry; Surgery

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

Contact Kim Garrison
(215) 898-2344 OR kimmg@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 bspeakma@pobox.upenn.edu

JENNIFER MULHERN – ACCOUNTANT
(215) 898-2343 OR jmulhern@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 skim@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
- School of Medicine Departments:
  Center for Bioinformatics; Institute for Medicine & Engineering

JIM DIIENNO -DESK ACCOUNTANT
215) 573-8957 OR dienno@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

Contact Jim Clavin
(215) 573-6704 OR clavin@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
- School of Medicine Departments:
  Genetics; Penn Muscle Institute

RECEIVABLES:

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

APRIL JOHNSON– RECEIVABLES ACCOUNTANT
(215) 746-0235 OR apriljoh@pobox.upenn.edu
MIRIAM STEVENSON – STAFF ASSISTANT
(215) 573-6711 OR stevenso@pobox.upenn.edu
FLOYD HARRIS – ACCOUNTANT
(215) 898-5743 OR harrsf@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 & Treasurer and Vice Provost for Research.

Office of Research Services Quick Contact List:

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

Andrew B. Rudczynski, Ph.D., Associate Vice President for Finance And Executive Director, Research Services:
215-573-9249, abrud@pobox.upenn.edu

Pamela Caudill, Director of Pre Award Non-Financial Administration:
215-573-6706, caudill@pobox.upenn.edu

Donald Deyo Esq., Director, Corporate Contracts:
215-573-9970, deyo@pobox.upenn.edu

Robert McCann, Director of Cost Studies:
215-898-1469, mccannr@pobox.upenn.edu

Kerry Peluso, CPA, Director of Post Award Financial Administration:
215-573-6705, pelusok@pobox.upenn.edu

Todd Swavely, Associate Director –Penn ERA, Project Manager:
215-573-9764, tswavely@pobox.upenn.edu