Advance Accounts and Clinical Trial Agreements in the School of Medicine

The Office of Research Support Services “ORSS” within the School of Medicine and the Office of Research Services “ORS” have entered into an innovative collaboration concerning research account set-up for studies conducted under a Clinical Trial Agreement.

Effective immediately, an advance account will be created for each School of Medicine Clinical Trial Agreements (CTA) when the ORS notifies ORSS via email that a CTA has been executed. This new process provides documentation the CTA has been executed, that work can begin, and permits departments to have costs charged appropriately to a separate 5 fund regardless of whether funds have been received from the study sponsor.

Departments need to remember that all costs charged to the account are at risk until funding is received. Accounts set up under this new process will be set up for a period of six months. The status will be updated to “Awarded” and the Account End Date will be extended for the period of the study upon deposit of the first sponsor check. Departments are responsible for billing the sponsor for Clinical Trial milestones achieved.

For those still needing to establish an account prior to the CTA being executed (e.g. to establish a family account), an advance account request is still required.

For more detail contact your ORS or ORSS representative.

**ORSS website:** http://www.med.upenn.edu/orss/

**ORS website:** http://www.upenn.edu/researchservices/
The PennERA (Electronic Research Administration) Team would like to announce a **new capability in the Proposal Development application, called the Generic Sponsor Form (GSF)**. The GSF provides the ability to electronically submit proposals to the Office of Research Services (ORS) for review and approval, and in addition it can be used to generate paper proposals for sponsors that do not have specific form sets. We encourage you to begin using this new capability immediately for proposals that fit the GSF criteria.

**When should the Generic Sponsor Form be used?**

The Generic Sponsor Form should be used for the following purposes:

* To electronically submit proposals to ORS for review (non NIH/Grants.gov proposals only)
* To prepare and print out paper copies of proposals for sponsors that do not have specific form sets

**Access**

The Generic Sponsor Form is a subset of functionality within PennERA’s Proposal Development; therefore there is no special access required or URL for the GSF. When a user selects one of the predefined sponsors from the list of PennERA sponsors, the application will automatically display the GSF navigation menu and functionality.

If a particular sponsor is not in the dropdown list, contact pennerahelp@pobox.upenn.edu and the PennERA team will configure and add it to the system.

**Benefits of the GSF**

Some of the key benefits of the Generic Sponsor Form are:

* Provides the ability to track the stages of a proposal and see where it is in the route
* Provides better data integrity, without the need to reenter redundant information for
proposals as they move through the review and approval process
* Streamlines internal review and approval of proposals

**GSF training**

Though training is not required prior to using the GSF, we encourage you to schedule an orientation session at your School/Center. **If you would like a PennERA representative to come to your School/Center and provide an orientation session on the functionality of the GSF, please contact pennera@pobox.upenn.edu.**

**Reference guide**

A one-page reference guide on the GSF is available on the PennERA web site at http://project.pennera.upenn.edu/PD_docs/GS-Fref.pdf.

Questions?

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

--Marion Campbell and Todd Swavely

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**Do you have a question about the allowability of a charge to a sponsored project research account?**

The Penn community can now submit questions related to allowability to the Allowability Panel. Please submit questions to allowability_panel@pobox.upenn.edu.

The **goal of the panel** is to provide uniform guidance on the allowability of costs. Questions on allowability should fully describe the nature of the questioned cost, identify the sponsored project award, and describe why an examination of the questioned cost has not resolved the issue. Please keep in mind, the question of permitted costs is based on the circumstance. It is impossible to say that every cost is always allowable on every award. The panel will continue to publish redacted case studies in the ORS newsletter to keep the university community informed.
NIH Fiscal Policy for Grant Awards – FY 2008

Notice Number: NOT-OD-08-036 - (See Notice NOT-OD-08-037)
Key Dates: Release Date: January 28, 2008
Issued by: National Institutes of Health (NIH), (http://www.nih.gov)

This Notice provides guidance about the NIH Fiscal Operations Plan for FY2008 and it implements the FY 2008 Congressional action that provided NIH with $29.2 billions or 1 percent more than FY 2007 funding. The NIH will continue to manage its portfolio of investments in biomedical research as described in the FY 2007 Fiscal Policy Notice (see http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-030.html and http://grants.nih.gov/grants/guide/notice-files/not-od-07-049.html). This includes continuing to address the need for a highly productive pool of researchers by providing support for new investigators and sustaining established investigators, who have little or no additional research support.

The following NIH fiscal policies are instituted in FY2008:

Non-Competing Research Awards: The FY 2008 appropriation as specified in P.L. 110-161 provides NIH a 1 percent inflation allowance to NIH investments in research supported by research grants. Implementation requires a reduction to previously established commitments, based on a 3 percent inflation allowance. Accordingly, each Institute and Center (IC) will use its own discretion to allocate the adjustment among its non-competing research grants (modular and non-modular) to ensure compliance with the 1 percent inflation allowance provided in its FY 2008 committed level. Future year commitments will be adjusted accordingly, as consistent with the FY 2007 fiscal policy. This policy does not apply to Career Awards, SBIR/STTRs, and Ruth L. Kirschstein-National Research Service Award (NRSA) Individual Fellowships & Institutional Training Grants.

Non-competing awards previously issued in FY 2008 at reduced levels will be revised to restore funds to the level indicated above. (see http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-001.html).

Competing Research Awards: Each NIH Institute and Center (IC) will manage its competing portfolio using funds that have not been committed for non-competing awards. Consistent with the FY 2008 Congressional action, the FY 2008 average cost of competing grants is allowed to increase by 1 percent over FY 2007 when compared to similar policies. It is estimated this will allow ICs to support the NIH investigator pool with approximately 9,700 new and competing RPGs. The following guidelines will apply to competing research awards in FY 2008:
1. Maintain the number of new investigators comparable to the average of the most recent five years.


3. Continue to use the NIH Directors Bridge Award Program (http://grants.nih.gov/grants/guide/notice-files/not-od-07-056.html), which provides continued but limited bridge funding to meritorious investigators whose applications were close to the funding range of the relevant IC and have minimal other support. This program provides NIH with a flexible NIH-wide tool to help balance the grant cycling variation challenges and support other approaches to sustain established grantees and first time competing renewals.

As in FY 2007, this program is designed to provide only one-year of continued but limited funding.

Each IC will establish fiscal policies consistent with these NIH-wide policies according to its specific scientific and programmatic imperatives. Additional information on FY2008 Fiscal Operations, including specific funding strategies for ICs will be posted on February 6 at http://grants.nih.gov/grants/financial/index.htm.

Ruth L. Kirschstein National Research Service Awards (NRSA): Funds for the NRSA program are held at FY 2007 levels and policies for tuition and training-related expenses established for FY 2007 remain in effect for FY 2008 (http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-057.html).

Inquiries
Questions about specific awards may be directed to the Grants Management Specialist identified in the Notice of Award.
NIH Clarifies New Investigator Definition

NIH has clarified the definition of new investigator and addressed Frequently Asked Questions about eligibility for consideration as a new investigator. In general, a Program Director/Principal Investigator (PD/PI) is considered a New Investigator if he/she has not previously competed successfully as PD/PI for a significant NIH independent research award. See the Resources for New Investigators Web page for this information.

Statement of Commitment to New Investigators

New investigators are the innovators of the future – they bring fresh ideas and technologies to existing biomedical research problems, and they pioneer new areas of investigation. Entry of new investigators into the ranks of independent, NIH-funded researchers is essential to the health of this country’s biomedical research enterprise. NIH’s interest in the training and research funding of new investigators is understandably deep and longstanding. Over the years, special programs to assist new investigators in obtaining independent research funding have been created – for example the New Investigator Research Award (NIRA or R23), in 1977, and the First Independent Research Support and Transition (FIRST or R29) Award, which superceded the NIRA in 1986. Both of these special programs were discontinued because neither was able to significantly and positively affect the overall ability of new investigators to obtain independent research support (see Report of the Working Group on New Investigators). In spite of these and other efforts, the average age at which an investigator first obtains R01 funding has increased by five to six years (PowerPoint - 44 KB) (to 42 for PhD degree holders and 44 for MD and MD/PhD degree holders). In addition, although the overall numbers of new R01 investigators has increased (PowerPoint - 45 KB), the proportion of R01 grants going to new investigators has remained at approximately 6% of the total R01s awarded throughout the doubling of the NIH budget (PowerPoint - 45 KB).

Currently, NIH encourages new investigators to self-identify by checking a box on the face page of their R01 applications so that they can be given special consideration. Peer reviewers are instructed to focus more on the proposed approach than on the track record, and to expect less preliminary data than would be provided by an established investigator. In addition, many NIH institutes and centers give new investigators special consideration in their selection for funding, and in some cases provide five years of support instead of the four that is the NIH average duration for a grant. We at NIH remain committed to identifying and attracting new independent biomed-
cal researchers and will continue to explore novel ways to accomplish this. However, we cannot do it alone. Institutions – our partners in this venture - must continue to look for ways to reduce the duration of graduate and postdoctoral training and find new ways to enable new investigators to compete successfully for extramural funding. I would welcome your ideas in this regard.

Norka Ruiz Bravo, PhD, Deputy Director for Extramural Research, NIH

History of Commitment to New Investigators

- New Investigator Research Award – June 3, 1977 - (PDF - 396 KB)
- First Independent Research Support and Transition (FIRST) Award – August 1, 1986 - (PDF - 792 KB)
- Transition to a New NIH Policy on New Investigators – December 19, 1997
- Pilot Study to Shorten the Review Cycle for New Investigator R01 Applications – November 30, 2005
- Clarification of Submission Dates for the Pilot Study to Shorten the Review Cycle for New Investigator R01 Applications – April 13, 2006
- Extension of NIH Pilot Study to Shorten the Review Cycle for New Investigator R01 Applications – January 8, 2007
- Continuation of the Extension of the NIH Pilot Study to Shorten the Review Cycle for New Investigator R01 Applications – April 4, 2007

Definition of New Investigator

In general, a Program Director/Principal Investigator (PD/PI) is considered a New Investigator if he/she has not previously competed successfully as PD/PI for a significant NIH independent research award. Specifically, a PD/PI is identified as a New Investigator if he/she has not previously competed successfully for an NIH-supported research project other than the following small or early stage research awards:

- Pathway to Independence Award-Research Phase (R00)
- Small Grant (R03)
- Academic Research Enhancement Award (R15)
- Exploratory/Developmental Grant (R21)
- Clinical Trial Planning Grant (R34)
- Dissertation Award (R36)
- Small Business Technology Transfer Grant-Phase I (R41)
- Small Business Innovation Research Grant-Phase I (R43)
- Shannon Award (R55)
- NIH High Priority, Short-Term Project Award (R56)
Additionally, the PD/PI is not excluded from consideration as a “New Investigator” if he/she has received an award from any of the following classes of awards: Training-Related and Mentored Career Awards

- Fellowships (F05, F30, F31, F32, F34, F37, F38)
- Mentored-career awards (K01, K08, K22, K23, K25, K99-R00)
- Other mentored career awards (developmental K02 as used by NINDS and the developmental K07)
- Loan repayment contracts (L30, L32, L40, L50, L60)

Please note that current or past recipients of non-mentored career awards that normally require independent research support (K02, K05, K24, and K26) are not considered new investigators.

Instrumentation, Construction, Education, or Meeting Awards

- G07, G08, G11, G13, G20
- S10, S15
- X01, X02
- R25
- C06, UC6
- R13, U13

Note regarding grants with Multiple PD/PIs: In the case of a grant application that involves more than one PI, all PD/PIs must meet the definition of New Investigator to check “Yes” in the “New Investigator” box.

**Frequently Asked Questions** Regarding the Definition of New Investigator.
ISSUES IN HUMAN TISSUE TRANSFER AGREEMENTS

The negotiation of human tissue transfer agreements associated with the Penn research enterprise (faculty either sending out such tissue samples to researchers at other Universities / pharmaceutical / bio-tech companies or receiving such tissue samples) is now handled by ORS, with help from ORA and OGC. Because of the significant compliance issues related to human tissue transfer, a review of some of the issues of concern is warranted.

Generally, human tissue samples are defined as tissue samples, blood products, serum, DNA and other biological materials or specimens that are obtained from patients / research subjects i) as part of their clinical care or ii) who, as part of their enrollment in a clinical trial, have agreed to donate their specimens for research or for deposit in tissue repositories.

Transfer or receipt of human tissue samples by Penn researchers must be done as part of a research activity that is consistent with the instructional, scholarship, and research objectives of Penn as well as in a manner consistent with applicable laws and regulations governing patients’ privacy, informed consent, and other rights. The transfer of human tissue simply for payment is not appropriate.

Procedure for Outgoing Human Tissue Transfer Agreements:
1) The MTA Administrator receives an executed Material Transfer Submission Form which has been designated as transferring human or human derived tissue.

2) If the PI is receiving the material, the MTA Administrator provides the PI with the Human Derived Screening Tool (HDST) form. If the PI is sending out material, the MTA Administrator will provide the PI with the HDST form and either an academic/non-profit or corporate/for-profit human tissue MTA, depending on the external party.

3) Additionally, the MTA Administrator will send the PI an email with an EHRS memo in the body of the email. Tom Boyle at EHRS will be copied in this email. The EHRS memo will inform the PI of his responsibilities in using and/or transferring human tissue.

4) Once the PI has completed the forms, the MTA Administrator will transfer the file to a negotiator for review and negotiation.

A separate tissue transfer agreement is not needed when Penn researchers are i) providing human specimens for patient diagnosis/clinical purpose ii) paying a third party to analyze some samples as a service and not for the third party’s research purposes or iii) the tissue transfer is part of a research project with an clinical / research agreement already in place and the transfer is already addressed in the existing agreement.
Need Help?
Call the Ben Tips
Confidential Reporting and
Help Line

The Ben Tips Confidential Reporting and Help Line provides assistance with questions about policies, procedures or practices and handles reports of suspected incidents of non-compliance. The Ben Tips Line is a resource for all University and Health System employees, staff, students and faculty.

When you contact the Ben Tips Line at 1-888-BEN-TIPS (1-888-236-8477), a compliance specialist will answer your call between 8:30 a.m. and 5 p.m., Monday through Friday. Callers may also leave a message during non-business hours. The Ben Tips line does not have a caller ID feature, so callers may remain anonymous.

The Ben Tips Line welcomes all questions and concerns. No action will be taken against you if you report information in good faith to the Ben Tips Line. The Office of Audit, Compliance and Privacy will respond to all questions and will facilitate appropriate action. So “Do the Right Thing, the Right Way” and call the Ben Tips Line.
ORS Spring 2008 Brown Bag Topics and Schedule

**Time: 12:00 – 1:15**

(Full course descriptions can be seen in Knowlege Link)

**April 11, 2008**
Cost Sharing Procedures and Perspectives - Discussion Panel
ORS and Departmental Perspectives
Jim Clavin, Associate Director, Post Award Administration
Elvina Woodard, Assistant Director, Post Award Administration
Lauren Oshana, Associate Director, Pre Award Administration
Departmental Representative -TBD
Wharton, Huntsman Hall: Rm 370

**To register for these Brown Bags:**
- Login to [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu), using your PennKey and PennKey password log into the system.
- Select "Optional" on the left navigation bar.
  A listing of all Optional courses available to you will appear.
- Scroll down the menu until you come to the courses under the Office of Research Services Find the ORS Brown Bag you would like to enroll in (you can enroll in more than one)
- Click on the word ENROLL to the right of your desired course. A new screen will appear with all dates for the courses listed.
- At this screen click on the word ENROLL (again) next to the preferred session.
  Once you have enrolled you will receive a message confirming your registration.

If you have any questions or difficulties regarding registration for this course, please contact Anita Mills at (215) 898-1936 or anitamil@upenn.edu
Sponsored Projects Policy Review

Agreements for sponsored projects are entered into in the name of The Trustees of the University of Pennsylvania. SP Policy 2106 outlines the responsibility associated with sponsored projects.

SP 2106 Financial Responsibility

Effective: Dec. 1986
Revised: April 2007
Reviewed: April 2007
Responsible Office: Research Services
Approval: Research Services

Purpose:
To establish responsibility for the financial administration of sponsored projects.

1. Agreements for sponsored projects are entered into in the name of The Trustees of the University of Pennsylvania by the Office of Research Services.
2. The principal investigator is directly responsible for the management and administration of the sponsored project within the administrative constraints imposed by the sponsor and in accordance with University policy. In this capacity, the principal investigator authorizes all direct cost expenditures of project funds and is responsible for reviewing and approving all project related expenditures and cost transfers.
3. Changes to project budgets or expenditures, which require institutional or sponsor prior approval, must be reviewed and approved by Research Services.
4. The Responsible Business Offices within the School or Center will generate and provide monthly statements of project expenditures to the responsible principal investigator. It is the responsibility of the principal investigator and his/her business administrator to review each monthly statement for accuracy and completeness and to initiate corrections, when appropriate, no later than 90 days from month end.
5. Expenditure corrections including salary allocations occurring after 90 days from month end must be approved by the senior financial officer of the department or by the next higher level as appropriate and ORS.
6. The principal investigator and/or department business administrator, in consultation with his/her department chairperson and dean/resource center
director, shall advise Research Services and the Comptroller as to the desired disposition of a deficit or disallowance in a sponsored project account. In no case shall the disposition be to another grant, contract or similarly restricted account. In the absence of such advice, the revenue representing the direct costs of the over expenditure or disallowance will be transferred from an appropriate unrestricted account of the cognizant responsibility center to the fund account to cover the deficit or disallowance.

RETRIEVING VENDOR SITE INFORMATION

On sponsored projects where Penn has subcontracted a portion of the scope of work to another institution, ORS generates a subaward agreement. Once both parties have signed the agreement, ORS sends, via email, a memo to the Penn departmental business administrator.

The purpose of this BA memo is two-fold:

1) to provide a copy of the fully executed subaward agreement to the department and,

2) to provide the subrecipient’s vendor number so that the Penn department can proceed to issue a purchase order.

In the past, these BA memos have also contained the vendor “site” location. Due to changes in availability, ORS is no longer able to provide this vendor “site” location as part of the BA memo. We will continue to provide the vendor number. When a departmental business administrator enters BEN Financials, clicks on Requisitioner and then clicks on Supplier, he or she can enter the vendor name or number and retrieve all site locations for that vendor.
The Office of Research Services is pleased to announce the dates and times for Sponsored Programs at Penn.

March 10, 2008: 9:30 – 1:00 Wharton – Huntsman Hall Rm 250
March 11, 2008: 9:30 – 1:00 Wharton – Huntsman Hall Rm 250
March 12, 2008: 9:30 – 1:00 Wharton – Huntsman Hall Rm 250
March 13, 2008: 9:30 – 1:00 Wharton – Huntsman Hall Rm 250
March 14, 2008: 9:30 – 1:00 Wharton – Huntsman Hall Rm 250

Registration is REQUIRED. You must attend all days to receive credit for the course.

ALL course prerequisite MUST be completed before the Knowledge Link system will allow you to register for SP@Penn. Information about pre-requisites and the registration process are listed below.

Who Should Register: Individuals who assist faculty with the preparation of proposals requiring the individual to make determinations of allowability, allocability, and reasonableness in accordance with sponsor guidelines, federal regulations, and University and School/Center policies/procedures and regulatory requirements; review and approve expenditures at the central level; provide counsel and advice to faculty regarding cost transfers, effort reporting or overall award management; are responsible for the monitoring of awards, reviewing financial reports for accuracy and compliance and assuring that charges are allowable, properly allocated and reasonable.

Course Description: Sponsored Programs at Penn has been designed to provide a comprehensive introduction to the basic knowledge required to effectively prepare proposals for submission to external sponsors and to monitor and manage grant funds at Penn.

The course is divided into the following five half-day sessions:
• Introduction to Sponsored Project Administration
• Proposal Preparation and Processing
• Award Acceptance and Account Set-up
• Post Award Management
• Closeout and Audits of Sponsored Project Funds

Prerequisite: Attendees must complete the following instructor led course and on-line tutorials prior to attending the Sponsored Programs at Penn course:
• Chart of Accounts – Instructor led course – Financial Training Department
• SPCCP: Policies
• SPCCP: Allowability of Costs – ONLINE MODULE not Brown Bag
• SPCCP: Effort Reporting

To register for the course:

*Login to [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu), using your PennKey and PennKey password log into the system.

*Select “Optional” on the left navigation bar. A listing of all Optional courses available to you will appear.
*Scroll down the menu until you begin to see the course listed under the Office of Research Services.

*To begin the enrollment process click START next to Sponsored Projects at Penn, Instructor-led Curriculum - ORS.

*Once you click the START button next to Sponsored Projects at Penn, Instructor-led Curriculum – ORS you will see a list of the pre-requisites for the course. You must complete all pre-requisites before you can register for the course.

*Once you complete all of the pre-requisites you will need to click on the ENROLL tab next to Sponsored Programs at Penn - ORS to be enrolled in the course. If you have any questions or difficulties regarding registration for this course, please contact Anita Mills at (215) 898-1936 or anitamil@pobox.upenn.edu.

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**Did You Know.......**

**Five members of ORS were on teams that were nominated for the 2008 Models of Excellence program**

**Wachovia Bank Implementation Team** - nominated for identifying and ameliorating any negative outcomes that could occur when moving Penn’s primary bank accounts to a new arrangement with Wachovia, including conducting a highly effective direct deposit campaign and making no charge ATM arrangements.

**Bob Speakman and Keith Dixon**

**Penn’s Human Research Protection Accreditation Team** - nominated for leading the University through the arduous and unfamiliar path to accreditation by the recently formed Association for the Accreditation of Human Research Protection Programs.

**Kim Garrison and Deb Fisher**

**Business Continuity Planning Team** - nominated for proactively developing business continuity systems and strategies for the Division of Finance designed to minimize loss and disruption of critical financial operations in the event of a disaster.

**Pam Caudill**

For more information regarding the 2008 Models of Excellence Program see: http://www.hr.upenn.edu/Quality/Models/
Getting to Know......
Mike Hay

Years at Penn: Five months

Years in Research Services: Five months


Hobbies/Interests: Reading (any genre), music (anything but country), watching movies (especially bad ones), playing golf (poorly), watching hockey (Go Flyers) and soccer (yeah you read that right...I watch soccer). It also looks like I enjoy finishing my statements with parentheses.

Favorite Restaurant: Dmitri’s in South Philly

Favorite ways to spend a vacation: Any place or country I haven’t been to before.

What Co-workers say:

Mike is a quick leaner, well-organized and shows great initiative.

During the short time Mike has been working in ORS he has demonstrated an excellent work ethic and a strong desire to learn new things. Now if he can only apply these strengths to his golf game he may be useful.

He is very intellectual guy with a Magnanimous personality. You can guarantee to get a laugh from him.
ORS Monthly Quiz

1) According to University policy which of the following is directly responsible for the management and administration of the sponsored project within the administrative constraints imposed by the sponsor and in accordance with University policy. (See Sponsored Project Policy 2106)?
   a) Business Administrator  
   b) Principal Investigator  
   c) Office of Research Services

2) Research Services must review and approve changes in project budgets or expenditure when sponsor prior approval is required. (See Sponsored Project Policy 2106).
   a) True  
   b) False

3) Expenditures corrections including salary allocations occurring after 90 days from the month end must be approved by which of the following (See Sponsored Project Policy 2106)
   a) Dean/Department Chair  
   b) Senior Financial Officer for the Department  
   c) Accounts Payable  
   d) Accounts Receivable

4) Changes to project budgets which require institutional or sponsor prior approval, must be reviewed by which office at Penn? (See Sponsored Project Policy 2106)
   a) Office of the Vice President  
   b) Vice Provost for Research  
   c) General Counsel  
   d) Office of Research Services  
   e) All of the above

5) Which of the following is responsible for generating and providing monthly statements of project expenditures to the Principal Investigator? (See Sponsored Project Policy 2106)
   a) Office of Research Services  
   b) Business Office within the School or Center  
   c) Accounts Payable  
   d) Accounts Receivable

Answer key for the Monthly Quiz can be found on Page 24
NSF Partners With Google and IBM to Enhance Academic Research Opportunities

Computer science researchers at universities and colleges will be able to utilize large-scale computing cluster

On February 25, 2008 the National Science Foundation’s Computer and Information Science and Engineering (CISE) Directorate announced the creation of a strategic relationship with Google Inc. and IBM. The Cluster Exploratory (CluE) relationship will enable the academic research community to conduct experiments and test new theories and ideas using a large-scale, massively distributed computing cluster.

In an open letter to the academic computing research community, Jeannette Wing, the assistant director at NSF for CISE, said that the relationship will give the academic computer science research community access to resources that would be unavailable to it otherwise.

“Access to the Google-IBM academic cluster via the CluE program will provide the academic community with the opportunity to do research in data-intensive computing and to explore powerful new applications,” Wing said. “It can also serve as a tool for educating the next generation of scientists and engineers.”

“Google is proud to partner with the National Science Foundation to provide computing resources to the academic research community,” said Stuart Feldman, vice president of engineering at Google Inc. “It is our hope that research conducted using this cluster will allow researchers across many fields to take advantage of the opportunities afforded by large-scale, distributed computing.”

“Extending the Google/IBM academic program with the National Science Foundation should accelerate research on Internet-scale computing and drive innovation to fuel the applications of the future,” said Willy Chiu, vice president of IBM Software Strategy and High Performance On Demand Solutions. “IBM is pleased to be collaborating with the NSF on this project.”

In October of last year, Google and IBM created a large-scale computer cluster of approximately 1600 processors to give the academic community access to otherwise prohibitively expensive resources. Fundamental changes in computer architecture and increases in network capacity are encouraging software developers to take new approaches to computer-science problem solving. In order to bridge the gap between industry and academia, it is imperative that academic researchers are exposed to the emerging computing paradigm behind the growth of “Internet-scale” applications.

This new relationship with NSF will expand access to this research infrastructure to academic institutions across the nation. In an effort to create greater awareness of research opportunities using data-intensive computing, the CISE directorate will solicit proposals from academic researchers. NSF will then select the researchers to have access to the cluster and provide support to the researchers to conduct their work. Google and IBM will cover the costs associated with operating the cluster and will provide other support to the researchers. NSF will not provide any funding to Google or IBM for

Did You Know......
these activities. While the timeline for releasing the formal request for proposals to the academic community is still being developed, NSF anticipates being able to support 10 to 15 research projects in the first year of the program, and will likely expand the number of projects in the future. Information about the Google-IBM Academic Cluster Computing Initiative can be found at http://www.google.com/intl/en/press/pressrel/20071008_ibm_univ.html

According to Wing, NSF hopes the relationship may provide a blueprint for future collaborations between the academic computing research community and private industry. “We welcome any comparable offers from industry that offer the same potential for transformative research outcomes,” Wing said.

-NSF-

Useful NSF Web Sites:
Awards Searches: http://www.nsf.gov/award-search/

Due to changes in our email system, the address used for ORS on grant applications has been changed from PENNAORS@pobox.upenn.edu to PENNAORS@lists.upenn.edu.
Monthly FAQ

Indirect Cost limitation for Basic Research Awards funded by the Department of Defense

What is the DoD limitation and under what authority is this limitation imposed?

The DoD limitation is a cap on indirect costs payable to the recipient of certain types of DoD financial assistance awards. This cap limits the indirect costs to no more than 35% of the TOTAL award. It does not set the indirect cost rate to 35%. Its authority is derived from the FY2008 Department of Defense (DoD) Appropriations Bill, Section 8115, which states:

“Notwithstanding any other provision of law, none of the funds made available in this Act may be used to pay negotiated indirect cost rates on a contract, grant, or cooperative agreement (or similar arrangement) entered into by the Department of Defense and an entity in excess of 35 percent of the total cost of the contract, grant, or agreement (or similar arrangement): Provided, that this limitation shall apply only to contracts, grants, or cooperative agreements entered into after the date of the enactment of this Act using funds made available in this Act for fiscal year 2008 for basic research.”

Which DoD awards are affected?

The DoD cap is applicable to “basic research” that is funded from the DoD Research, Development, Test and Evaluation appropriation entered into after enactment of the Act (i.e., awards made on or after November 14, 2007. This is known to many as “6.1 funds”. Awards made for “applied research” and “development” (“6.2 funds” and “6.3 funds”, respectively) are not affected.

Awards received between November 14, 2007 (the date the cap became effective) and December 1, 2007 (the date stamped on the DoD internal memo) may have to be
amended to account for the cap.

The DoD cap is applicable to FY08 appropriated funds that meet the criteria included in this document. The cap will be applicable to FY09 funds only if the same cap language is included in the FY09 DoD Appropriations Bill.

**Award renewals are not affected by the cap.** For example, an award continuation made from FY08 DoD funds is not subject to the cap.

**Awards to Subrecipients** ("subordinate instruments" per the DoD internal memo) are not affected by the cap. While this creates an inconsistency as to how the prime recipient and the subrecipient are treated, the DoD internal memo is clear in its directions.

Although Penn has a DoD contract waiver as part of our F&A rate agreement that allows the institution to charge the uncapped administrative portion of their F&A rate on selected DoD contracts, the same analysis and management of the 35 percent cap is applicable.

Congressionally Directed Medical Research Programs (CDMRP) encompass breast, prostate, and ovarian cancers, neurofibromatosis, military health, and other specified medical research areas. A small portion of CDMRP is funded from the Research, Development, Test and Evaluation appropriation, and is subject to the cap. The majority of CDMRP is funded from the DoD Operations and Maintenance appropriation, and is not subject to the cap.

"Earmarks" that fund basic research can be funded from either the Research, Development, Test and Evaluation appropriation or the DoD Operations and Maintenance appropriation. If funded by the Research, Development, Test and Evaluation appropriation, then the earmark is subject to the cap.

**Should we consider the limitation when constructing proposal budgets?**

No, since it is not always clear whether an award will be affected by the limitation and
the limitation only applies to FY08 funding, proposals should use the appropriate University F&A rate. Please note that the current rate for DoD contracts is 59.9%, while DoD grants use the standard rate of 57.5%.

How is the limitation calculated and will the indirect cost recovery be reduced?

The impact of the limitation will vary on an award by award basis. The limitation is that total indirect costs charged cannot exceed 35% of total direct cost. **This is not a limitation on the rate that can be charged, so accordingly, we will charge all affected awards at our negotiated rate. Penn’s negotiated indirect cost rates are based on modified total direct cost.** Therefore, the impact of the cap will vary depending on the amount of excluded costs charged to the award. For instance, if a $100,000 award is made that is subject to the cap, no more than $35,000 can be charged to the award for indirect costs. If the direct costs of $65,000 did not include any charges that are normally excluded from the indirect cost calculation, Penn would normally be allowed to recoup $37,375 in indirect costs at our present rate of 57.5%, so in this example Penn would forfeit $2,375 in indirect costs. If the charges against this same award included $5,000 of excluded costs such as tuition or equipment, Penn could recoup its full indirect costs at 57.5% since the total amount of indirect costs would not exceed the $35,000.

How will the affected awards be managed?

The appropriation bill stipulates that awarding offices are to include terms and conditions requiring compliance with section 8115 in each new award made on or after November 15, 2007, using basic research funds made available by the DoD Appropriations Act for FY2008. Award documents should be reviewed carefully for these terms. Provisions limiting indirect cost recovery for DoD projects, when included in the award document, will be noted on the AIS and will be recorded in the Terms and Conditions section of PennERA for the project.

In order to comply with the Department of Defense (DoD) Appropriations Bill, Section 8115 the Office of Research Services will begin to cap indirect cost recovery for the affected DoD projects awarded after 11/14/2007. FUND numbers associated with affected DoD projects will be setup at the appropriate University negotiated rate. The
overhead recovery will be capped through the general ledger custom indirect cost recognition process using Special Budget Object Code PIND MAX IND COST REC.

After a new FUND has been established for an affected DoD contract, grant, or cooperative agreement, a Special Budget journal entry will be performed to set the maximum indirect cost to 35% of the total award amount for the project for fiscal year 2008 via object code PIND. In order for this process to be effective, a new FUND number will need to be created for affected awards for each new budget year.

It is essential that each DoD award and associated AIS be reviewed at set-up to ensure the appropriate indirect costs are shown in the budget and subsequently charged to the award.

**Sponsors that fall under the Department of Defense:**

- Department of Defense
- Defense Advanced Research Projects Agency
- Defense Logistics Agency
- National Geospatial-Intelligence Agency
- Department of the Air Force
- Air Force Office of Scientific Research
- Department of the Navy
- Department of the Army
- Office of Naval Research
- National Security Agency
- U.S. Marine Corps.
Job Openings in Research Services

Reference Number 070822895
Title ASSOC PROJECT LEADER
Salary Grade 028

Duties
The End User Support and Applications Administrator leads and manages the end user support structure for Penn’s electronic research administration system and Effort Reporting System (PennERS). Penn’s electronic Research Administration system or PennERA is the suite of web-based applications that streamline processes and provide more efficient tools for handling pre and post award administrative tasks related to the sponsored projects of Penn’s academic research community. PennERA is a full cycle system for research project development, support and management.

Qualifications
A Bachelor’s Degree is required and 5 to 7 years of experience or equivalent combination of education and experience. the position requires a strong and broad based background in research administration in a university environment. Good personal communication and organizational skills are essential to success in the position. Knowledge and comfort working with software systems is required

Interested candidates may view full description for the positions at http://www.hr.upenn.edu/jobs/

February Contributing Authors, ORS Newsletter:

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Anita Mills, Associate Director, Sponsored Programs Compliance Training, Office of Research Services
Rich Snyder, Director - Post Award, Office of Research Support Services, School of Medicine
Todd Swavely, Director –ERA Systems, Office of Research Services
Linda Yoder, Assistant Compliance Officer, Office of Audit, Compliance and Privacy
Training Opportunities:

**Upcoming ORS Brown Bags**

**March 7, 2008: Conflicts of Interest: Industry Interactions - Discussion Panel**
Joanne Rosenthal, Associate Vice Provost and Associate Counsel
Pamela Caudill, Executive Director, Office of Research Services
Adam Rifkind, Associate Director, Corporate Contracts
Kelly Curran, Associate Director, Office of Corporate Alliances
Wharton, Huntsman Hall: Rm 370

**Description:** This Brown Bag will be held in a discussion panel format. The topic of conversation will be Conflict of Interest.

**Time:** 12:00 - 1:15  
**Location:** Wharton, Huntsman Hall Rm 370

**Brown Bag Registration:** [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**Other Training Opportunities**

**2008 NCURA Region II Spring Meeting**
“Bridging the Gap Between Government and Industry”
April 27-29, 2008
Pittsburgh Hilton Hotel, Pittsburgh, PA.
For more details visit the meeting homepage:
[http://ncuraregionii.org/springmeeting.html](http://ncuraregionii.org/springmeeting.html)
For a Preliminary Program go to:

**SRA International**
[http://www.srainternational.org/sra03/index.cfm](http://www.srainternational.org/sra03/index.cfm)

**National Council of University Research Administrators**
[http://www.ncura.edu/content/](http://www.ncura.edu/content/)

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Answer Key to ORS Monthly Quiz:
1: B; 2: A; 3: B; 4: D; 5: B
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**Office of Research Services**

**ORS Deadline**

**NIH Deadline**

**R01's Renewal, Resubmissions, Revisions**

**U01's Renewal, Resubmissions, Revisions**

**Spring Begins**

**ORS Brown Bag**

1:00 – 1:15 Conflict of Interest Discussion Panel

Hall Rm 370

Registration Preferred

**ORS Deadline**

**NIH Deadline**

**K- Awards Renewal, Resubmissions, Revisions**

**R03, R21, R33, R21/R33, R34 Renewal, Resubmissions, Revisions**

**St. Patrick's Day**

**Spring Begins**

**ORS Deadline**

**NIH Deadline**

**March 9**

**March 10-14**

Registration Required

For more information about the courses listed above go to:

http://www.upenn.edu/researchservices/training.html

Register for course mentioned above go to:

http://knowledgelink.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 industrial clinical trial agreements and sponsored research agreements should be addressed to the Corporate Contracts Group.

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• Biostatistics – SOM
• Cancer Center – SOM
• Cancer Biology
• Institute for Environmental Medicine – SOM
• Institute for Human Gene Therapy – SOM
• Institute for Neurological Sciences – SOM
• Medical Genetics – SOM
• Neurology – SOM
• Pathology & Laboratory Medicine
• Pennsylvania Muscle Institute – SOM
• Pharmacology – SOM

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• Neurosurgery - SOM
• Orthopedic Surgery – SOM
• Pediatrics – SOM
• Pathology – SOM
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• Center for Bioethics – SOM
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• Geriatrics – SOM
• Microbiology – SOM
• Ophthalmology – SOM
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• School of Nursing
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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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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
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http://www.upenn.edu/researchservices/ (see bottom right corner)