Farewell to Kerry Peluso

Kerry Peluso, Director, Post Award Financial Administration will be leaving the Office of Research Services (ORS) early February 2007 to be the Associate Vice President for Research Administration at Emory University in Atlanta, Georgia.

Kerry’s leadership and professionalism brought about many positive changes in the Office of Research Services. Her knowledge of grant administration and her ability to work collaboratively with university administrators lead to the development of many University and internal research policies and procedures. Under her leadership, there was reduction of findings on the A133 audit report (including the discontinuance of delinquent FSR) which was an outstanding accomplishment for Kerry and the post award team. Other notable accomplishments: balance reconciliation of the 23 letter of credit accounts, implementation of the ORS control Metrics, development of the career track program, created the ORS data management/ AR group, facilitated better communication between ORS and the rest of the University (Particularly the Treasurer’s and Controllers office). Kerry encouraged her staff in their professional and personal development and they have said how much they enjoyed working with her. She has also been involved in the many university wide initiatives such as, the implementation of the effort reporting system PennERS, implementation of the online research administration system PennERA, implementation of the account end date validation rule, the development and implementation of Sponsored Programs at Penn and training modules for the Sponsored Projects Compliance Certification Program SPCCP, development and implementation of Research Services Brown Bag Lunch seminars, development of the Sponsored Projects Handbook, development and implementation of the ORS Newsletter and ORS website. Kerry’s hard work, dedication and determination have made her a valuable asset to Penn and she will be greatly missed.

Please join ORS in wishing Kerry ALL THE BEST as she departs Penn to pursue the exciting opportunity at Emory.
Pamela Caudill
Named
Executive Director
of the
Office of Research Services

We are happy to announce that Pam Caudill has been appointed as the new Executive Director of the Office of Research Services. Pam replaces Andy Rudczynski who left the University in September 2006. Before accepting the new position Pam had served for six years as the Director of Pre-Award in Research Services and had lead her team through many critical changes such as the implementation of the Penn ERA, development of the Sponsor Project handbook, and improving the Sponsored Projects at Penn instructor led course. As the Executive Director of Research Services Pam will direct the Office of Research Services, overseeing the administrative support of the University’s externally funded research and the implementation of the University policies established for this purpose. CONGRATS! Pam we look forward to you leading us into an exciting 2007.


Additionally, Deb Fisher has been named Acting Director, Pre-Award in the Office of Research Services.
Office of the Vice Provost for Research

January 25, 2007

Dear Faculty,

As the February 5th NIH grant application deadline approaches, and in light of the transition of R01 applications from paper to electronic submission, the Office of Research Services (ORS) would like to take this opportunity to reassure the Penn research community that we are well prepared to handle the processing the PureEdge applications through grants.gov. We have been submitting through grants.gov since August of 2004, provided hands-on training to more than 175 individuals, and have submitted in excess of 170 NIH applications within the past year.

The submission of an NIH grant application through Grants.gov is a multi-step process that includes validation at Grants.gov, as well as the NIH ERA Commons, and spans over several days. In order to allow for all applications to be error-free, accepted into the Commons, and to be considered on-time submissions, and while your School may have its own timeline for reviewing and approving grant applications, it is the policy of ORS to require all completed grant applications to be available for submission three business days prior to the NIH deadline. Historically, we have processed an average of 140 NIH applications for the February deadline. In order to process this volume, we need to the cooperation of all applicants in complying with our policy. Therefore, all applications due to the sponsor on February 5, 2007 are to be submitted to ORS no later than 9:00am on Thursday, February 1, 2007.

For more information regarding the electronic submission process, please visit the ORS website [http://www.upenn.edu/researchservices/electronic.html](http://www.upenn.edu/researchservices/electronic.html) or contact your pre-award representative.

Steven J. Flumary, Ph.D.
Vice Provost for Research
Professor of Pharmacology, Psychology, and Neuroscience

Pamela S. Caudill
Executive Director
Office of Research Services

118 College Hall Philadelphia, PA 19104-6303
Tel 215.898.7236 Fax 215.573.2108 [http://www.upenn.edu/research](http://www.upenn.edu/research)
Interim Guidance on Salary Limitation for Grants, Cooperative Agreements and Contracts

Effective January 1, 2007, the salary limitation for Executive Level 1 is $186,600.

Notice Number: NOT-OD-07-033

Key Dates: Release Date: January 4, 2007

Issued by: National Institutes of Health (NIH) (http://www.nih.gov)

For the past eighteen years Congress has legislatively mandated a limitation on direct salary for individuals under NIH grant, cooperative agreement and contract awards (referred to here as a grant). The mandate appears in the annual appropriation act that provides authority for the NIH to incur obligations for a given Fiscal Year (FY). At this time NIH has not received a FY 2007 appropriation, and is operating under a Continuing Resolution that applies the terms of the FY 2006 Appropriation Act.

The FY 2006 Appropriation Act (P.L. 109-149) restricts the amount of direct salary to Executive Level I of the Federal Executive Pay scale. The Office of Personnel Management has recently released new salary levels for the Executive Pay scale. Effective January 1, 2007, the salary limitation for Executive Level 1 is $186,600. For a historical record of the salary cap, including effective dates see: http://grants.nih.gov/grants/policy/salcap_summary.htm

Once the Department of Health and Human Services Appropriation for FY 2007 is enacted, NIH will publish the annual Notice of legislative mandates to provide information on any statutory provisions that limit the use of NIH grant funds in FY 2007. Final guidance on the salary cap will be provided at that time.

Inquiries Questions concerning this notice or other policies relating to grants or contracts should be directed to the grants management or contract management office in the appropriate NIH Institute or Center. For more information on grants policy, please visit: http://grants.nih.gov/grants/policy/policy.htm.

For more information on contracts policy, please visit: http://ocm.od.nih.gov/contracts/contract.htm.
Audit Responsibility and the Commonwealth of Pennsylvania Grant

For many reasons, such as audit compliance and internal reporting, it is important for the sponsors to be correctly identified on Proposal Transmittal and Approval Forms. A significant number of proposals handled by ORS are funded directly from the Commonwealth of Pennsylvania. It is important to note that the correct sponsor to be identified on such proposals is the “Commonwealth of Pennsylvania.” Besides the general need to correctly and efficiently track proposals, projects that are funded by the Commonwealth of Pennsylvania require a separate audit, and must be readily identifiable. Further, when ORS is asked to update the status of a grant agreement, to review the terms of a grant, or to research funding matters, it is important that sponsors have been correctly identified, so records are more easily accessed. It can be difficult to find a record for which the sponsor has not been correctly identified.

While a department, agency, board or commission of the Commonwealth may also be mentioned on the “Proposal Transmittal and Approval Form”, the sponsor should be clearly identified as the “Commonwealth of Pennsylvania.” with the name of the appropriate department or agency listed on the second line. Some of the departments, agencies, boards and commissions which are part of the Commonwealth of Pennsylvania, and which fund proposals at Penn, are:

Pennsylvania Historical and Museum Commission
Pennsylvania Department of Health
Pennsylvania Department of Education
Pennsylvania Department of Economic and Community Development
Pennsylvania Department of Conservation and Natural Resources
Pennsylvania Department of Environmental Protection
Pennsylvania Department of Agriculture

Please note that the list is not exhaustive; the Commonwealth of Pennsylvania has many departments, agencies, boards and committees which sponsor projects at Penn.

Any questions about identifying the Commonwealth of Pennsylvania as sponsor on a Proposal Transmittal and Approval Form may be addressed to Adam P. Rifkind, Associate Director, Corporate Contracts, (215) 898-9990, rifkind@pobox.upenn.edu.
IBM has provided Special Edition Mac Viewers for PPC and Intel that are now available for download. You may consider using the software if you do not have access to a Windows machine. With the exception of the limitations noted below, initial testing seems to indicate that using this viewer is a better option than Windows emulation software or the Citrix server.

Please note that limitations of this early release software may include:
- Occasional crashes and subsequent loss of any unsaved data.
- Inability to run on Mac OS version prior to 10.4.6.
- No current support for screen readers for visually impaired users.
- The viewer is installed at the root level of the user account home directory. (e.g. /Users/jsmith/).

Do not move the application folder to any other location as it will not work.

Please consider these limitations and warnings. We will provide additional information on commercial releases of this product as they become available.

The viewers are available at: [http://www.grants.gov/resources/download_software.jsp#pureedgeviewer](http://www.grants.gov/resources/download_software.jsp#pureedgeviewer) under the heading “IBM Workplace Forms (PureEdge) Viewer for Macintosh.”

**NOTE:** There are different versions of the software for Intel- and PPC-based machines. Be sure to pick the appropriate download for your machine.

**Some Helpful Tips:**

**Investigators need to be running Mac OS X Tiger with at least patch 6 (10.4.6) on a G4 or G5. There is also a version for the newer Intel-based Macs.**

The Release Notes are apparently not current -- they state that this software is not supported on Intel-based Macs.

**An Important Note:** Please install the application where the installer wants to, don’t move it once it’s installed, and be sure to read the Release Notes before installation. The PureEdge icon can be permanently displayed in the Dock to make it easy to launch the application, but usually it’s only necessary to double-click on the downloaded grant forms package (see last paragraph below). To locate the installed application, search on “IBM Workplace”, not “PureEdge”.

Initial testing seems to indicate that the application works identically on Macs and Windows machines. Penn’s PureEdge training sessions are conducted on PCs, but the information is identical to Mac operations. Alternatively, an ORS server is available for Mac users (see the December ORS Newsletter, page 1, [http://www.upenn.edu/researchservices/newsletters/december2006.pdf](http://www.upenn.edu/researchservices/newsletters/december2006.pdf)).

Suggested browser for downloading the new application is Safari, but success has been reported using Firefox.

**Please remember** that when a grant application package for a funding opportunity announcement (FOA) is initially downloaded from Grants.gov, it is opened in a browser window using the PureEdge viewer. The application needs to be saved to a local hard drive before beginning the process of completing the forms.
economic progress of society, and to the enhanced well-being of its citizens, than the continuous acquisition of new knowledge. NSF is proud to be a major part of that process.

NSF fulfills its mission chiefly by issuing limited-term grants - currently about 10,000 new awards per year, with an average duration of three years -- to fund specific research proposals that have been judged the most promising by a rigorous and objective merit-review system. Most of these awards go to individuals or small groups of investigators. Others provide funding for research centers, instruments and facilities that allow scientists, engineers and students to work at the outermost frontiers of knowledge. NSF’s goal is to support the people, ideas and tools that together make discovery possible. That’s why they say NSF is “where discoveries begin.”

Many of the discoveries and technological advances have been truly revolutionary. In the past few decades, NSF-funded researchers have won more than 160 Nobel Prizes as well as other honors too numerous to list. These pioneers have included the scientists or teams that discovered many of the fundamental particles of matter, analyzed the cosmic microwaves left over from the earliest epoch of the universe, developed carbon-14 dating of ancient artifacts, decoded the genetics of viruses, and created an entirely new state of matter called a Bose-Einstein condensate.

NSF also funds equipment that is needed by scientists and engineers but is often too expensive for any one group or researcher to afford. Examples of such major research equipment include giant optical and radio telescopes, Antarctic research sites, high-end computer facilities and ultra-high-speed connections, ships for ocean research, sensitive detectors of very subtle physical phenomena, and gravitational wave observatories.

Another essential element in NSF’s mission is support for science and engineering education, from pre-K through graduate school and beyond. The research that NSF funds is thoroughly integrated with education to help ensure that there will always be plenty of skilled people available to work in new and emerging scientific, engineering and technological fields, and plenty of capable teachers to educate the next generation.

Specifically, the Foundation’s organic legislation authorizes it to engage in the following activities:

A. Initiate and support, through grants and contracts, scientific and engineering research and programs to strengthen scientific and engineering research potential, and education programs at all levels, and appraise the impact of research upon industrial development and the general welfare.

B. Award graduate fellowships in the sciences and in engineering.

C. Foster the interchange of scientific information among scientists and engineers in the United States and foreign countries.

D. Foster and support the development and use of computers and other scientific methods and technologies, primarily for research and education in the sciences.

E. Evaluate the status and needs of the various sciences and engineering and take into consideration the results of this evaluation in correlating its research and educational programs with other federal and non-federal programs.

F. Provide a central clearinghouse for the collection, interpretation and analysis of data on scientific and technical resources in the United States, and provide a source of information for policy formulation by other federal agencies.

G. Determine the total amount of federal money received by universities and appropriate organizations for the conduct of scientific and engineering research, including both basic and applied, and construction of facilities where such research is conducted, but excluding development, and report annually thereon to the President and the Congress.

H. Initiate and support specific scientific and engineering activities in connection with matters relating to international cooperation, national security and the effects of scientific and technological applications upon society.

I. Initiate and support scientific and engineering research, including applied research, at academic and other nonprofit institutions and, at the direction of the President, support applied research at other organizations.

J. Recommend and encourage the pursuit of national policies for the promotion of basic research and education in the sciences and engineering. Strengthen research and education innovation in the sciences and engineering, including independent research by individuals, throughout the United States.

K. Support activities designed to increase the participation of women and minorities and others underrepresented in science and technology.

NSF Resources:
NSF Homepage:  http://www.nsf.gov

Click on the link below to view a 3 minute overview of NSF.  http://www.nsf.gov/news/mmq/mmq DISP.cfm?med_id=51432
Office of Research Services

Grants.gov submissions have to be submitted to ORS WHEN???

Many people have been shaking their head in frustration over the requirement that a completed Grants.gov application has to be submitted to the Office of Research Services (ORS) three (3) days prior to the published grant deadline. Hopefully some of the frustration will be alleviated by the knowledge that “early” submission to the ORS is necessitated by the electronic submission process. A grant submitted through Grants.gov goes through two automated validation process and sent to the NIH Commons. During the NIH validation process if errors are found the application will be rejected; once an application is rejected and must be resubmitted by the original deadline, if there are only warnings then ORS must reject the application in the NIH Commons.

The Grants.gov validation process serves to improve the quality of grant application submitted. Submitting completed Grants.gov applications to ORS three (3) days prior to published deadlines insures the time, should it be needed, to revise and resubmit an application.

Below are some tips that will help make the grant application a smoother process.

1) **Change your deadline mind-set.** Think of the deadline as being a week prior to the published deadline (i.e.: February 5th is now January 29th).

2) **Communicate and plan** with your team. You know who is going to write the science but .......Who will be completing the administrative paperwork? How much does everything cost? Who will be converting files to PDF? Who is gathering information from subcontracts??? Who will be writing the letters of support......?

3) **Ask questions early!** If you are unsure about something or you need assistance talk to your BA or ORS representative as soon as the uncertainty hits. BA’s and ORS representatives serve a large number of people and are at their best when they are given an appropriate amount of time to address issues.

4) All key personnel should make sure their eRA commons accounts are accurate and up to date. To check your profile for accuracy go to: [https://commons.era.nih.gov/commons/](https://commons.era.nih.gov/commons/) To establish a new account contact your Senior Business Administrator.

5) Make sure everyone involved in submitting the grant application understands the **process of submitting a grant applications through Grants.gov.** For more information talk to your BA or ORS representative or the Grants.gov resource page on the ORS website: [http://www.upenn.edu/researchservices/grantsgov.html](http://www.upenn.edu/researchservices/grantsgov.html)

6) Be sure that you have **PureEdge viewer** on the computer that will be used to compile the application. For more information see the “Apply of Application” page of the Grants.gov website [http://www.grants.gov/applicants/apply_for_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp)

7) A **PDF conversion software and a scanner** will need to be available to team members.

**Writing and compiling a grant application requires team work.**

**Happy Grant Writing in 2007.**
Extension of NIH Pilot Study to Shorten the Review Cycle for New Investigator R01 Applications

Notice Number: NOT-OD-07-034    Key Dates: Release Date January 8, 2007


Purpose:
As part of the National Institutes of Health continuing commitment to new investigators, a pilot effort (http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-013.html) was begun in 2006 to allow new investigators to have the option of submitting a resubmission/amended R01 application for consecutive review cycles, saving four months. The two cycles of the pilot have involved over 1100 R01 applications reviewed in 40 study sections in the Center for Scientific Review. Approximately 15% of the eligible new investigators have used the option of next cycle submission.

The Center for Scientific Review is committed to continuing this pilot for the current study sections and to the extension to all new investigator R01 applications by the end of 2007. For the February 2007 review meetings twenty-two study sections listed at the end of this document will be added to the pilot. For the June 2007 review meetings a significant number of study sections will be added (these will be identified in a NIH Guide to Grants and Contracts Notice at a later date), and by the October 2007 meetings all study sections reviewing new investigator R01 applications submitted for standard receipt dates (this does not include RFAs and PARs with special dates) will meet on a schedule to allow consecutive cycle re-submissions. Study Sections in the AIDS and AIDS Related Research (AARR) IRG already conduct reviews and produce summary statements on a schedule that allows consecutive cycle submission for new investigator R01s.

With the expansion of this effort, the policies and practices initially established remain in effect:

• Study Sections participating will schedule meetings so that new investigators receive their summary statements no later than March 1, July 1, or November 1.
• The Summary Statements for qualifying applications will have an explicit note indicating eligibility for next cycle submission.
• Re-submission applications for consideration at the next cycle must be submitted by March 20, July 20, or November 20.
• Re-submission applications must be reviewed by the same study section that reviewed the previous version.
• New Investigators who do not choose the next cycle option or request review by a different study section will use the standard re-submission dates for subsequent cycle submission (March 5, July 5, or November 5).


The NIH definition of a new investigator remains unchanged: “For the purposes of review and funding, applicants are considered new investigators if they have not previously served as the Principal Investigators (PI) on any Public Health Service-supported research project other than a small grant (R03), an Academic Research Enhancement Award (R15), an exploratory/developmental grant (R21), or certain research career awards directed principally to physicians, dentists, or veterinarians at the beginning of their research career (K01, K08, K22, K23, K25, and K99/R00). Current or past recipients of Independent Scientist and other non-mentored career award (K02, K04, K05, K24, and K26) are not considered new investigators.” (http://grants1.nih.gov/grants/new_investigators/resources.htm)

For further information please contact:
Division of Receipt and Referral
Center for Scientific Review
301-435-0715; 301-480-1987 (fax)
How to Update your online directory listing for the Penn online directory

Many university systems, such as Knowledge Link, depend on the information within Penn’s Online Directory. For example, your Penn Online Directory listing must be up to date for the Knowledge Link system to send a successful reminder email to you when you are registered for a training course within the system.

Faculty and Staff Instructions

Step 1. Go to your own record If you are not already within the Directory application, go to the University’s central directories page and click “Update directory listings”. If you are already within the Directory application, select “My Profile” in the upper right corner of any Directory screen. When prompted, use your PennKey and password to log in.

Step 2. Review and edit the information panels shown under the Penn Profile tab. This is the foundation for your listings in both the Penn View and the Public View. You can correct existing information and add new entries, such as additional telephone numbers and email addresses. (Note that although as much information as possible was moved from the previous version of the Online Directory to the new one, the implementation of new features and requirements means you old and new listings may not be identical.)

Please pay special attention to your title and office address. In some cases, these have been drawn from the Payroll System and cannot be edited by users. You may instead create a new entry that better reflects your actual location or job function. For example, if your work address does not include your office number, you may wish to provide a more detailed work address.

To open an information panel, click one of the blue editing buttons on the lower right side of the screen. For detailed information about editing specific portions of your Directory information, click the“I” information icon found in the title bar of any information panel.

Step 3. Select information for the Penn View. Decide upon and select the information you wish to display in the Penn View. Keep in mind that some categories of information are mandatory.

To display an entry in the Penn View, select the checkbox that appears to the left of that entry. To conceal an entry, make sure the checkbox to the left of that entry is unselected (empty). To show a particular name, major/organization, phone number, or email in the brief version of your listing that is shown in response to a search, also select the round radio button next to that entry.

Step 4. Select information for the Public View. Click your Public Profile tab in the upper right portion of the screen. Decide upon and indicate which information you want to display the Public View, which is seen by the general public. You can only choose from the set of information you’ve already chosen to display in the Penn View. Please exercise caution in deciding how much information to display in the Public View.

To display an entry in the Public View, select the checkbox that appears to the left of that entry. To conceal an entry, make sure the checkbox to the left of that entry is unselected (empty).

Step 5. Review how your listing appears in response to a search. Select “Search” in the upper right and search for yourself to see exactly how your listing displays in the Penn View. Then log out, select “Search” in the upper right corner, and search for yourself once more to see your listing in the Public View.

Important:
To protect your personal information, always remember to log out after you have used your PennKey to log in and access Directory information in the Penn View or manage your own record.

Source: http://www.upenn.edu/computing/da/penndirectory/helpcenter/howto/facstaffstart.html
Did You Know.......??

........Effective January 1, 2007, the salary limitation for Executive Level 1 is $186,600.

........ The eRA Commons Helpdesk will provide special support hours on Saturday, February 3 and Sunday, February 4 from 10:00 a.m. to 3:00 p.m. ET to support applicants who are trying to beat the deadline rush. Please use the Web option to create your own support ticket (http://ithelpdesk.nih.gov/eRA/). Although there will be limited staff available, they will assist as many applicants as possible.

........NIH has posted tips on how to keep your electronic application file size under control at: http://era.nih.gov/ElectronicReceipt/faq_prepare_app.htm#2c-2

........ For Grants.gov submissions Letters of Support need to be scanned and compiled into one PDF document to be uploaded to the application packet.

........ For Grants.gov submission, the credential Agency Login- ID is your eRA commons user name.

........ Grants.gov FAQ can be found at: http://www.upenn.edu/researchservices/grants.gov/engage.html


........ Grants.gov has release PureEdge software that can be used with Mac’s. Click the link to find additional information http://www.grants.gov/resources/download_software.jsp#pureedgeviewer

Please note that limitations of this early release software may include:
- Occasional crashes and subsequent loss of any unsaved data
- Inability to run on Mac OS version prior to 10.4.6
- No current support for screen readers for visually impaired users
- The viewer is installed at the root level of the user account home directory. (e.g. /Users/jsmith/). Do not move the application folder to any other location as it will not work.

........ an essential element in NSF’s mission is to support science, engineering education from pre-K through graduate school and beyond.

........ an allocable cost is a cost that can be assigned to a project or an activity based on relative benefits received.

........ The National Science Foundation ”NSF” issues about 10,000 new awards per year with and average duration of 3 years
ORS Monthly Quick Quiz

1) Approval of expenses on a sponsored award must indicate the PI’s signature on every document. -- See Sponsored Projects Policy 2134

   a. True
   b. False

2) OMB circular A-21 includes the following topic(s):

   a. Procurement Procedures
   b. Definition of F&A Cost
   c. Allowability of cost
   d. Both b & c

3) A cost disallowance as a result of a department’s failure to return effort reports or submission of inaccurate effort reports to Research Services will be charged to which one of the following? See Sponsored Projects Policy 2114

   a. the departments unrestricted budget
   b. Office of Audit and Compliance unrestricted budget
   c. Research services unrestricted budget
   d. Another grant funds that has unspent funds

4) An effort report can be signed by the individual or someone with first hand knowledge of the person’s salary distribution. See Sponsored Projects Policy 2114.

   a. True
   b. False

5) Which of the following best describes the type of activities that can be charged to a sponsored project?

   a. writing a new proposal application, serving on a sponsors study section
   b. traveling to a conference to present scientific results of a project, writing a progress report
   c. Serving on an IRB

6) University policy requires that only proposals submitted to federal sponsors require some level of faculty effort. See Sponsored Projects Policy 2119

   a. True
   b. False

For answer key See Page 13

For Information on Upcoming Training visit the ORS website:
http://www.upenn.edu/researchservices/training.html
Frequently Asked Questions’s

How do I know if I am a New Investigator?

For the purpose of review and funding, applicants are considered new investigators if they have not previously served as the principal investigators (PI) on any Public Health Service-supported research project other than a small grant (R03), an Academic Research Enhancement Award (R15), an exploratory/developmental grant (R21), or certain mentored research career development awards for persons at the beginning of their research career (K01, K08, K22, K23, K25, K99/R00). Current or past recipients of Independent Scientist and other non-mentored career awards (K02, K04, K05, K24, and K26) ARE NOT considered new investigators. (See instructions for the New Investigator Check Box in the PHS 398 at http://grants.nih.gov/grants/funding/phs398/phs398.doc)

NOTE: When Multiple Principal Investigators are proposed, all PIs must meet the definition of New Investigator for this box to be checked.

Resources for New Investigators

Penn Funding Agency List: http://www.upenn.edu/researchservices/sponsor%20links.html

National Institutes of Health "NIH": http://grants2.nih.gov/grants/new_investigators/resources.htm

National Aeronautics and Space Administration "NASA": http://research.hq.nasa.gov/propsite.cfm

National Science Foundation "NSF": http://www.nsf.gov/funding/preparing/

January Contributing Authors, ORS Newsletter:

Pam Caudill, Executive Director, Office of Research Services
Don Deyo, Director of Corporate Contracts, Office of Research Services
Evelyn Ford, Associate Director, School of Medicine, Office of Research Support Services
Teresa Leo, PennERA/PennERS Communications Specialist, Information Systems and Computing
Anita Mills, Associate Director - Sponsored Programs Compliance Training, Office of Research Services
Lauren Oshana, Associate Director- Pre-Award Administration, Office of Research Services
Adam P. Rifkind, Associate Director of Corporate Contracts, Office of Research Services
Todd Swavely, Associate Director –Penn ERA, Project Manager, Office of Research Services
Emerson Taylor, Penn ERA User Support, Office of Research Services
Kerry Peluso, Director of Post Award Financial Administration, Office of Research Services is leaving Penn to pursue an exciting opportunity at Emory University in Atlanta, GA. Kerry will be missed by many people at Penn. Below are a few warm wishes from people who have worked with her..........

All the best to you and your family.  Sorry to see you go.  Wishing you the best.
Kerry has always been pleasant, helpful and professional.  Best of Luck! Emory is getting a great leader.

“Good luck at Emory! I hope you have an enjoyable experience there as we have had here.”

Sorry to see you go as you have been a valued member of the office, as well as part of the Rutgers crowd! Keep in touch and may all your FSRs be on time.

Good luck in Atlanta!  You will be missed!
You have done so much for all of us in ORS and you will be missed very much! Congratulations to you & I wish you all the best!!

Goodbye, Good Luck!! Enjoy your mild winters, but prepare for the sizzlin’ HOTlanta summers.

Kerry thank you for everything, good luck at Emory, you will be missed.

Although, we worked together for a short period of time, you set a standard for high expectations that required dedication, perseverance and a drive towards excellence. I know you will continue to exalt these work ethics at Emory, as I will continue to exalt them here at Penn.

Dear Kerry, it was a great pleasure getting to know and work with you over the past eleven months. Best wish and much success in your future endeavors.

Congratulations!!! May your new job appreciate you as much as we did!! Good Luck!
Training Opportunities:

**Upcoming Grants.gov Training**
This course will be an instructor led course that will give students hands-on training using the PureEdge Viewer and SF424(R&R) forms to prepare NIH electronic grant applications.
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 25, 2007</td>
<td>2:00p-4:00p</td>
<td>Franklin Bldg Room 409</td>
</tr>
<tr>
<td>February 8, 2007</td>
<td>10:00a-12:00p</td>
<td>Franklin Bldg Room 409</td>
</tr>
<tr>
<td>February 12, 2007</td>
<td>2:00p-4:00p</td>
<td>Franklin Bldg Room 409</td>
</tr>
</tbody>
</table>

**Upcoming ORS Brown Bags:**

**February 14, 2007:** Agreement Types
Time: 12:00 - 1:15  Location: Golkin Room/Houston Hall
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**February 28, 2007:** Subrecipient Monitoring
Time: 12:00 - 1:15  Location: Ben Franklin Room/Houston Hall
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**Upcoming ERS Training**

**January 26, 2007:** ERS - hands On
Time: 1:30 - 4:00  Location: Franklin Bldg. 409
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**February 19, 2007:** ERS - hands On
Time: 1:30 - 4:00  Location: Franklin Bldg. 409
Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**Upcoming NCURA Events**

**Financial Research Administration Workshop**
February 12-14, 2007, New Orleans, LA
[http://www.ncura.edu/conferences/financial/](http://www.ncura.edu/conferences/financial/)

**Fundamentals of Sponsored Project Administration**
February 14-16, 2007, New Orleans, LA
[http://www.ncura.edu/conferences/fundamentals/](http://www.ncura.edu/conferences/fundamentals/)

**Financial Research Administration (FRA) VII**
-- April 1-3, 2007 Gaylord Texan Resort Grapevine, TX
[http://www.ncura.edu/conferences/fra8/](http://www.ncura.edu/conferences/fra8/)

**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/](http://www.upenn.edu/researchservices/)).

**Research Compliance Tutorials and Other Education:**
For further guidance on administering 5-funds here at Penn, please visit the Research Compliance Training and Education page at [http://www.upenn.edu/researchservices/rc/pages/training.htm](http://www.upenn.edu/researchservices/rc/pages/training.htm).
<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
<th>Location</th>
<th>Time</th>
<th>Registration Required</th>
<th>Additional Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>24</td>
<td>NIH Deadline</td>
<td></td>
<td>23</td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>NIH Deadline</td>
<td></td>
<td>21</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>NIH Deadline</td>
<td></td>
<td>18</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>NIH Deadline</td>
<td></td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>NIH Deadline</td>
<td></td>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>NIH Deadline</td>
<td></td>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>09</td>
<td>NIH Deadline</td>
<td></td>
<td>08</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02</td>
<td>NIH Deadline</td>
<td></td>
<td>01</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For more information about the courses held about Feb 14-16, 2007 NCURA Fundamentals:
http://www.ncura.edu/conferences/fundamentals/

For more information about the courses held about Feb 12-14, 2007 NCURA Financial Research Administration Workshop:
http://www.ncura.edu/conferences/financial/
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 - EXECUTIVE DIRECTOR, ORS
(215) 573-6706 OR caudill@pobox.upenn.edu

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
• Rehabilitation 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 – ACTING DIRECTOR
(215) 746-0234 OR dfisher@pobox.upenn.edu
• School of Engineering and Applied Science
• Wharton School
• Graduate School of Education

BENITA HALL – CONTRACT ADMINISTRATOR
(215) 573-6709 OR benitah@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts
• Emergency Med. - SOM
• President's Center
• University Museum

COLLEEN SPEAKMAN – CONTRACT ADMINISTRATOR
(215) 746-0033 OR cspeakma@pobox.upenn.edu
• Allergy & Immunology – SOM
• Cardiology
• Clinical Research Center – SOM
• Dean’s Office – SOM
• Diabetes – SOM
• Endocrinology – SOM
• Gastrointestinal – SOM
• General Internal 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 mazur@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

JOY HILL – GRANT/CONTRACT ASSISTANT
(215) 898-2346 OR rowec@pobox.upenn.edu

SUSAN POMPONIO - CONTRACT ADMINISTRATOR
(215) 573-6709 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) 573-9322 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
• Otolaryngology – SOM
• School of Nursing
• School of Veterinary Medicine

COPRIMARY 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
• Corporate Contracts

ADAM RIFKIND, Esq. – ASSOCIATE DIRECTOR
(215) 898-9990 OR rifkind@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

CLIFFORD K. WEBER, Esq. – ASSOCIATE DIRECTOR
(215) 898-9984 OR cwk@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

ROBERT WORTH – OPERATIONS SUPERVISOR
(215) 898-2346 OR rowec@pobox.upenn.edu

RICK FLOM - GRANT/CONTRACT ASSISTANT
(215) 898-7295 OR rickflom@pobox.upenn.edu

JOE HILL – GRANT/CONTRACT ASSISTANT
(215) 898-1967 OR joehill@pobox.upenn.edu
Post-Award Administration Staff

The main functions handled by these ORS staff members are the preparation of financial invoices and reports, coordination of audits, collection of receivables, cash management functions, and close out 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.

**PennERA GROUP:**

**TOO0 SWAWELEY – PennERA PROJECT MANAGER**
(215) 573-9764 OR twavelyl@pobox.upenn.edu

**EMERSON TAYLOR –PennERA USER SUPPORT PROVIDER**
(215) 746-6287 OR eme@pobox.upenn.edu

**STUART WATSON – Team Leader, PROPOSAL/AWARD TRACKING**
(215) 573-6712 OR wstawson@pobox.upenn.edu

**STEPHEN FRATANARO – Team Leader, PROPOSAL DEVELOPMENT**
(215) 898-6156 OR stfratanar@pobox.upenn.edu

**FEDERAL COMPLIANCE GROUP:**

**ROBERT McCANN— DIRECTOR**
(215) 598-1469 OR mcann@pobox.upenn.edu

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

**POST AWARD ADMINISTRATION:**

**KERRY PELUSO CPA - DIRECTOR**
(215) 573-6705 OR peluso0@pobox.upenn.edu

**FINANCIAL INVOICING AND REPORTING –Group 1:**

**KIM GARRISON – ASSOCIATE DIRECTOR**
(215) 898-2344 OR kimgni@pobox.upenn.edu

**GRACE BEATTIE – SENIOR GRANT ACCOUNTANT**
(215) 898-2342 OR dbbeattie@pobox.upenn.edu

- School of Medicine Departments:
  - Biochemistry/Biophysics
  - Microbiology
  - Cell and Developmental Biology
  - Pathology
  - Radiology

**CHRISTOPHER GUY – GRANT ACCOUNTANT**
(215) 898-2155 OR guyc@pobox.upenn.edu

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

**LIZA CRAIG – GRANT ACCOUNTANT**
(215) 898-9212 OR lizacrai@pobox.upenn.edu

- School of Medicine Departments:
  - Psychiatry
  - Surgery

**LATASHA TOWLES - GRANT ACCOUNTANT**
(215) 573-6716 OR towles@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
  - Obstetrics and Gynecology
  - Radiation Oncology
  - Center for Research on Reproduction and Women’s Health

**FINANCIAL INVOICING AND REPORTING –Group 2:**

**ELVINA WOODARD - ASSISTANT DIRECTOR**
(215) 898-3148 OR elvina@pobox.upenn.edu

**FLOSSIE GRAZIOLA – TEAM LEADER**
(215) 573-6708 OR graziola@pobox.upenn.edu

- School of Medicine Departments:
  - Department of Medicine

**KRISTINA RYTSAR – GRANT ACCOUNTANT,**
(215) 573-8929 OR rytzar@pobox.upenn.edu

- Annenberg School
- Annenberg Center
- Graduate School of Education
- Law School
- Morris Arboretum
- School of Social Work
- University Museum
- School of Arts and Sciences: Chemistry, Linguistics
- School of Medicine Departments: Center for Bioinformatics, Institute for Medicine & Engineering

**FINANCIAL INVOICING AND REPORTING –Group 3:**

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

**JIM DIIENNO – TEAM LEADER**
(215) 573-8957 OR diienno@pobox.upenn.edu

- 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

**JACK KETTERLINUS CPA – GRANT ACCOUNTANT**
(215) 898-6147 OR jackk@pobox.upenn.edu

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

**SHANEAL WARREN – GRANT ACCOUNTANT,**
(215) 573-6715 OR shaneal@pobox.upenn.edu

- The College
- General University
- Van Pelt Library
- School of Arts & Sciences:
  - All except Chemistry, Linguistics, Economics and Physics
- School of Medicine Departments:
  - Pediatrics
  - Diabetes
  - Cancer Biology
  - Rehabilitation Medicine

**JASMINE BURNO – GRANT ACCOUNTANT**
(215) 898-9216 OR burno@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

**DATA MANAGEMENT AND ACCOUNTS RECEIVABLES:**

**KEITH DIXON— ASSOCIATE DIRECTOR**
(215) 898-1966 OR kdkixon@pobox.upenn.edu

**BOB SPEAKMAN – Cash Receipts Manager, DM/AR**
(215) 898-2345 OR bspeakma@pobox.upenn.edu

**APRIL JOHNSON – RECEIVABLES ACCOUNTANT**
(215) 746-0235 OR aprilj@pobox.upenn.edu

**MIRIAM STEVENSON –FINANCIAL COORDINATOR**
(215) 573-6711 OR stevenso@pobox.upenn.edu

**FLOYD HARRIS – ACCOUNTANT**
(215) 573-5743 OR harrisf@pobox.upenn.edu

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

**JENNIFER MULHERN – RECEIVABLES ANALYST**
(215) 898-5743 OR mulhej@pobox.upenn.edu

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

<table>
<thead>
<tr>
<th>Phone Number</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>215-898-7293 (General Information</td>
<td>Pamela Caudill, Executive Director Office of Research Administration:</td>
</tr>
<tr>
<td>215-898-7269 (Financial Reports</td>
<td>Donald Deyo Esq., Director, Corporate Contracts:</td>
</tr>
<tr>
<td>215-898-7269 (Financial Reports</td>
<td>Robert McCann, Director of Cost Studies:</td>
</tr>
<tr>
<td>215-898-7269 (Financial Reports</td>
<td>Kerry Peluso, CPA, Director of Post Award Financial Administration:</td>
</tr>
<tr>
<td>215-898-7269 (Financial Reports</td>
<td>Todd Swavely, Associate Director –Penn ERA, Project Manager:</td>
</tr>
<tr>
<td></td>
<td>215-573-9970, <a href="mailto:deyo@pobox.upenn.edu">deyo@pobox.upenn.edu</a></td>
</tr>
<tr>
<td></td>
<td>215-898-1469, <a href="mailto:mccannr@pobox.upenn.edu">mccannr@pobox.upenn.edu</a></td>
</tr>
<tr>
<td></td>
<td>215-573-6705, <a href="mailto:pelusok@pobox.upenn.edu">pelusok@pobox.upenn.edu</a></td>
</tr>
<tr>
<td></td>
<td>215-573-9764, <a href="mailto:tswavely@pobox.upenn.edu">tswavely@pobox.upenn.edu</a></td>
</tr>
</tbody>
</table>

Not receiving our newsletter? Please visit our homepage to subscribe to our listserv.
http://www.upenn.edu/researchservices/ (see bottom right corner)