

Special Interest
Articles:

- **IMPORTANT!** -
-Fall Effort Reports
must be submitted
immediately
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- Service Centers –
FY05 Budgets and
Schedules Due
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Now Available: Export Controls Website

Export controls are a comprehensive series of regulations enforced by the Federal Government concerning the export of certain controlled technologies. The regulatory scheme encompassing export controls requires certain technologies to be regulated because i) the nature or type of technology has potential military applications ii) the nature or type of technology raises some sort of trade/economic protection issue iii) there are concerns about the country, organization, individual or “end user” of the technology requiring control.

While University research has traditionally been free of governmental regulation, export controls may substantially impact being conducted at the University of Pennsylvania. If research involves specified technologies, the export controls may require that the University of Pennsylvania obtain prior federal approval before allowing foreign nationals to participate in the research, before partnering with a foreign company, or before sharing research results in any manner (including by publication or presentation at conferences) with persons who are not U.S. citizens or permanent resident aliens.

Given the great need for faculty and administrators to understand their obligations under export controls, ORS has launched a website in August to provide information and guidance on this complex issue. Please visit our new website at <http://www.upenn.edu/researchservices/exportcontrols.html>.

IMPORTANT: DEPARTMENT OF EDUCATION AWARDS

Please note that Department of Education Awards are closed by the sponsor 90 days after the end date and **funds are no longer available**. ORS requires 30 days to close out the award and request the final funds. University policy states that costs should be finalized on these funds within 60 days or less of the end date of the award. **Any expenses incurred on Department of Education awards after 60 days following the end date will be the responsibility of the department and will be transferred to their 0 fund at closeout.**

NEW ACCOUNTING PROCEDURES FOR NON-FEDERAL SPONSORS ARE NOW IN EFFECT

Please see our [December 2003 Newsletter](#) for details

IMPORTANT REMINDERS

Timely Submission of Effort Reports

Within the next two weeks ORS will produce and distribute the Spring Semester FY04 Effort Reports. As of the date of this writing, there are still over 1300 effort reports from the Fall Semester which have not yet been returned to ORS. The Fall semester effort reports were distributed in February and were due to be returned to ORS April 23rd. That is now over two months ago. Floyd Harris has been diligently sending out messages to department business administrators reminding them of the individuals whose reports have not been returned.

It is not a good situation from a compliance standpoint to have so many Fall semester effort reports still outstanding when we distribute another 7000+ Spring semester effort reports.

For those Business Administrators who still have not returned Fall semester effort reports, please make a special effort in the next week to have them returned to Floyd Harris in ORS.

For those Business Administrators who have returned all their Fall effort reports, we thank you.

Service Centers – FY05 Budgets and Rate Schedules

This is a reminder that University Sponsored Projects Policy #2115 requires that all Service Center budgets and user fee schedules for FY05 must be submitted to ORS for review and approval. This requirement is to ensure that the fee schedules have been prepared in accordance with federal regulations for accurately developing and costing service center charges to federally sponsored projects. If you have any questions regarding a service center, or the development of the user fee schedules, please contact Bob McCann or Annamaria Molnar in ORS.

Closeouts during August through December

The busiest time of the year for closeouts and FSR preparation is during the upcoming months. During this time, it is extra important that departments prepare in advance for their closeouts and respond to any inquiries from ORS Accountants in as timely a manner as possible. As always, delinquent FSR's are not acceptable. We all need to work together to avoid this. If you have any questions regarding your closeout, please contact your ORS Accountant asap. Thanks to all for their assistance and quick responses during this time.

Did you know that.....?



For more information
on Cost Transfers,
please see [Sponsored
Programs Policy
2113.](#)

... Object Code 5139 can only be used for students that are participating in the formal College Work Study Program (CWSP).

... Cost transfers (including salary reallocations) must be completed within 90 days from the G/L month end in which the transaction appeared on the fund.

... Clinical trials must incorporate some level of effort AND the corresponding salary is expected to be charged to the clinical trial.

... Procurement/Disbursements [Policy 2319.1](#) *Payment of Human Subject Fees* has been modified to increase the threshold for human subject fees paid from petty cash from \$50 to \$100.

PennERA—Update

The PennERA (Electronic Research Administration) Team is pleased to announce that an enhancement to the Proposal Tracking module to include Special Budgets will go into effect beginning July 26th. As of that date, Special Budget values of PBUD (authorized budgetable amount), PBIL (maximum allowable billable amount), and PTCS (project total cost share amount) will be established automatically with new award increments in a feed from PennERA to BEN Financials. With this enhancement, Special Budget values will no longer have to be manually entered into BEN Financials GL after an award is established in PennERA. Additionally any adjustments to these Special Budget balances will be done in Proposal Tracking and fed to BEN Financials. These changes will ensure that PennERA and BEN Financials will always be in synch as to the amounts that are budgetable and billable for sponsored project funds.

A change will also be made to the GRAM report system to support encumbering dependent tuition benefit changes to non-federally funded grants, which began effective July 1, 2004.

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

--Robin H. Beck,


Vice President of Information Systems and Computing

--Andrew B. Rudczynski, Ph. D.,

Executive Director of Research Services and Associate Vice President of Finance

--Joseph R. Sherwin, Ph.D.,

Director of the Office of Regulatory Affairs



Frequently Asked Questions . . .

What Information Can Be Found on ORS's Web Site?

Whether you are new to research administration or experienced, a great resource for information is ORS's website. On the left side bar, you will find links to a variety of items beginning with a contact list for all ORS staff. This list can be accessed alphabetically or by area of responsibility. Below that is Penn Data for Proposals. This link will bring you to an area which provides the information that is most often requested on proposals.

As you move down the bar, you will find links for Human Subjects, Animal Subjects and Export Controls. Links to the most used forms are available next as are links to the policies applicable to the administration of research awards at Penn. Everyone who is responsible for the administration of research awards at Penn should be very familiar with the destinations of these links.

As you reach the bottom of the left bar, you will find a section entitled "Links" which provides links to locations such as the OMB Circulars and the ORS Sponsor Sheets. Sponsor Sheets are 2 – 4 page summaries on sponsor requirements. They are currently available for select sponsors (more will be added in the future). At the bottom of the left bar you will find a link to the PennERA project and a link to the ORS newsletter archive.

When viewing the center of our homepage, you will find links in five major areas:

- **Proposals:** This area provides information which would be of interest to those preparing proposals.
- **Award Management:** This area provides research administration information which is organized by the life cycle of the award.
- **Sponsors and Agencies:** This area provides links to most of our sponsors (as available).
- **Penn Offices:** This area provides links to the offices within Penn which you may need to contact during the administration of your award.
- **Principal Investigator:** This area provides information which would be of interest to the PI of a project(s).

On the right of our home page links are provided to anything that is new or areas of interest which we are currently highlighting. Included here are links directly to our FAQ's, the NIH Salary Calculator, Effort Reporting information, and other areas.

Everyone who is responsible for research administration at Penn should be familiar with the ORS web site and the areas included within it.

Questions about web site as well as suggestions for enhancements or additional links to be added to our web site are very welcome and should be directed to Kerry Peluso at pelusok@pobox.upenn.edu.

Getting to know your ORS Staff:

Carmen Rowe **Supervisor, Operations Department**

Years at Penn: 6

Years in Research Services: 6

What she does: Supervisor of the Operations Department which is responsible for inputting all proposals into the PennERA system, creating AIS' from award information and updating special budgets in BEN Financials.

Hobbies/Interests: Reading and staying fit by working out.

Favorite Restaurant: Olive Garden

Favorite ways to spend a vacation: Spending time in Ocean City, Maryland with the children.

What Co-workers say:

.....Carmen is very sweet and pleasant –and a little shy. She appears to be a loving mother, wife and a diligent work at ORS. She is a great team player and is very eager to learn.

.....Carmen is very customer service oriented and is always willing to lend a hand

July's Contributing Authors, ORS Newsletter:

Pam Caudill, Director of Pre Award Non-Financial Administration, Office of Research Services
Donald Deyo, Director, Corporate Contracts, Office of Research Services
Teresa Leo, PennERA/PennERS Communications Specialist, Information Systems and Computing
Robert McCann, Director of Cost Studies, Office of Research Services
Kerry Peluso, Director of Post Award Financial Administration, Office of Research Services
Andrew B. Rudczynski, Associate Vice President for Finance and Executive Director, Office of Research Services
Todd Swavely, Associate Director –Penn ERA, Project Manager, Office of Research Services
Alice Tangredi-Hannon, Director, Research Compliance, Office of Research Integrity & Compliance



Training Opportunities:

ORS FAQ's and ORIC Quizzes:

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/>).

Available from ORS:

Sponsored Programs at Penn August 25th and 26th

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

This program has been designed to provide a comprehensive introduction to the basic knowledge required to effectively monitor and manage grant funds at Penn. The program is being offered on December 8th and 10th 2003. Please see the Financial Training Department Website for registration information. For more information or to register, please go to:

<http://www.finance.upenn.edu/ftd/courses.html>

SRA Annual Meeting:

October 23 – 27, Salt Lake City, Utah

For more information, please see

<http://www.srainternational.org/NewWeb/meetings/annualmeeting/04/index.cfm>

NCURA Annual Meeting:

October 31 – November 3, Washington DC

For more information, please see <http://www.ncura.edu/conferences/46/>



Pre-Award Administration Staff

The Pre-award staff is responsible for processing proposals, reviewing, negotiating, and accepting awards (except for corporate contracts), as well as, providing post-award non-financial administration for these accounts. Questions concerning issues such as no-cost extensions, carryover requests and other administrative matters should be directed to the appropriate pre-award contact.

Questions concerning **industrial clinical trial agreements and sponsored research agreements** should be addressed to the Corporate Contracts Group. Greg Curley is responsible for Account Information Sheets (AIS's) for all industrial clinical trials and sponsored research agreements.

PAMELA S. CAUDILL - DIRECTOR

(215) 573-6706 OR caudill@pobox.upenn.edu

- SOM – Dean's Office

JOANNE CROSSIN – SR. CONTRACT ADMINISTRATOR

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- Biochemistry/Biophysics – SOM
- Biomedical Graduate Studies – SOM
- Biostatistics – SOM
- Cancer Center – SOM
- Center for Experimental Therapeutics – SOM
- Institute for Environmental Medicine – SOM
- Institute for Human Gene Therapy – SOM
- Institute for Neurological Sciences – SOM
- Medical Genetics – SOM
- Neurology – SOM
- Pathology & Laboratory Medicine
- Rehabilitative Medicine – SOM

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- Center for Clinical Epidemiology and Biostatistics –SOM
- Center for Sleep and Respiratory Neurobiology – SOM
- Institute on Age – SOM
- Pennsylvania Muscle Institute – SOM
- Pharmacology – SOM

VACANT – ASSISTANT DIRECTOR

Please contact Pam Caudill.

- President's Center
- School of Dental Medicine
- School of Engineering and Applied Science
- Wharton School
- Graduate School of Education
- University Museum
- Emergency Medicine – SOM

HEATHER LEWIS – CONTRACT ADMINISTRATOR

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- Allergy & Immunology – SOM
- Cardiology
- Clinical Research Center – SOM
- Diabetes – SOM
- Endocrinology –SOM
- Gastrointestinal – SOM
- General Intestinal Medicine – SOM
- Infectious Disease – SOM
- Pulmonary, Allergy & Critical Care – SOM
- Renal – SOM
- Rheumatology – SOM

ROSE MAZUR – ASSISTANT DIRECTOR

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

LAUREN OSHANA – ASSOCIATE DIRECTOR

(215) 573-6710 OR oshana@pobox.upenn.edu

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

SUSAN POMPONIO - CONTRACT ADMINISTRATOR

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- 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

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- Anesthesiology – SOM
- Annenberg Center for Performing Arts
- Annenberg School for Communication
- Cell & Developmental Biology – SOM
- Center for Bioethics – SOM
- Dermatology
- Geriatrics – SOM
- Microbiology – SOM
- Ophthalmology – SOM
- Otorhinolaryngology – SOM
- School of Nursing
- School of Veterinary Medicine

CORPORATE CONTRACTS GROUP:

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EDWARD PIETERS, Ph.D. – ASSOCIATE DIRECTOR

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- Sponsored Research Agreements

SHEILA ATKINS – ASSOCIATE DIRECTOR

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- Clinical Trial Agreements

STACIA C. LEVY, M.A. – SENIOR CONTRACTS ADMINISTRATOR

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- Clinical Trial Agreements

VACANT – CONTRACT ADMINISTRATOR

Contact Donald Deyo at (215) 573-9970 OR deyo@pobox.upenn.edu

- Account Information Sheets for Contracts

PennERA GROUP:

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STUART WATSON – Team Leader, PROPOSAL/AWARD TRACKING

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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 Senior Vice President for Finance & Treasurer and Vice Provost for Research.

Office of Research Services Quick Contact List:

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

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

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