The Many Phases of ERS

In April 2005, the University completed a pilot of the new electronic Effort Reporting System (ERS). Based on the success of the pilot, ERS full roll-out to the Penn Community is planned in five phases. As you know, ERS is a web based system designed to provide the planning and reporting tools that will replace the current manual system. ERS will become the “system of record” for effort certification and as such, participation is obligatory.

**Phase 1**, for the reporting period ending March 31, 2005 (weekly paid employees), was rolled-out in May 2005 to the pilot participants and their remaining ORGs in addition to the following new Schools/Departments:
- Graduate School of Education
- School of Veterinary Medicine
- Student Services
- ORGs under the Vice Provosts

**Phase 2**, for the quarter and semester period ending June 30, 2005 (weekly and all monthly paid employees), is planned for roll-out in July 2005. Departments to be added to the already participating Schools/Departments/ORGs in this phase are the basic science and administrative departments in the School of Medicine. Those are ORGs 4000 through 4121.

**Phase 3** is dedicated to the summer effort reporting period for faculty having a nine month academic appointment. This phase is expected to roll-out in September for the following Schools/Departments/ORGs:
- Nursing
- Remaining ORGs in SEAS
- Remaining ORGs in SAS
- Design
- Dental
- Social Work
- Annenberg Center
- Wharton (for ORGs 0703, 0704, 0708, 0709, and 0711)

**Phase 4** is the quarterly reporting period ending September 30, 2005. This phase is expected to roll-out in October. At this time it is not anticipated that any new Schools/Departments/ORGs will be accessing ERS, however all ORGs that have participated in the previous phases will be included in this phase.

**Phase 5**, for the quarter and semester period ending December 31, 2005, will roll-out in January 2006. This phase will include:
- All remaining clinical ORGs in the School of Medicine
- Provost
- Wharton’s remaining ORGs
Early Review of Industrial Clinical Trial Agreements: Update

ORS has for several years provided investigators with a mechanism to request an early review of clinical trial agreements. This would allow negotiations on contract terms and conditions to commence prior to submission of the research proposal transmittal form to ORS. The required submission form for early review of contracts is available at [http://www.upenn.edu/researchservices/under Clinical Trials Early Review.]

Please note the following concerns with these submissions:

1. In some cases, sponsors or departments are sending contracts to ORS without any accompanying paperwork. These cannot be accepted for negotiation because there is insufficient information. For example, there may be no indication if the faculty researcher actually intends to participate in the study, if the budget is being negotiated or if any IRB submissions are being prepared. A copy of the consent form or protocol summary is needed to allow contract negotiators to have information on the nature of the clinical study in order to request appropriate terms and conditions.

2. When submitting the Request for Early Review, please ensure that the sponsor, PI and title of the Protocol match that information contained in the research proposal transmittal form. This is particularly true for studies involving PI’s with numerous studies involving the same sponsor.

3. If at all possible, please submit the Request for Early Review Form, contract and accompanying forms electronically. If an e-copy of the agreement is obtained, negotiations can begin more quickly.

4. For sponsor contact, please indicate the actual name and contact information for the contract negotiator and not generic contact information for the sponsor.
It should be noted that the early review process does not replace the need to prepare and submit a Proposal Transmittal and Approval Form and all required documentation. The required documentation includes the contracts, study budget, IRB documentation, patient consent form, protocol, and any needed conflict of interest documentation. Please contact Donald Deyo if you have any questions.

Frequently Asked Questions

What do I need to be aware of regarding Equipment In Process (EIP) which is funded by a sponsored project?

In May 2005, a new financial policy was issued regarding Equipment in Process. Financial Policy No. 1106 was written to ensure the proper accounting for Equipment in Process (EIP).

Costs incurred for fabricating non-expendable, tangible personal property, that is not available elsewhere, by physically combining or assembling modular components and/or materials into one identifiable unit are considered EIP until the equipment is completed and placed in service. Costs incurred for standard items that are altered or customized to make them usable on a project do not qualify as EIP.

Please note that object code 1834 should be used to capitalize costs only when ALL of the following criteria are met:

- Upon completion, aggregated cost of the fabricated unit exceeds $5,000.
- Title is retained by the University of Pennsylvania.
- Upon completion, the equipment will be used by the University beyond the expiration of any grant that funded the fabrication and it has a remaining useful life in excess of one year.

When the equipment is placed in service, costs must be moved from object code 1834 to the appropriate 182X or 183X object codes. At the closeout of any sponsored project, the balance in object code 1834 must be 0- in order to allow preparation for disablement of the fund.

EIP costs that do not meet all of the criteria above must be expensed in the appropriate 522X object codes unless specifically excluded from F&A (overhead) recovery by sponsors in which case object code 5243 (Non-Capital Equip – Overhead Excluded) must be used.

Costs related to the repair or upgrading of fabricated equipment in service, which does not extend its useful life, must be expensed to the appropriate 522X object code as incurred unless these costs are specifically excluded from F&A (overhead) recovery by the sponsor in which case object code 5243 must be used.

Please note that prior to the disposition of any equipment purchased or fabricated with sponsored project funds, ORS must be contacted to determine the appropriate process necessary in order to comply with sponsor’s requirements.

What object code do I use when equipment is purchased on a sponsored project that exceeds $5,000 and has a useful life of over one year BUT the University of Pennsylvania will NOT retain title?

Any completed equipment (EIP or otherwise) which was funded with sponsored projects funds can be charged to object codes 182X or 183X only if they meet all of the three criteria listed. Otherwise, they must be expensed. Items such as the one referenced in this question that meet all of the criteria except the title requirement should be expensed to object code 5243. Items charged to this object code will not incur F&A charges. If you have any questions regarding who retains title of equipment purchased, please contact Kerry Peluso, Post Award Director at 215-573-6705 for further guidance.

Grant Writing Workshop in Pittsburgh, PA: June 27-29, 2005

The Grant Network will hold an intensive 3-day grant proposal writing workshop on the Duquesne University campus on June 27-29, 2005.

The Grant Network is the only nonprofit national grantwriting instructional organization. The Grant Network teaches individuals, organizations, and municipalities how to obtain funding through professional grant writing. This workshop is designed for both the novice learning how to write a grant proposal and the grant writing professional seeking to streamline a development program.
Attendees will learn how to obtain funding from foundations and corporations, as well as local, state, and federal government sources. All graduates of the course will receive certification in grant proposal writing from The Grant Network.

The Grant Network’s Grant Writing Workshop is a thorough introduction to the process of grant proposal writing. The workshop will teach students the skills needed to become an expert grant writer. The Grant Network gives workshop attendees a holistic view of the grant process, highlighting the relevance and importance of each phase. Participants in this course are taught each step of the grant process from researching grant leads to developing long-lasting relationships with funding sources. This broad scope of instruction gives attendees a crucial competitive advantage.

Each day begins at 8:30 a.m. and concludes at 5:00 p.m., with registration beginning at 7:30 a.m. on day one. The first day of the workshop focuses on grant source research. Students will learn the fundamentals of government, corporation, and foundation research. The workshop emphasizes the wide range of research tools available from traditional library resources to the best online databases. Students are taught how to integrate their research into the grant seeking process from the initiation of the funding effort. The second day of the course concentrates on writing the grant proposal. Here, students are taught how to become grant experts through an in-depth analysis of each element of successful grant proposals. This substantive portion of the course is where students learn the art of mastering the grant writing process. The last day of the course teaches students how to maximize a development program. This final day will teach program fundamentals and productivity, as well as the role that proactive grant writing plays in effective program execution.

Tuition for the workshop is $549. For group registrations of four or more, each group member receives a discounted tuition of $449. Workshop attendees receive personalized grant research, over 50 grant proposal samples, and grant writing software at no additional cost. Graduates of the course receive lifetime access to the Grantseekers’ Forum, an online meeting place for grant writing professionals. Early registration is recommended as class size is limited. Registration may be conducted online at http://www.thegrantnetwork.com or attendees may call The Grant Network’s toll free number to register with an associate.

To further information or to find out about other times/locations, contact The Grant Network directly, please go to http://www.thegrantnetwork.com or call 1-888-GRANT-10.
Announcement on new Facility and Administrative (F&A) Rate Agreement

The University has reached agreement with the Department of Health and Human Services (DHHS) for Facility and Administrative rates for fiscal years 2005 through 2008. The new agreement is dated June 14, 2005. The negotiated rates are as follows:

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Research On Campus</th>
<th>Other Sponsored Programs</th>
<th>Instruction</th>
<th>All Programs Off Campus</th>
<th>DOD Research Contracts &amp; Non-Federal Sponsors</th>
</tr>
</thead>
<tbody>
<tr>
<td>2005</td>
<td>57.5%</td>
<td>36.0%</td>
<td>52.0%</td>
<td>26.0%</td>
<td>59.9%</td>
</tr>
<tr>
<td>2006</td>
<td>57.0%</td>
<td>36.0%</td>
<td>52.0%</td>
<td>26.0%</td>
<td>59.9%</td>
</tr>
<tr>
<td>2007</td>
<td>57.0%</td>
<td>36.0%</td>
<td>52.0%</td>
<td>26.0%</td>
<td>59.9%</td>
</tr>
<tr>
<td>2008</td>
<td>57.5%</td>
<td>36.0%</td>
<td>52.0%</td>
<td>26.0%</td>
<td>59.9%</td>
</tr>
</tbody>
</table>

The application of F&A rates to federal awards is governed by OMB Circular A-21, Section G.7 as well as a clarifying memorandum agreed to by OMB, NIH and other federal sponsors. The University has been operating under a provisional research rate of 58.5% (as well as other provisional rates such as “Other Sponsored Programs” and “Instruction”) since July 1, 2004. The negotiation of new predetermined rates requires us to make adjustments to certain federal awards based on when their budget periods begin and, in some cases, when expenses are incurred.

I. Awards with Project Start dates Prior to July 1, 2004

Any federal award whose new or competitive segment began prior to July 1, 2004 will retain the 58.5% F&A rate until the completion of the current project segment.

II. Awards with Project Start Dates of July 1, 2004 and Later

New, Competing Renewals and Change of Grantee awards and new or competing federal pass-through awards will be charged F&A rates in effect in the fiscal year in which expenditures are made.

The 57.5% rate will be used for charging F&A costs for FY 2005, the 57% rate will be used for FY 2006 and FY2007, and the 57.5 % rate will be used for FY 2008 and thereafter.

For example, a new award with a budget period of April 1, 2005 to March 31, 2006, will be set up with an F&A rate of 57.5%. On July 1, 2005 the F&A rate will be changed to 57%. In this example, the award would be at 57.5% for three months and 57% for nine months. If an award extends beyond FY2008, the 57.5% rate will be applied for the remaining years of the competitive segment.

III. Treatment of Carry Forward of Unobligated Balances Requiring Sponsor Approval and Supplements

Carry Forward of unobligated balances requiring sponsor approval and supplements are considered by sponsors as new authorizations, separate from the original awards. The F&A rate to be used on these awards/authorizations will depend on the issuance date of the award/authorization.

A. Carry Forward of Unobligated Balances and Supplements Issued Prior to July 1, 2004:

These awards/authorizations should be made at the 58.5% rate and F&A costs should be charged at that rate.

B. Carry Forward of Unobligated Balances and Supplements Issued July 1, 2004 and Later on Awards with Original Start Dates Prior to July 1, 2004:

These awards/authorizations should be made at the rate(s) in existence at the time of the awards/
authorizations. F&A charges will be made at the rate(s) for the fiscal year(s) in which the expenditures are made even if the original award was made prior to July 1, 2004. A new fund will be established for these awards/authorizations to accomplish the appropriate charging of F&A costs.

C. Carry Forward of Unobligated Balances and Supplements Issued July 1, 2004 and Later on Awards with Original Start Dates on July 1, 2004 or Later:
These awards/authorizations should be made at the rate(s) in existence at the time of the awards/authorizations. F&A charges will be made at the rate(s) for the fiscal year(s) in which the expenditures are made. A separate fund will not be required and will be accounted for in the normal account established for that budget period.

IV. Preparation of Proposal Budgets
The appropriate fiscal year negotiated rates must be used for budgeting reimbursement of F&A costs for each year of a competitive segment and must be apportioned for the F&A rates in existence during the budget period.

For example, for an application that has a proposed start date of April 1, 2006, year 1 F&A is to be requested at the rate of 57% of modified total direct costs (MTDC). The requested F&A for year two is to be shown at a rate of 57/57.5 and calculated as 3/12 of the MTDC at 57% and 9/12 at 57.5%.

V. Inconsistent Treatment of Award Notices by Federal Sponsors
Should any federal award be made that is not consistent with these procedures, ORS will be responsible for negotiating and correcting the award documents. Schools and Departments should consult with ORS in anticipation of such an award in order to prevent any problems, especially as federal sponsors acclimate to our new negotiated rates.

**Non-Federal Awards:**
In the Agreement, the DHHS has published an **uncapped rate of 59.9%**. This rate must be used for certain Department of Defense contracts which, by statute, are not limited to the capped F&A rate. **In addition, this rate must henceforth be used as the research F&A rate charged to non federal sponsors such as corporate sponsors.**

ORS will make the adjustment to the new rates for the awards received for FY05 and FY06 in the following manner:
The Overhead parent will be changed to the appropriate rate so that the fund will be charged accordingly.

The “F&A Rate” field will be changed on the affected increments so that the correct F&A rate will be reflected on the AIS. An AIS on-line will be created and sent to the appropriate parties.

The breakdown between Direct Costs and F&A will **not** be changed in the awarded or future increments and will reflect the current amounts shown on the award document. The departments will be responsible for entering the budget at the revised rate. Funds remaining after the reduction of the F&A rate can be rebudgeted in accordance with sponsor guidelines/award terms and conditions.

While it is the intention of ORS to adjust overhead parents on all impacted funds, it continues to be the responsibility of the department to ensure that the charges which hit their funds are appropriate. All ORS adjustments will occur by the end of FY05. If after this point, a department discovers that F&A is being charged at the incorrect rate, they should contact ORS immediately to have this corrected.

Please contact your ORS Accountant or Contract Administrator with any questions.
Did You Know.......??

...The University of Alabama at Birmingham (UAB) recently paid a settlement of approximately $3.4M to the federal government regarding the over billing of effort on NIH awards as well as improperly billing Medicare for clinical research trials.

...Equipment is defined by the federal regulations as an item having a minimal value of $5,000 and a useful life of one year. Also, though title to equipment purchased with federal grant funds vests with the University upon acquisition, the federal government may request that title be transferred to the Federal Government or a third party if the project is transferred to another recipient. It is incumbent upon the federal agency to notify the University within 120 days of grant termination if such transfer is to occur.

...Though Penn is a member of the Federal Demonstration Partnership (FDP) not all federal grants received by Penn have FDP terms and conditions. For example, not all federal agencies are members of FDP e.g., Dept. of Education. In situations where Penn receives a subaward from a non-FDP university, FDP terms and conditions would not apply to Penn.

Training Opportunities:

ORS Quizzes and FAQ’s:

Take a moment to look at our quizzes or FAQ section for more guidance on administering 5-funds here at Penn. Both can be accessed by clicking Training on our home page (http://www.upenn.edu/researchservices/).

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.
ORS Monthly Quick Quiz

1) Which OMB Circular extensively covers F&A Costs–
   a) OMB Circular A21
   b) OMB Circular A110
   c) F&A Costs are not covered in an OMB Circular

   For answer, click here or visit http://www.whitehouse.gov/omb/circulars/index-education.htm.

2) Penn ERS Certifier Instructions are available on the ORS Website.
   a) True
   b) False

   For answer, click here or visit http://www.upenn.edu/researchservices/effortreportingA.html.

3) The Sponsored Projects Handbook includes information on the roles and responsibilities of those involved in the administration of sponsored projects at Penn.
   a) True
   b) False

   For answer, click here or visit http://www.upenn.edu/researchservices/Manual.html.

New Research Compliance Tutorials Now Available

Newly added to the ORS Web Site are tutorials on the subjects of Allowability, Cost Transfers & Documentation; Export Controls, and Effort Reporting. Please take a few moments to view these tutorials. The tutorials and other compliance related information can be found at http://www.upenn.edu/researchservices/rc/pages/training.htm.
Getting to Know......
Adam Rifkind, Esq.
Associate Director, Corporate Contracts

Years at Penn: 3 months

Years in Research Services: 3 months

ORS Responsibilities: Review and negotiation of Corporate Contracts

Hobbies/Interests: Photography (especially Philadelphia murals on 4x5 slides), walking, playing Scrabble with friends, watching movies

Favorite Foods: Lasagna, my girlfriend’s salmon, chicken parmagiana, saltimbocca, prosciutto, chicken cheesesteaks with fried onions.

Favorite ways to spend a vacation: On Lake Como in Italy, anywhere in the Poconos, Catskills or Adirondacks

What Co-workers say:
...Adam’s experience on the Pharma side will be helpful in difficult negotiations.
...We are fortunate to have Adam negotiating for us rather than against us.
...His experience as an industrial negotiator and his expertise in legal matters will make him a strong asset to our group.

June’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
Alice Dunleavy, Associate Director, Pre Award, Office of Research Services
Robert McCann, Director, Post Award 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
Alice Tangredi-Hannon, Institutional Compliance Officer, Office of Audit and Compliance
Pre-Award Administration Staff

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

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---continued--

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Post-Award Administration Staff

The main functions handled by these ORS staff members are the preparation of financial invoices and reports, coordination of audits, collection of receivables, cash management functions, and close outs of funds. The Federal Compliance Group handles facilities and administrative costs, employee benefit rates, effort reporting, and compliance issues. Contact Information for all areas is provided below.

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  - Dermatology
  - Institute for Environmental Medicine
  - Neurology
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  - Ophthalmology
  - Orthopedic Surgery
  - Pharmacology
  - Pediatrics Admin
  - Pediatrics -Neonatology
  - Otorhinolaryngology: Head and Neck Surgery

**VACANT — DESK ACCOUNTANT, CONTACT KIM GARRISON**
- School of Medicine Departments:
  - Psychiatry
  - Surgery

**VACANT — DESK ACCOUNTANT, CONTACT KIM GARRISON**
- School of Nursing
- Institute of Contemporary Art
- Vice Provost of University Live
- School of Medicine Departments:
  - Cancer Center
  - Center for Sleep
  - Neurosurgery
  - Physiology
  - Obstetrics and Gynecology
  - Radiation Oncology
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- The College
- General University
- School of Social Work
- Van Pelt Library
- Wharton School
- School of Arts & Sciences:
  - All except Chemistry, Linguistics, Economics and Physics
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  - Cancer Biology
  - Diabetes
  - Rehabilitation Medicine

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

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

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- School of Medicine Departments:
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  - Center for Experimental Therapeutics
  - Institute for Human Gene Therapy
  - Family Practice
  - Molecular & Cellular Engineering
  - Center for Clinical Epidemiology and Biostatics

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- Wharton School
- Law School
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  - 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

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- School of Medicine Departments:
  - Anesthesia
  - Center for Bioethics
  - Center for Experimental Therapeutics
  - Institute for Aging
  - Institute for Human Gene Therapy
  - Family Practice
About Our Organization...

Our Mission

The Office of Research Services (ORS) oversees the administrative support of the University’s externally funded research and is responsible for implementation of University policies established for this purpose. An important part of the ORS mission is service to the research faculty, through the provision of information and advice for the development of applications, and assistance in the administration of awarded grants and contracts.

In this role, ORS

- Supports the schools and centers in the development of proposals for grants and contracts;
- Reviews and approves all proposals before submission to the potential sponsor;
- Coordinates negotiations of awards;
- Accepts awards for the University, including the signing of contracts;
- Provides oversight and guidance to faculty and staff concerning the proper management of sponsored projects;
- Prepares all financial reports to sponsors.

In addition to these functions, ORS is responsible for billing of contracts management of letters of credit for payment of grants, preparation of the facilities & administrative and employee benefit rate proposals and rate negotiations, management of the effort reporting system, and oversight of service center rate development. ORS reports jointly to the Vice President for Finance & Treasurer and Vice Provost for Research.

Office of Research Services
Quick Contact List:

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

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And Executive Director, Research Services: 215-573-9249, abrud@pobox.upenn.edu

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http://www.upenn.edu/researchservices/ (see bottom right corner)