ERS News!

The effort reports for the Spring Semester ‘07 and the 4th quarter permanent weekly paid employees will be available on July 20, 2007. The last day for entering cost transfers in the payroll system will be July 9th. The effort reports are due to be completed by September 21, 2007. The dates are posted on the ORS web site, http://www.upenn.edu/researchservices/effortreportingA.html.

ERS training has been scheduled for Monday, July 16, 2007 from 1:30 to 4:00PM in room 409, Franklin Building, the FTD training facility. You must register through KnowledgeLink; http://knowledgeLink.upenn.edu

Please complete the pre-requisite for attending the training session by reviewing the effort report power point presentation and completing the quiz at the end of the presentation. Access is through the ORS web site at: http://www.upenn.edu/researchservices/effortreportingA.html
Knowledge Link log-in required
“Click” Optional, Scroll down and find
Course Title: SPCCP- Effort Reporting-- ORS

We also want to mention effort reporting is still the number one compliance issue for universities and federal agency inspector’s general are conducting audits at several institutions. Every association meeting has effort reporting on the agenda. Due largely to the efforts of our departmental business administrators, the timeliness and completion rate of our effort reports has improved significantly since we initiated ERS. However, we still have forms from previous effort reporting periods that have not been completed. There are 17 effort reports from the 09-30-06 period that have not been certified, and another 92 from the 12-31-06 Fall semester, so please review your department list and have the forms certified.

More Effort Reporting news! The final report issued by the National Science Foundation last year after their review of our time and effort system and processes stated that the University had not conducted an independent internal evaluation of our time and effort system as provided in OMB Circular A-21. In our response to that report, we agreed to conduct such an evaluation. In order to meet that commitment, the Office of Audit Compliance and Privacy has engaged a consulting firm, Beers and Cutler to perform that review. The review will consist of a sampling of some effort reports and include some interviews with Business Administrators and certifiers. We expect that the review will begin within the next few weeks. The selection process will be random, and anyone selected for an interview will be provided advance notice to schedule the interview.
Great Website:

Foundation Online Directory
Deadline Reminder

The July 5 NIH grant deadline for R01 resubmission applications is one of the heaviest grant deadlines of the year. To make sure that we are in the best position here at ORS to help faculty get their applications in correctly and on-time, we are implementing a priority plan for submitting changed/corrected applications via grants.gov or through PennERA proposal development.

When an electronic proposal application is submitted to grants.gov using either PureEdge or PennERA proposal development, one of several things occurs:

1. The proposal can proceed through to NIH without any errors or warnings.

2. The proposal may proceed through to NIH with warnings only, which do not interfere with the movement of the application to the review stage.

3. There may be errors identified either by grants.gov or NIH Commons and these errors will prevent the application from moving ahead. Errors must be corrected via the submission of a changed/corrected application.

4. The assembled application in eRA Commons does not correctly reflect the submitted application package due to system issues with eRA Commons or Grants.gov (i.e. some part of the application was lost during the submission process or did not transfer correctly). This necessitates submission of a changed/corrected application.

All proposals are expected to be in their complete and final form when they are sent to ORS for review and submission. It is the Department’s responsibility to check that all uploaded information is current and correct. NIH is starting to monitor the number and reasons for change/corrected applications. Therefore, changed/corrected applications will only be submitted, in the order in which they are identified, for the following prioritized reasons:

1. Errors identified either by grants.gov or NIH Commons
2. Assembled application image errors

We understand that, in a small number of cases, a PI may request an application be rejected and resubmitted for reasons other than those listed above. ORS will make every effort to submit those changed/corrected applications as quickly as possible. But, they will not be submitted prior to initial submissions or changed/corrected applications for the two reasons listed above.

If you have any questions or concerns, please contact your ORS preaward administrator.

Not receiving our newsletter? Please visit our homepage to subscribe to our listserv.
http://www.upenn.edu/researchservices/ (see bottom right corner)
The Office of Research Services is pleased to announce the dates and times for Sponsored Programs at Penn

July 30, 2007: 9:30 – 1:00 Biomedical Research Building (BRB) Rm 251
July 31, 2007: 9:30 – 1:00 Biomedical Research Building (BRB) Rm 251
August 1, 2007: 9:30 – 1:00 Biomedical Research Building (BRB) Rm 251
August 2, 2007: 9:30 – 1:00 Biomedical Research Building (BRB) Rm 251
August 3, 2007: 9:30 – 1:00 Biomedical Research Building (BRB) Rm 251

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

Registration is REQUIRED.

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

Course Description: Sponsored Programs at Penn has been designed to provide a comprehensive introduction to the basic knowledge required to effectively prepare proposals for submission to external sponsors and to monitor and manage grant funds at Penn. The course is divided into the following five half-day sessions:

- Introduction to Sponsored Project Administration
- Proposal Preparation and Processing
- Award Acceptance and Account Set-up
- Post Award Management
- Closeout and Audits of Sponsored Project Funds

Prerequisite: Attendees must complete the following on-line tutorials prior to attending the Sponsored Programs at Penn course:

- SPCCP: Policies
- SPCCP: Allowability of Costs – ONLINE MODULE not Brown Bag
- SPCCP: Effort Reporting

To register for the prerequisites:
* Login to http://knowledgelink.upenn.edu, using your PennKey and PennKey password log into the system.
* Select “Optional” on the left navigation bar. A listing of all Optional course available to you will appear.
* Scroll down the menu until you begin to see the SPCCP courses.
* Click on the word ENROLL to the right of your desired course. A new screen will appear with all dates for the courses listed.
* At this screen click on the word ENROLL (again) next to the preferred session. Once you have enrolled you will receive a message confirming your registration.

To Enroll in the Course:
* Login to http://knowledgelink.upenn.edu, using your PennKey and PennKey password log into the system.
* Select “Optional” on the left navigation bar. A listing of all Optional course available to you will appear.
* Scroll down the menu until you begin to see the Office of Research Services course packages.
* Click on the word ENROLL to the right of the “Sponsored Programs at Penn”. A new screen will appear with all dates for the courses listed.
* Click on the word ENROLL again and then you will see a screen telling you that you have enrolled in the course.

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

View information about the course at the Sponsored Projects at Penn website:
http://www.upenn.edu/researchservices/SPatPenn/
In September, the Office of Research Services (ORS) and the Office of Institutional Compliance (OIC) announced the **Sponsored Projects Compliance Certification Program** (SPCCP). This program highlights Penn’s continuing commitment to providing sponsored projects education and training to its community. Since the original announcement, ORS has worked with the Office of Research Support Services (ORSS) in the School of Medicine to further refine and develop the certification program. The SPCCP is required for those individuals carrying out specific functions and having certain responsibilities related to the administration of sponsored projects (see Sponsored Projects Policy No. 2140). Penn, like many of its sister institutions, has developed this required program to assist the community in better understanding sponsored projects policies, requirements, regulations and guidelines. The basic SPCCP is designed to include core courses that have been determined to be base-line requirements for all individuals performing grants related activities. As grants management is an ever evolving field, the certification program has been restructured to reflect the changing nature of the profession and additional modules are being developed to include topics such as sub-recipient monitoring and PI transfers. As new required modules are developed and added to the basic certification program, individuals who have already completed the original certification program will have six (6) months to complete the additional modules and any additional quizzes in order to maintain certification.

In addition, the certification program offers an opportunity to expand one’s knowledge base by taking additional electives and it is planned to offer an advanced certification as well. Depending on the individual’s responsibilities some electives may be required by a supervisor and some schools may require individuals to take all electives as the electives are made available.

**In order to complete the SPCCP and become Penn certified, the following required core courses must successfully be completed:**

- Financial Training Department’s Chart of Accounts (COA) training (instructor-led);
- Allowability, Cost Transfers, and Approval Documentation (web-based module);
- Sponsored Projects Effort Reporting (web-based module);
- Policies Related to the Administration of Sponsored Projects (web-based module);
- ORS’s course, “Sponsored Projects @ Penn”

It is required that attendees of this course complete the three above referenced web-based modules prior to attending this instructor –led course.

This course consist of 5 half-day modules covering the following topics:
Introduction to Sponsored Programs
Proposal Preparation and Submission and Budgeting
Award Acceptance and Account Set Up
Project Management
Closeout and Audit of Sponsored Project Funds

- Pre-Award Account Set-Up Online Quiz (AVAILABLE JULY 2);
- Award Management and Compliance Online Quiz (AVAILABLE JULY 2);
- Close-Out and Audit Quiz Online;
- PI Transfers (AVAILABLE JULY 2);
- Sub-recipient Monitoring;
- Research Subjects (planned);
- Misconduct in Science (planned);
- Conflict of Interest (planned); and
- Budgeting for Sponsored Programs (planned)

All courses are monitored so as to identify those individuals who have successfully completed each.

**Note:** All of the quizzes (with the exception of COA) are web-based and are accessible by using a PennKey and Password. These web-based quizzes require a passing grade of 90%. Requirements to maintain certification are currently under consideration and will be published at the time of final determination.

Questions regarding SPCCP can be directed to Anita Mills of the Office of Research Services at x8-1936. In order to access the web-based courses, please click [here](#).
Post Award News

The ORS family would like to wish Jack Ketterlinus best wishes as he leaves ORS for graduate school at The University of South Carolina. We would like to thank him for all his hard work and contributions!

For those Schools and Departments that have Jack as their Desk Accountant, please contact Jim DiIenno @ 3-8597 (diienno@pobox.upenn.edu) during the vacancy period.

Call for Presenters and Topics

Fall ORS Brown Bags

Planning for the fall ORS Brown Bags has begun. Anyone interested in being a presenter or suggesting a topic should contact Anita Mills anitamil@pobox.upenn.edu 8-1936.

Tenative Dates for the ORS Brown Bags are:

- September 5, 2007
- September 19, 2007
- October 3, 2007
- October 17, 2007
- November 7, 2007
- November 21, 2007
- December 5, 2007
- December 19, 2007

Pre-Award News

Pre-Award is glad to welcome aboard two new faces. Heather Lewis has joined ORS Pre-Award staff as an Associate Director and Sheila Barry has joined the office as a Contract Administrator. Please join ORS in welcoming Heather and Shelia aboard.

Corporate Contracts News

The Corporate Contract group is please to welcome Kerry Wilson, Esq. as an Associate Director, Corporate Contracts and Laurance Guido as a Senior Contract Administrator, Corporate Contracts to their group. Please join ORS in welcoming Kerry and Laurance aboard.
Getting to Know......
Annamaria Molnar

Years at Penn:  16 years

Years in Research Services:  16 years

ORS Responsibilities:  Calculation of the University Facilities and Administrative (indirect cost) rate. Support for ERS.

Hobbies/Interests:  Reading, traveling.

Favorite Restaurant:  No favorite, but liked Magnolias in Charleston, SC

Favorite ways to spend a vacation:  National Parks in the States, favorite ones: Canyonlands and Glacier National Park.

What Co-workers say:
Annamaria always approaches her work with a positive attitude. She is a great asset to the Office of Research Services.

Annamaria is a very friendly, dedicated and caring person.

She is extremely competent and very dependable, willing to accept new challenges.

Annamaria always has a pleasant attitude, is easy to work with, and loves to travel, especially to America’s national parks.

For Information on Upcoming Training visit the ORS website:
http://www.upenn.edu/researchservices/training.html
ORS Monthly Quiz

1) An unsolicited proposal submitted to a sponsor states that a principal investigator will provide 20 percent of her time on the project, yet requests no compensation for this effort. The principal investigator does not need to account for this effort on the effort report.

   a) TRUE  
   b) FALSE

2) A principal investigator has a 12 month academic year salary is $250,000 and she proposes 10 percent of her effort to work on a grant that has a salary rate cap. The cap for this grant year is $175,700 in the grant application. How much salary can she charge to the grant for the spring semester?

   a) 10 percent of her salary  
   b) $8,785  
   c) $175,700  
   d) $12,500

3) When filling out an effort report, a faculty member needs to consider time spent at home on Penn related activities.

   a) TRUE  
   b) FALSE

4) Dr. Lee has determined that in order to do additional tests on her active NIH award she will devote an extra 5 percent effort but without compensation from the award. What type of cost sharing does this situation represent?

   a) Voluntary Committed  
   b) Voluntary  
   c) Mandatory

5) Payroll distributions and effort are considered to be the same.

   a) TRUE  
   b) FALSE

Answer key for the Monthly Quiz can be found on Page 12
What is the difference between a subrecipient and a vendor?

<table>
<thead>
<tr>
<th>Subrecipient</th>
<th>Vendor</th>
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</thead>
<tbody>
<tr>
<td><strong>A133 Classification</strong></td>
<td>Transfer of assistance (from a federal grant or contract) to a Subrecipient via a sub award – Monitoring responsibilities for the University and the sub recipient.</td>
</tr>
<tr>
<td>Making an intellectual contribution to the project.</td>
<td>Buying or acquiring goods and/or services</td>
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</tbody>
</table>

What regulations govern the management of subrecipients?

<table>
<thead>
<tr>
<th>OMB Circular</th>
<th>Description</th>
<th>URL</th>
</tr>
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<tbody>
<tr>
<td>A-110 Section 51</td>
<td>Mandates that Prime recipients of Federal awards are required to monitor and report program performance of a subrecipient.</td>
<td><a href="http://www.whitehouse.gov/omb/circulars/a110/a110.html#51">http://www.whitehouse.gov/omb/circulars/a110/a110.html#51</a></td>
</tr>
<tr>
<td>A-110 Section 26</td>
<td>Describes what type of subrecipient are required to have a A-133 Audit and which ones are not.</td>
<td><a href="http://www.whitehouse.gov/omb/circulars/a110/a110.html#26">http://www.whitehouse.gov/omb/circulars/a110/a110.html#26</a></td>
</tr>
<tr>
<td>A-133 – Compliance Supplement Part 3 Section M</td>
<td>Outlines compliance requirements for Prime/pass-through entities. The supplement summarize guidelines a Prime/Pass-through entity could use to determine risk level and develop monitoring plans for subrecipients.</td>
<td><a href="http://www.whitehouse.gov/omb/circulars/a133/a133_compliance/07/pt3.pdf">http://www.whitehouse.gov/omb/circulars/a133/a133_compliance/07/pt3.pdf</a> Pages 107-112</td>
</tr>
<tr>
<td>A-133 Section 400 (d)</td>
<td>Pass-through Entity responsibilities See also SP 2131 &amp; SP 2135</td>
<td><a href="http://www.whitehouse.gov/omb/circulars/a133/a133.html#d">http://www.whitehouse.gov/omb/circulars/a133/a133.html#d</a></td>
</tr>
<tr>
<td>A-133 Section 225</td>
<td>Outlines possible sanctions a Prime can take against a subrecipient who is responsible for having an A-133 audit but fails to complete the audit.</td>
<td><a href="http://www.whitehouse.gov/omb/circulars/a110/a110.html#26">http://www.whitehouse.gov/omb/circulars/a110/a110.html#26</a></td>
</tr>
</tbody>
</table>
Did You Know........

The Transmittal Form has been revised to provide a direct link to the Confidential Financial Disclosure Statement Form, the Financial Disclosure Policy for Sponsored Projects, Almanac February 6, 2006 and the Financial Disclosure and Prohibited Conflicts for Faculty Participating in Clinical Trials Policy (April 2, 2003).

See sample below.
PennERA Central Tier 1 Support Person
Grade: 26
Reference Number: 070421915
Duties: The PennERA Central Tier 1 Support Provider serves as first level of support for PennERA applications. This position will also assist the End User Support Administrator with the coordination and oversight of the overall PennERA end user support. Penn’s Electronic Research Administration system, or PennERA, is the suite of web-based applications that streamline processes and provide more efficient tools for handling pre- and post-administrative tasks related to sponsored projects of Penn’s academic research community. PennERA is a full life cycle system for research project development, support and management.
Qualifications: A Bachelor’s Degree is required and 3 years of experience or an equivalent combination of education and experience. Knowledge and comfort working with software systems is required as well as strong customer service, communication, and interpersonal skills. This position is a 2 year assignment.

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

For More Information on Grants.gov and Electronic Submissions
Click Here
Training Opportunities:

Upcoming NCURA Events
Fundamentals of Sponsored Project Administration Workshop
http://www.ncura.edu/conferences/fundamentals/
June 25-27, 2007 – Portland, OR

Sponsored Project Administration: Level II Workshop
http://www.ncura.edu/conferences/spaii/
June 25-27, 2007 – Portland, OR

Pre-Award Research Administration (PRA) II Conference
http://www.ncura.edu/conferences/praii/
July 12-14, 2007

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.

June Contributing Authors, ORS Newsletter:

Pamela Caudill, Executive Director, Office of Research Services
Teresa Leo, PennERA/PennERS Communications Specialist, Information Systems and Computing
Robert McCann, Director of Cost Studies, Office of Research Services
Anita Mills, Associate Director, Sponsored Programs Compliance Training, Office of Research Services
Todd Swavely, Director –ERA Systems, Office of Research Services
<table>
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**Sponsored Projects at Penn – Instructor led course**

**Fundamentals of Sponsored Project Administration Workshop**

July 23-25, 2007 – Indianapolis, IN

[http://www.ncura.edu/conferences/fundamentals/](http://www.ncura.edu/conferences/fundamentals/)

For more information, contact your ORS or NIH representative.
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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- 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

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- Institute on Aging – SOM
- Pennsylvania Muscle Institute – SOM
- Pharmacology – SOM

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- Endocrinology – SOM
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- Family Practice – SOM
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- Provost Interdisciplinary Program
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- School of Medicine, Institute for Medicine & Engineering – SOM
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- Center for Aids Research – SOM
- Genetics – SOM
- Hematology/Oncology
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- Corporate Contracts

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- Corporate Contracts

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- Corporate Contracts
- Clinical Trial Agreements

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- Contracts

---

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JOE HILL – GRANT/CONTRACT ASSISTANT
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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.

**PennERA GROUP:**

TODD SWAVELY – DIRECTOR, ERA Systems
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**POST AWARD ADMINISTRATION:**

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

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  - Surgery

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GRACE BEATTIE – SENIOR GRANT ACCOUNTANT
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  - Microbiology
  - Cell and Developmental Biology
  - Pathology
  - Radiology

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- Institute of Contemporary Art
- Vice Provost of University Live
- School of Medicine Departments:
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  - Center for Sleep
  - Neurosurgery
  - Physiology
  - Obstetrics and Gynecology
  - Radiation Oncology
  - Center for Research on Reproduction and Women’s Health

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

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  - Center for Experimental Therapeutics, Institute for Aging, Institute for Human Gene Therapy, Family Practice, Molecular & Cellular Engineering, Center for Clinical Epidemiology and Biostatistics

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

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- 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

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- Vice Provost of University Live
- Institute of Contemporary Art
- Institute of Neurological Sciences
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- Systems Engineering
- 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

**Contact Information for all areas is provided below.**
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.