

Office of Research Services -- Research Administration News --

Special Interest Articles:

- **NEW!**
Carryover Forms to be emailed to departments --
See page 2
- Quick tips for Effort Reporting --
See page 3
- For information on past due receivables --
See page 4

Individual Highlights:

NIH News	1&2
FAQ's	4
Training	5
ORS Staff List	6

NIH Salary Cap Increases (Again) to \$175,700 Effective 1/1/2004

This notice provides updated information regarding the salary limitation for NIH grant and cooperative agreement awards and extramural research and development contract awards. On March 11, 2004, NIH issued a second notice regarding the new salary cap effective January 1, 2004. This announcement increased this salary cap from the previously announced \$174,500 to \$175,700. Grant awards previously issued in 2004 were issued using the lower salary cap. Adjustments will not be made to these awards by NIH. **(However, rebudgeting of funds to accommodate for the new higher salary cap is required to avoid unnecessary cost sharing.)** For further assistance on calculating NIH salaries, please see the links below or contact your ORS Accountant for further assistance.

For further information on this announcement, please visit:

<http://grants.nih.gov/grants/guide/notice-files/NOT-od-04-034.html>

For more information on NIH Salary Caps, please visit the following links:

<http://www.upenn.edu/researchservices/nihcaps.html>

For assistance in calculation the effect of the salary cap on payroll distributions, please see the [Salary Cap Calculator](#).

Important Notice:

If you have not carefully reviewed the
**New Accounting Procedures for Non-Federal
Sponsors and the Indirect Costs of Research,**

[Please click here to review them in our](#)

[December Newsletter.](#)

Clarification of Required Signatures on the NRSA Termination Forms

The Ruth L. Kirchstein National Research Service Award Termination Notice (PHS 416-7) is required at the termination of all Individual National Research Service Awards (F32, F31, F33 & F34) awarded by NIH and for each trainee upon the termination of his/her support on an Institutional National Research Service Award Training Grants (T32's & T35's & T34's). This notice is the basis for validating the total period of NRSA support and the amount of payback obligation (if any) for each NRSA trainee.

The signatures required on this form are that of the fellow or trainee, the sponsor or program director, and the business official. Please note that the Assistant Directors or Director, Post-Award Financial Administration are the appropriate individuals to endorse this form on behalf of the University.

FEDERAL R&D Outlook

The Federal budget for FY 2005 will provide substantial increases for weapons development and homeland security research and development. However, such increases are not seen for R&D in other agencies. Nanotechnology R&D would be the top priority in the federal R&D portfolio in FY 2005 among multi-agency initiatives.

The National Institutes of Health, a primary source of funding at Penn, after doubling in the five years between 1998 and 2003, would see an increase of only 2.6 percent in FY 2005.

The National Science Foundation would see an increase of 3.0 percent to \$5.7 billion

A detailed analysis of federal funding is available at the following websites: the American Association for the Advancement of Science Budget and Policy Program (<http://www.aaas.org/spp/rd/>) and the American Association of Universities. (<http://www.aau.edu/budget/budapp.html>).

Unliquidated/Unobligated Carryover Forms will be Emailed to Departments

Effective April 1, 2004 these forms will be *emailed* directly to departments. In the past, these pink forms have been mailed to the business administrator. They will now be emailed to the same location that AIS's are sent to. This will allow for multiple individuals to be informed of the carryover amounts.

If you have any questions, please contact Kerry Peluso, Director of Post Award Financial Administration at 3-6705 or pelusok@pobox.upenn.edu.



Did you know that.....?



The [Sponsored Projects Policy No. 2119](#) (Cost Sharing/Matching) was modified and specifically states that, “all non-federally funded sponsored programs (including clinical trials) must have some level of committed faculty (or senior researcher) effort, paid or unpaid by the sponsor.”

Proposals to Federal Sponsors should not include an escalation factor for employee benefits. Penn’s Rate Agreement with the Federal Government stipulates that the EB rate is **fixed** until amended by the Federal Government. Current EB rates are 30.2% and 9.7% for full-time and part-time employees respectively. ORS will notify the community of EB rate changes.

Penn’s participation in the Federal Demonstration Partnership does not guarantee receiving all of the Expanded Authorities/Waiver of Authorities by the 10 Federal Granting Agencies. (See [FDP Matrix](#))

Effort Reporting Quick Tips

It is that time of year that Effort Reports are disseminated, reviewed, signed, and returned to ORS. To assist in this process, below are some helpful tips and reminders:

- Effort devoted to projects funded by Penn’s Research Foundation is not included in Section A. of the Effort Report but is included as part of Administration.
- All individuals who are paid from an externally funded project (whether or not it is an award for research or a conference) **MUST** complete an Effort Report.
- Effort devoted to an internal research project for which the salary supporting that project comes solely from a gift fund, that effort does **NOT** fall into Section A. of the Effort Report. This type of effort is considered departmental research which is accounted for in Section C. of the Effort Report titled, *Instructional and Un-sponsored Scholarly Activity*.
- Individuals who commit effort in a proposal and do not request any salary support from the sponsor (mandatory or voluntary committed cost sharing) **MUST** show that committed effort in Section A2. of the Effort Report. If no Effort Report is generated because the individual had only that cost sharing commitment to a sponsored project and no other salary paid from a sponsored project, call ORS to obtain a blank Effort Report form.
- Federal regulations state the individual, PI, or **a responsible official using a suitable means of verifying that the work was performed** can sign an Effort Report. However, in most cases faculty should sign their own Effort Report.
- Research awards benefiting from effort paid for by an NIH K award **MUST** be indicated on the Effort Report form in a blank space on the form or included in a cover sheet with an explanation attached to the Effort Report form and returned to ORS.
- Be certain to check the research effort obligation in the award notice for an NIH K award.
- The Effort Report **MUST** add up to 100% even if the individual has an appointment of less than 100%.

Frequently Asked Questions ...

What is a department's responsibility regarding receivables?



Follow up on past due receivables is a responsibility shared by the responsible department and ORS.

Anyone responsible for the administration of grants at Penn should be familiar with [Sponsored Projects Policy 2125](#). Follow up on delinquent receivables is a joint responsibility held by the department and ORS. ORS has a receivable group which coordinates follow up and resolution of receivable issues. Over the past year, total grant receivables have ranged between \$25 to \$33 million for the University. As you review receivables for your area over the past year, you will find that most very aged receivables have been cleaned up over the past two years. However, with the large number of receivables, it is not possible for the receivable group to address all receivables each month. When determining which receivables to research first, ORS staff's highest priorities are generally those that are longer past due, higher in amount and/or have been brought to our attention by departmental staff.

Reports are provided to schools on a monthly basis regarding the receivables in their area. It is important that this report be reviewed on a monthly basis. Departments often have information regarding receivables which is not available to ORS staff such as concerns about the financial situation of the Sponsor or concerns about Sponsor's satisfaction with the performance of the project. Bringing these receivables to the attention of ORS will ensure timely follow up on the receivable. Please note that it is important to verify that all technical reporting or deliverable requirements have been met. Delays in these areas often result in delays in payments.

As the policy referenced above outlines, when a receivable can not be collected, it will be written off to the appropriate school or department. As a result, it is in the department's best interest to ensure it is effectively monitoring its receivables and promptly addressing any concerns.

For assistance in resolving your receivables, please contact Gokila Venkateswaran, Accounts Receivable Manager at 8-2515 or gokila@pobox.upenn.edu.

Where can I get more information about Graduate Student and Post-Doctoral Appointments?

The Tax Office has compiled a very informative document on this subject. This document defines Graduate Student and Post-Doctoral Appointments at the University of Pennsylvania and is a guide for business administrators on the current taxability of payments to the student or researcher. All individuals appointed in the job classes listed on this document must receive letters of appointment that define the length of the appointment, the level of funding, and the services expected. For more information on this subject and to view the full document, please go to <http://www.finance.upenn.edu/comptroller/tax/appointments.shtml>.

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/>).

Outside Upcoming Training:

National Council for University Research Administrators (NCURA)

Region II Spring Conference

Baltimore, April 25 – April 27.

For further information or to register, please go to

http://www.osp.cornell.edu/NCURA_Region_II/Meetings.html

NCURA Sponsored Project Administration Level II Workshop Comes to Philly

March 31 - April 2, 2004

Crowne Plaza Philadelphia

<http://www.ncura.edu/conferences/spaii/>

Beginning its second year, the SPA II Workshop is for those who have already completed the cornerstone Fundamentals of Sponsored Project Administration workshop or have the equivalent research administration experience. The two and a half day program offers participants an opportunity for in-depth instruction and analysis of four core aspects of research administration:

- Proposal creation and submission (including cost sharing)
- Award Review and Negotiation Issues (including publication and intellectual property issues)
- Contract review (including sub recipients)
- Post-award financial administration (including effort reporting)
- Research compliance (including training programs and site visits)

The workshop uses a combination of lecture, discussion and case study analysis to provide solutions for real-life challenging scenarios. Another unique feature of SPA II is the Open Forum where participants can pose questions and engage in lively discussion about virtually any aspect of research administration. The program also provides updates on the most recent changes in government regulations, which will help keep you and your institution informed. The workshop is lead by faculty who are acknowledged experts in research administration. Program agenda, online registration, and further details can be found at:

<http://www.ncura.edu/conferences/spaii/>

January's Contributing Authors, ORS Newsletter:

Pam Caudill, Director of Pre Award Non-Financial Administration, Office of Research Services

Donald Deyo, Director, Corporate Contracts Group, 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, Director, Research Compliance, Office of Research Integrity & 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. 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

(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
- Rehabilitative 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

CHRISTINE GUNDERSEN – ASSISTANT DIRECTOR

(215) 746-0234 OR gund@pobox.upenn.edu

- 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

(215) 573-2416 OR heatherl@pobox.upenn.edu

- 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

(215) 573-6701 OR rmazur@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 – ASSISTANT 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 POMONIO – CONTRACT ADMINISTRATOR

(215) 898-8751 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) 898-9322 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
- Otorhinolaryngology – SOM
- School of Nursing
- School of Veterinary Medicine

CORPORATE 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

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

(215) 746-6287 or stacial@pobox.upenn.edu

- Clinical Trial Agreements

GREGORY CURLEY – CONTRACT ADMINISTRATOR

(215) 746-0033 or gcurley@pobox.upenn.edu

- Account Information Sheets for Contracts

PennERA GROUP:

TODD SWAVELY – PennERA PROJECT MANAGER

(215) 573-9764 OR tswavely@pobox.upenn.edu

YVETTE ACEVEDO – TEAM LEADER, SpinPlus

(215) 898-6156 or acevedo@pobox.upenn.edu

STUART WATSON – Team Leader, PROPOSAL/AWARD TRACKING

(215) 573-6712 or swatson@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 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.

FEDERAL COMPLIANCE GROUP:

ROBERT McCANN – DIRECTOR
(215) 598-1469 OR mcannr@pobox.upenn.edu

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

FLOYD HARRIS – ACCOUNTANT
(215) 898-5743 OR harrisf@pobox.upenn.edu

POST AWARD ADMINISTRATION:

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

FINANCIAL INVOICING AND REPORTING –Group 1:

KIM GARRISON – ASSISTANT DIRECTOR
(215) 898-2344 OR kimgg@pobox.upenn.edu

ALIYU MOHAMMED – TEAM LEADER
(215) 573-6716 OR aliyum@pobox.upenn.edu

- School of Medicine Departments:

Psychiatry	Surgery
------------	---------

GRACE BEATTIE – DESK ACCOUNTANT
(215) 898-2342 OR gbeattie@pobox.upenn.edu

- School of Medicine Departments:

Biochemistry/Biophysics	Microbiology
Cell and Developmental Biology	Pathology
Radiology	

CHRISTINE YUN – DESK ACCOUNTANT
(215) 898-2155 OR christiy@pobox.upenn.edu

- School of Medicine Departments:

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

FLORENCE GRAZIOLA – DESK ACCOUNTANT
(215) 573-6708 OR graziola@pobox.upenn.edu

- School of Medicine Departments:
 - Department of Medicine

ALICJA NALEWAJEK – DESK ACCOUNTANT
(215) 898-9212 OR alicja37@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	Physiology
Obstetrics and Gynecology	Radiation Oncology
Center for Research on Reproduction and Women's Health	

DATA MANAGEMENT:

KEITH DIXON – ACCOUNTING/BRIM SUPERVISOR
(215) 898-1966 OR kdixon@pobox.upenn.edu

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

BOB SPEAKMAN – FINANCIAL ANALYST
(215) 898-2345 OR bspeakman@pobox.upenn.edu

FINANCIAL INVOICING AND REPORTING –Group 2:

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

SOOJIN KIM – TEAM LEADER
(215) 573-6715 OR snam@pobox.upenn.edu

- School of Dental Medicine
- 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	

ARLENE KNASIAK – DESK ACCOUNTANT
(215) 573-6147 OR knasiak@pobox.upenn.edu

- School of Veterinary Medicine
- School of Engineering and Applied Science

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

DERRICK BOWMAN – DESK ACCOUNTANT
(215) 573-8929 OR bowmand@pobox.upenn.edu

- Annenberg School
- 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
---------------------------	--------------------------------------

JIM DIENNO – DESK ACCOUNTANT
(215) 573-8957 OR diunno@pobox.upenn.edu

- The College
- General University
- School of Social Work
- Van Pelt Library
- Wharton School
- School of Arts & Sciences:
 - All except Chemistry, Linguistics, Economics and Physics
- School of Medicine Departments:

Cancer Biology	Diabetes
Rehabilitation Medicine	

BRIAN DUNPHY – DESK ACCOUNTANT
(215) 898-9124 OR bdunphy@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
----------	-----------------------

RECEIVABLES:

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

JUDITH L. REED TJIATTAS – RECEIVABLES ACCOUNTANT
(215) 746-0235 OR judithr@pobox.upenn.edu

JENNIFER MULHERN – RECEIVABLES ACCOUNTANT
(215) 898-2343 OR jmulhern@pobox.upenn.edu

MIRIAM STEVENSON – STAFF ASSISTANT
(215) 573-6711 OR stevenson@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 Senior Vice President for Finance & Treasurer and Vice Provost for Research.

3451 Walnut Street
Room P-221
Philadelphia, PA
19104-6205

PHONE:
(215) 898-7293

FAX:
(215) 898-9708

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

Pamela Caudill, Director of Pre Award Non-Financial Administration:

215-573-6706, caudill@pobox.upenn.edu

Donald Deyo Esq., Director, Corporate Contracts:

215-573-9970, deyo@pobox.upenn.edu

Robert McCann, Director of Cost Studies:

215-898-1469, mccannr@pobox.upenn.edu

Kerry Peluso, CPA, Director of Post Award Financial Administration:

215-573-6705, pelusok@pobox.upenn.edu

Todd Swavely, Associate Director –Penn ERA, Project Manager:

215-573-9764, tswavely@pobox.upenn.edu

**Office of Research
Services**

