Clinical Trial Agreements at Penn

A resolution from the University Board of Trustees, along with Sponsored Projects Policies 2103 and 2105, gives The Office of Research Services (ORS) sole authority for approving and executing Clinical Trial Agreements (CTAs), as well as all other sponsored projects. Having the responsibility centralized in one experienced office helps to ensure that CTAs are in compliance with university policies and the many laws and regulations relating to clinical trials, and promotes consistency in contract terms and in the University’s dealings with outside sponsors. Legal requirements affecting clinical trials come from a large number of sources, including the FDA, the NIH, the Code of Federal Regulations, our Federal Worldwide Assurance, as well as laws on topics such as protection of patient medical information (HIPPA), fraud, and non-profit tax status. These regulations cover areas of responsibility from accounting, obligations of sponsors and investigators, record retention, protection of human subjects and reporting requirements to the IRB, FDA, NIH, RAC, etc. ORS, in collaboration with the PI and other University offices, has the expertise to ensure that clinical trial agreements address these issues appropriately.

When PI’s enter into clinical trial agreements and perform them outside of the established University processes for reviewing and administering such agreements, there may be significant deviations from regulatory requirements that may go unnoticed.

Moreover, even when they are noticed, mistakes in following applicable regulations can result in severe penalties to the University and to the individual investigators.
Contracts executed by PI’s or other unauthorized individuals often contain terms that do not comply with University policy on such issues as indirect cost recovery, indemnification, ownership of results and data, subject injury, confidential information, and publication. Performing clinical trials under such arrangements can result in legal and financial risks significantly greater than those ordinarily accepted, and can inhibit or prevent the University from disseminating important clinical research results.

The review of research proposals at ORS is not only the vehicle through which appropriate contracts are developed, but is also the method for obtaining required PI certifications, identifying potential conflicts of interest, and ensuring that financial accounting principals are followed.

When ORS discovers during or after a clinical trial that no authorized agreement exists between the University and the sponsor, the University is faced with unappealing choices. It can accept or ratify the agreement, if it is determined that University can accept the existing terms and conditions of the agreement or it can reject the agreement and attempt to negotiate one more in keeping with University standards. It is not surprising that sponsors who have already received the benefit of the trial are reluctant to make any concessions. If no acceptable agreement is reached, the University may not receive payment for the work performed, or, if it retains payments made, may be estopped to deny the validity of the PI agreement.

The full text of Sponsored Project Policy is published on page 6 of this newsletter.
December/January Rollout of Penn Profiler

Penn Profiler will begin rolling out to the Penn community in December/January. This tool (described in detail in the May 2007 issue of the ORS newsletter – http://www.upenn.edu/researchservices/newsletters/may2007.pdf) identifies training needs and assigns appropriate courses directly to an individual in Knowledge Link, the University’s learning management system. Required training needs are determined by a 5-10 minute online survey based on academic activities and/or job responsibilities.

Implementation of the Penn Profiler will be on a rolling basis across the University and individuals will receive an email message over the next few weeks inviting them to complete the survey within 30 days. This email will confirm the availability of Penn Profiler and provide the URL to access the application. Users will only need to authenticate with their PennKey and PennKey password before accessing the system with a standard web browser.

Penn Profiler presently contains sections covering Administration and Finance, Sponsored Projects, Environmental Health and Radiation Safety, Animal Care and Use, Human Subjects Research, and Clinical Care. The tool was designed with the functionality to add additional sections as needed.

Completing the Penn Profiler survey is mandatory for all full and part time Penn faculty and staff including student workers, adjuncts, and temporary employees, and must be completed at least annually (more often if an individual’s job responsibilities change).

Project Website: http://www.upenn.edu/VPR/profiler/
Project Team email address: PennProfiler@pobox.upenn.edu
Who are “senior/key personnel” and how do they differ from “other significant contributors?” What about consultants?

**Senior/key personnel** are defined as individuals who contribute to the scientific development or execution of a project in a substantive measurable way. The program director/principal investigator (PD/PI) is always considered senior/key personnel. The PD/PI may designate other senior/key personnel if they fit the definition. Biosketches, other support information, and level of effort greater than zero person months are all required of senior/key personnel named in the application.

**Other significant contributors** are those that are committed to contribute to the project, but without measurable effort (zero person months or “as needed”). Biosketches of other significant contributors are required; however, other support information is not.

**A consultant** is defined as an individual hired to give professional advice or services for a fee. Generally, a consultant is not considered senior/key personnel. Grantees should describe the services to be performed by the consultant(s) in their justification and include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs for each. In those cases where a consultant may actually meet the definition of senior/key personnel, the applicant should list them as such and include the appropriate biosketch and other support information.

Does a significant change in level of effort for senior/key personnel require the prior approval of the grants management official (GMO)?

The NIH Grants Policy Statement requires prior approval of changes in status of senior/key personnel who are specifically designated in the Notice of Award (NoA). Change in status is defined as withdrawal from the project, absence for any continuous period of three months or more, or reduction of time devoted to the project by 25 percent or more from the level in the approved application. The PD/PI is always
named on the NoA and when multiple PD/PIs are involved all are automatically named on the NoA. NIH program officials use discretion in naming senior/key personnel other than the PD/PI(s) in the NoA. This does not diminish the scientific contribution to the project of the other senior/key personnel; it merely limits the number of individuals that are affected by the prior approval requirement to those specifically named on the NoA.

**What about the Key Personnel Report in the PHS 2590 Non-Competing Grant Progress Report?**

There are several places where senior/key personnel are mentioned in the Progress Report. The PHS 2590 streamlined non-competing award process (SNAP) instructions request information on (1) changes in other support of senior/key personnel since the last reporting period, and (2) significant changes in the next budget period in the level of effort for the PD/PI or other personnel designated on the NoA from that which was approved for the project.

**SNAP Question #1**—changes in other support of senior/key personnel—refers to changes in active support of the PD/PI, and of all other personnel considered by the PD/PI to meet the definition of senior/key personnel (i.e., individuals who contribute in a substantive measurable way to the scientific development or execution of the project).

**SNAP Question #2**—significant change in level of effort—applies only to the PD/PI and other individuals designated on the NoA.

For both SNAP and non-SNAP Progress Reports a Key Personnel Report (form page 7) is also required. This report once again covers all individuals designated by the PD/PI as senior/key personnel. Remember to include biosketches in the Progress Report for any new senior/key personnel.
Sponsored Projects Policy 2103 highlights the importance of the proper administration of Clinical Trials. All externally funded clinical trials must have proper approval from the Office of Research Services and the Institutional Review Board. The Principal Investigator must insure that clinical trials are performed as outlined in the clinical trial agreement and protocol. All clinical trial accounts are set up by the Office of Research Services as a sponsored project fund.

**2103 Administration of Clinical Trials**

**Effective:** Aug. 1998  
**Revised:** March 2006  
**Reviewed:** April 2007  
**Responsible:** Office: Research Services  
**Approval:** Research Services

**Purpose**

To ensure that funds received for the clinical testing of pharmaceuticals and medical devices (“clinical trials”) are administered in accordance with University policies, sponsor requirements and federal regulations.

**Policy**

All externally funded clinical trials must be approved in accordance with Sponsored Projects Policy #2102, as well as by the University’s Institutional Review Board, and performed under the terms of a formal clinical trial agreement which has been executed on behalf of the University by Research Services.

All externally funded clinical trials will be accounted for in a sponsored project fund established by Research Services.

The Principal Investigator is responsible for managing the clinical trial in accordance with the terms of the clinical trial agreement and protocol, University policies and applicable Federal regulations. It is also the Principal Investigator’s responsibility to submit required reports and other appropriate information to the sponsor to ensure
timely payment.

If not restricted by the terms of the clinical trial agreement, funds remaining at the end of a clinical trial, after all appropriate expenses have been charged to the clinical trial account, may be transferred to a non-sponsored project account for use by the Principal Investigator or his/her department or school for research and/or educational purposes only.

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Need Help? Call the Ben Tips Confidential Reporting and Help Line

The Ben Tips Confidential Reporting and Help Line provides assistance with questions about policies, procedures or practices and handles reports of suspected incidents of non-compliance. The Ben Tips Line is a resource for all University and Health System employees, staff, students and faculty.

When you contact the Ben Tips Line at 1-888-BEN-TIPS (1-888-236-8477), a compliance specialist will answer your call between 8:30 a.m. and 5 p.m., Monday through Friday. Callers may also leave a message during non-business hours. The Ben Tips line does not have a caller ID feature, so callers may remain anonymous.

The Ben Tips Line welcomes all questions and concerns. No action will be taken against you if you report information in good faith to the Ben Tips Line. The Office of Audit, Compliance and Privacy will respond to all questions and will facilitate appropriate action. So “Do the Right Thing, the Right Way” and call the Ben Tips Line.
Data Management and Account Receivables News

November 2, 2007 marked the 15th anniversary in the Research Office for Valerie Swartz. Please join ORS in congratulating her for the diligent years of service and the pleasant atmosphere she always brings to the office.

Post Award News

Liza Craig, Flossie Graziola & Kristina Rytsar will be leaving ORS at the end of November. ORS would like to thank Liza, Kristina & Flossie for all of their hard work & contributions!! We wish them all the best!!

Please Note:
The Financial Invoicing & Reporting area will have three Vacant Accounting Positions during the month of December, so please note below our temporary coverage plan.

For those Administrators who contact:
Liza Craig—your new contact will be
Jim DiIenno
3-8597 or diienno@pobox.upenn.edu

Kristina Rytsar—your new contact will be
Elvina Woodard
215-898-3148 or elvina@pobox.upenn.edu

Flossie Graziola—your new contact will be
Jasmine Burno
215-898-9214 or burno@pobox.upenn.edu

Do you have a question about the allowability of a charge to a sponsored project research account?

The Penn community can now submit questions related to allowability to the Allowability Panel.
Please submit questions to allowability_panel@pobox.upenn.edu

The goal of the panel is to provide uniform guidance on the allowability of costs. Questions on allowability should fully describe the nature of the questioned cost, identify the sponsored project award, and describe why an examination of the questioned cost has not resolved the issue. Please keep in mind, the question of permitted costs is based on the circumstance. It is impossible to say that every cost is always allowable on every award. The panel will continue to publish redacted case studies in the ORS newsletter to keep the university community informed.
The Office of Research Services is pleased to announce the ORS Fall Brown Bag Series. The Brown Bags are offered to enable those involved in research administration at Penn to come together and discuss the issues surrounding a variety of topics.

The meetings will be led by representatives of the Penn community. The meetings include a brief presentation and allow for a comprehensive discussion of the topic after the presentation.

Please bring your lunch and join us for an interactive discussion on the noted topics.

**Sessions are scheduled** for 12:00 - 1:15.

**To register** for the Brown Bags log into Knowledge Link
Go to: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

Each of the available Brown Bags is listed under “Optional” courses. Scroll down the “Optional” menu until you see the courses available through the Office of Research Services.

You may check the ORS website for up to date information.
Go to: [http://www.upenn.edu/researchservices/training.html](http://www.upenn.edu/researchservices/training.html)

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| December 7, 2007| Sub Recipient Monitoring  
Pam Caudill: Executive Director of Research Services -- Office of Research Services  
Deborah Fisher: Director, Pre-Award Administration -- Office of Research Services | Wharton, Huntsman Hall 260       |
Getting to Know......
Christian Bitto

Years at Penn:  (just over a month)

Years in Research Services:  (just over a month)

ORS Responsibilities:  PennERA User Support, resident new guy

Hobbies/Interests:  Baseball, Mixed Martial Arts

Favorite Restaurant:  The Bistro at Cherry Hill

Favorite ways to spend a vacation:  Away with my girlfriend Jess, anywhere... just away.

What Co-workers say:

He loves baseball

He is one cool dude!  I am glad he is part of the ORS team.

Christian is great to work with and an asset to ORS.
ORS Monthly Quiz

1) **Who has the sole authority for approving and executing Clinical Trial Agreements CTA’s?**
   a) Principal Investigator (PI)
   b) Business Administrator (BA)
   c) Department Chairperson
   d) Office of Research Services

2) **Legal requirements for Clinical Trial Agreements “CTA’s” can come from all of the following EXCEPT:**
   a) National Institutes of Health (NIH)
   b) Federal Acquisition Regulations (FAR)
   c) Health Insurance Portability and Accountability Act
   d) Principal Investigator (PI) / Department Chairperson

3) **When a Request for Early Review of Industry Sponsored Clinical Trail Agreement is completed a Transmittal Form is not required.**
   a) True
   b) False

4) **The Request for Early Review Form for Industry Sponsored Clinical Trail Agreements is submitted to Donald Deyo, Director of Corporate Contracts electronically with an electronic copy of Informed Consent or Protocol Summary.**
   a) True
   b) False

5) **The Request for Early Review Form for Industry Sponsored Clinical Trail Agreements is submitted to Donald Deyo, Director of Corporate Contracts electronically with an electronic copy of the proposed clinical trial agreement.**
   a) True
   b) False

6) **Who is responsible for establishing a sponsored project fund for all clinical trial agreements?**
   a) Principal Investigator (PI)
   b) Business Administrator (BA)
   c) Department Chairperson
   d) Office of Research Services

7) **Who is responsible for managing the clinical trial agreement in accordance with the terms of the clinical trials agreement?**
   a) Principal Investigator (PI)
   b) Business Administrator (BA)
   c) Department Chairperson
   d) Office of Research Services

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Answer key for the Monthly Quiz can be found on Page 15
Did You Know.......  

The Sponsored Projects Compliance Certification Program is a Curriculum in Knowledge Link

The Sponsored Projects Compliance Certification Program “SPCCP” was revised in March 2007 to include additional modules. All required SPCCP courses are now included in a Curriculum within the Knowledge Link system. Below you will find specifics on the SPCCP Curriculum and how to enroll.

To see a full listing of the required courses, you can visit the SPCCP website. If you have any questions or problems email Anita Mills or call at (215) 898-1936

The Sponsored Projects Compliance Certification Program 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). Individuals who completed the original certification program will need to enroll in the Sponsored Projects Compliance Certification Program Curriculum and complete new courses to maintain certification. Curriculum courses that have been taken outside the curriculum should show as complete. Completed courses should show a green check mark which indicates completion. The Sponsored Projects Compliance Certification Program “SPCCP” Curriculum contains 14 training courses.

With the exception of the Sponsored Projects at Penn course, all of the modules are web-based courses. If you see the word Curriculum in the course title, there will be several courses nested within that Curriculum. You will need to click on the Curriculum title to see a list of the courses in that Curriculum. See below for more information.

If you have any of the following job responsibilities, you are required to become certified.

- Development of proposal budgets for sponsored projects
- Provide guidance regarding proposal preparation for sponsored projects
- Review/Approval proposals and/or expenditures for sponsored projects
- Provide guidance and/or management of sponsored projects
- Auditing financial accounts of sponsored projects.
- Submission of financial and non-financial invoices/reports to Sponsors
**SPCCP Courses**
The Sponsored Projects at Penn Curriculum contains 4 pre-requisite courses. You will have to complete the pre-requisites in order to register for the 5 half day instructor led course.

**Sponsored Projects at Penn – 5 day instructor led course**

Prerequisites:
- Chart of Accounts: Delivery Instructor led
- SPCCP: Policies Related to Sponsored Projects Policies - Web Based
- SPCCP: Allowability - Web Based
- SPCCP: Effort Reporting - Web Based

**The Sponsored Projects Quiz Curriculum** contains 3 online quizzes. The quizzes test on the material covered in the Sponsored Programs at Penn instructor led course. It is suggested that users complete these quizzes shortly after completing the Sponsored Project at Penn instructor led course.

- SPCCP Quiz: Award Management - Web Based
- SPCCP Quiz: Pre-Award and Account Set up Quiz - Web Based
- SPCCP Quiz: Close-Outs and Audits - Web Based

**Other required SPCCP courses**
- SPCCP: Sub recipient Monitoring - Web Based
- SPCCP: PI Transfer - Web Based
- Budgeting for Sponsored Programs – in development
- Conflict of Interest -- in development
- Misconduct in Science – in development
- Research Subjects -- in development

**TO ENROLL IN THE COURSE:**

*Login to [http://knowledgelink.upenn.edu](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** courses 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 Projects Compliance Certification Program Curriculum**”.*

*Click on the word ENROLL again and then you will see a screen telling you that you have enrolled in the course.*
Monthly FAQ

How do I get connected to NSF?

How do I get connected to the NIH Office of Extramural Research

Visit:  http://grants.nih.gov

Answer Key to ORS Monthly quiz: 1:D; 2:D; 3:B; 4:A; 5:A; 6:D; 7: A
**Reference Number 070822895**  
**Title** ASSOC PROJECT LEADER  
**Salary Grade** 028  

**Duties**  
The End User Support and Applications Administrator leads and manages the end user support structure for Penn’s electronic research administration system and Effort Reporting System (PennERS). 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 award administrative tasks related to the sponsored projects of Penn’s academic research community. PennERA is a full cycle system for research project development, support and management.

**Qualifications**  
A Bachelor’s Degree is required and 5 to 7 years of experience or equivalent combination of education and experience. the position requires a strong and broad based background in research administration in a university environment. Good personal communication and organizational skills are essential to success in the position. Knowledge and comfort working with software systems is required

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**Reference Number 070923095**  
**Title** ASSISTANT DIRECTOR POST AWARD ACCOUNTING  
**Salary Grade** 028  

**Duties**  
Performs, oversees, and reviews general ledger review and reconciliations; reviews financial statements and billings. Ensures timely billing and reporting. Provides post award staff and University Business Administrators with grant accounting advice and (varying levels of) training. Oversees and manages select special projects for post award area. Provides general supervision of 4-5 accountants. Test for accuracy, completeness and compliance with federal guidelines and/or other contractual agreements. Responsible for financial administration of approx. 30-50% of the University of Penn’s sponsored programs. Performs other related duties as required.

**Qualifications**  
A Bachelor’s Degree is required accounting field or related field. Five years of experience working with grants in research administration, in an academic environment and/or in fund accounting required. Minimum of 3 years supervisory experience required. Experience working at the Univ. of Penn strongly preferred. Excellent analytical, communication, and organizational skills required. Business Objects strongly preferred.

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**Reference Number 071123483**  
**Title** ACCOUNTANT B  
**Salary Grade** 025  

**Duties**  
Performs general ledger review and reconciliations; prepares financial statements and billings; provides University Business Administrators with grant accounting advice; prepares journal entries and trial balances. Initiates and coordinates the account close-out process in coordination with the responsible department administrator. Tests for accuracy, completeness and compliance with federal guidelines and/or other contractual agreements. Performs other related duties as required.

**Qualifications**  
A Bachelor's Degree is required and 2 years to 3 years of experience or equivalent combination of education and experience.

Interested candidates may view full description for the positions at [http://www.hr.upenn.edu/jobs/](http://www.hr.upenn.edu/jobs/).
Reference Number 071123520
Title ACCOUNTANT B
Salary Grade 025

Duties
Performs general ledger review and reconciliations, prepares financial statements and billings; Provides University business administrators with grant accounting advice; prepares journal entries and trial balances. Initiates and coordinates the account close-out process in coordination with the responsible department administrator. Tests for accuracy, completeness and compliance with federal guidelines and/or other contractual agreements. Performs other related duties as required.

Qualifications
A Bachelor’s Degree is required and 2 years to 3 years of experience or equivalent combination of education and experience.

Reference Number 071123482
Title ACCOUNTANT C
Salary Grade 026

Duties
Performs general ledger review and reconciliations; prepares financial reports and invoices, provides university administrators with grant accounting advice, prepares journal entries and trial balances. Initiates and coordinates the account close-out process in coordination with departmental administrators; monitors and follows up on account receivables. Tests for accuracy and completeness and compliance with federal guidelines and or other contractual agreements, assists assistant directors with training and special projects.

Qualifications
A Bachelor’s Degree is required and 3 years to 5 years of experience or equivalent combination of education and experience. Knowledge of research administration required. Working knowledge of university systems strongly desired. 1-2 years functional supervisory experience preferred.

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

Upcoming ORS Brown Bags

December 7, 2007: Sub-Recipient Monitoring
Pam Caudill: Executive Director of Research Services -- Office of Research Services
Deborah Fisher: Director, Pre-Award Administration -- Office of Research Services
Time: 12:00 - 1:15  Location: Wharton, Huntsman Hall Rm 260

Brown Bag Registration: http://knowledgelink.upenn.edu

A Primer on Federal Contracting
8 Week Online Tutorial
http://www.ncura.edu/conferences/federalcontracting/opendefault.asp
See Website for start dates

Online Chat: The International Dimensions of Contracting, Intellectual Property, and Tech Transfer
December 12, 5:00 - 6:00 pm EST
http://www.ncura.edu/content/regions_and_neighborhoods/neighborhoods/index.php

Join Jim Casey, Visiting Professor of Leadership, Upper Iowa University, Hong Kong, China, Attorney, and co-editor, NCURA Newsletter and colleagues Malcolm McBratney, Partner, Intellectual Property Group, McCullough Robertson, LLP, Brisbane, Australia and James Zanewicz, Director, Office of Technology Transfer, University of Louisville for the latest information on this growing arena.

Sponsored by the International Neighborhood this free chat is designed to give members an opportunity to ask questions of experts and share issues among colleagues in a convenient, moderated forum. The one-hour, text only discussion forum allows members desktop access to your colleagues around the country and the world. No audio needed.
The only requirement for using NCURA's chat software is a Java-compliant web browser. Internet Explorer or Netscape 4.x or better is recommended for optimal performance. In order to participate in this free member-only benefit you will need to sign up by December 7th by sending an email to schiffman@ncura.edu with the subject “IP chat”.

Webinar: Introduction to Contract Law: What You NEED to Know about the Law Behind the Scenes
December 13, 12:30-2:00 pm EST
http://www.ncura.edu/content/educational_programs/online/webinars.php
For those of you who couldn’t join us for the Annual Meeting we are presenting an encore of a popular and highly rated annual meeting session.

Presenters
Sherylie Mills Englander
Director, Office of Technology & Industry Alliances, University of California-Santa Barbara
Marilyn Williams
Manager, Legal Agreements, Duke Clinical Research Institute
Over the past years, there have been many sessions that address specific contract clauses encountered by sponsored projects offices. What is rarely discussed, however, are the laws that apply automatically to all contracts, contract negotiations and dispute resolutions.

This session will address important topics such as:
- When does a contract become legally binding?
- Can a contract be created through conduct, email, or verbal statements?
- If a signature draft is sent, can a company sign it nine months later and still compel the university to perform?
- How/when can a university be held legally liable for the statements its representatives make during the negotiation process?
- What contract terms are "implied by law" and attach to every contract regardless of whether they are written into the contract?
- When can a contract be revoked unilaterally or declared null and void?
- When can a third party enforce a contract against the University?
- Is there anything that cannot be agreed to in a contract?

Learning Objective: Understand the basic contract laws within which universities operate to understand how to minimize institutional liabilities.

Target Audience: Any central/departmental administrator who works with contracts, or works with those who negotiate contract terms.

November Contributing Authors, ORS Newsletter:

Stuart Benoff, IT Senior Project Leader, Information Systems & Computing

Donald Deyo, Director, Corporate Contracts, Office of Research Services

Anita Mills, Associate Director, Sponsored Programs Compliance Training, Office of Research Services

Lauren Oshana, Associate Director, Pre Award Non-Financial Administration, Office of Research Services

Linda Yoder, Assistant Compliance Officer, Office of Audit, Compliance and Privacy

Janet Smith, Research Compliance Training & Systems, Office of the Vice Provost for Research
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For more information about the courses listed above, go to: [http://www.upenn.edu/researchservices/training.html](http://www.upenn.edu/researchservices/training.html)

Register for course mentioned above go to: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

**ORS Deadline**

**NIH Deadline**

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

PAMELA S. CAUDILL - EXECUTIVE DIRECTOR, ORS
(215) 573-6706 OR caudill@pobox.upenn.edu

DEBORAH FISHER – DIRECTOR
(215) 746-0234 OR dfisher2@pobox.upenn.edu

CAROLYN KENDALL– SR. CONTRACT ADMINISTRATOR
(215) 898-9323 OR carolk@pobox.upenn.edu
• Biochemistry/Biophysics – SOM
• Biomedical Graduate Studies – SOM
• Biostatistics – SOM
• Cancer Center – SOM
• Cancer Biology
• Institute for Environmental Medicine – SOM
• Institute for Human Gene Therapy – SOM
• Institute for Neurological Sciences – SOM
• Medical Genetics – SOM
• Neurology – SOM
• Pathology & Laboratory Medicine
• Pennsylvania Muscle Institute – SOM
• Rehabilitative Medicine – SOM

SUSAN POMPONIO - CONTRACT ADMINISTRATOR
(215) 898-8751 OR pompionio@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

KERRY WILSON Esq. -ASSOCIATE DIRECTOR
(215) 573-6705 OR kerryw@pobox.upenn.edu
• Material Transfer Agreements
• Corporate Contracts

BRIAN SHARMA -ASSOCIATE DIRECTOR
(215) 573-6701 OR bsharma@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

LAURANCE GUIDO - Senior Contract Administrator, Corporate Contracts
(215) 573-9249 OR lguido@pobox.upenn.edu
• Material Transfer Agreements
• Corporate Contracts

SHEILA ATKINS – ASSOCIATE DIRECTOR
(215) 573-6713 OR satkins@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

AALICE DUNLEAVY – ASSOCIATE DIRECTOR
(215) 573-2555 OR dunleavy@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

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

BENITA HALL – CONTRACT ADMINISTRATOR
(215) 573-6709 OR rhmerz@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

CAROLINE DUNLEAVY – CONTRACT ADMINISTRATOR
(215) 573-4507 OR cdunleavy@pobox.upenn.edu
• Clinical Research Center – SOM
• Rheumatology – SOM
• WxPN
• SEAS - Moore Business Office
• Renal – SOM
• Family Medicine – SOM
• Walnut Business Services
• General Internal Medicine – SOM
• Gastrointestinal - SOM
• Family Practice – SOM
• Emergency Med. - SOM
• President’s Center
• University Museum

SHEILA BERRY – CONTRACT ADMINISTRATOR
(215) 746-0033 OR sberry@pobox.upenn.edu
• Infection Disease – SOM
• Center for Clinical Epidemiology and Biostatistics – SOM
• Center for Sleep and Respiratory Neurobiology – SOM
• Institute on Age – SOM
• Center for Experimental Therapeutics – SOM
• Pharmacology – SOM

KERRY WILSON – CONTRACT ADMINISTRATOR
(215) 573-6705 OR kerryw@pobox.upenn.edu
• Material Transfer Agreements
• Corporate Contracts

STUART WATSON– ASSOCIATE DIRECTOR
(215) 573-6707 OR wswatson@pobox.upenn.edu
• Center for Research on Reproduction & Women’s Health – SOM
• School of Design
• Obstetrics & Gynecology – SOM
• Surgery – SOM
• Psychiatry – SOM
• Cerebrovascular Research Center – SOM
• SEAS – Towne Business Office
• Rehabilitative Medicine – SOM

STUART GUIDO – ASSOCIATE DIRECTOR
(215) 573-9249 OR sguido@pobox.upenn.edu
• Allergy & Immunology – SOM
• Cardiology
• Wharton School
• Graduate School of Education
• Dean’s Office – SOM
• Diabetes – SOM
• Endocrinology – SOM
• Diabetes – SOM
• Dean’s Office – SOM
• Graduate School of Education
• Wharton School
• Cardiology
• Allergy & Immunology – SOM
• Center for Experimental Therapeutics – SOM
• Pharmacology – SOM

CAROLINE ATKINS – CONTRACT ADMINISTRATOR
(215) 573-6713 or satkins@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

MARK ATKINS – CONTRACT ADMINISTRATOR
(215) 573-6709 OR rflom@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

LAURANCE GUIDO - Senior Contract Administrator, Corporate Contracts
(215) 573-9249 OR luguido@pobox.upenn.edu
• Material Transfer Agreements
• Corporate Contracts

LAURA ATKINS – CONTRACT ADMINISTRATOR
(215) 573-6709 OR lauraatkins@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

STUART WATSON– ASSOCIATE DIRECTOR
(215) 573-6707 OR wswatson@pobox.upenn.edu
• Center for Research on Reproduction & Women’s Health – SOM
• School of Design
• Obstetrics & Gynecology – SOM
• Surgery – SOM
• Psychiatry – SOM
• Cerebrovascular Research Center – SOM
• SEAS – Towne Business Office
• Rehabilitative Medicine – 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

BRIAN SHARMA -ASSOCIATE DIRECTOR
(215) 573-6701 OR bsharma@pobox.upenn.edu
• Clinical Trial Agreements
• Corporate Contracts

SUSAN ATKINS – ASSOCIATE DIRECTOR
(215) 573-6712 or satkins@pobox.upenn.edu
• Sponsored Research Agreements

JOE HILL – GRANT/CONTRACT ASSISTANT
(215) 898-1967 OR johill@pobox.upenn.edu

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

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

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

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

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

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

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

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

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

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

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

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

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

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

RICK FLOM - GRANT/CONTRACT ASSISTANT
(215) 898-7295 OR rickfom@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.

PennERA GROUP:

TODD SWAVELY – DIRECTOR, ERA Systems
(215) 573-9764 OR tswavely@pobox.upenn.edu
CHRISTIAN BITTO – PennERA USER SUPPORT
(215) 746-6287 OR cbitto@pobox.upenn.edu
STUART WATSON – Team Leader, PROPOSAL/AWARD TRACKING
(215) 573-6712 OR wswatson@pobox.upenn.edu
STEPHEN FRATANTARO – Team Leader, PROPOSAL DEVELOPMENT
(215) 898-6156 OR etfratan@pobox.upenn.edu

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

POST AWARD ADMINISTRATION:

KIM GARRISON - DIRECTOR
(215) 898-2344 OR kimmg@pobox.upenn.edu

FINANCIAL INVOICING AND REPORTING –Group 1:

GERALD AUGUSTIN – GRANT ACCOUNTANT
(215) 898-2155 OR
• School of Medicine Departments:
  Biomedical Graduate Studies
  Dermatology
  Institute for Environmental Medicine
  Institute of Neurological Sciences
  Medical School
  Orthopedic Surgery
  Pediatrics Admin
  Otorhinolaryngology: Head and Neck Surgery

VACANT— GRANT ACCOUNTANT
  (SEE PAGE 8 OF THIS NEWSLETTER)
• School of Medicine Departments:
  Psychiatry
  Surgery

FINANCIAL INVOICING AND REPORTING –Group 2:

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

GRACE BEATTIE – SENIOR GRANT ACCOUNTANT
(215) 898-2342 OR gbeattie@pobox.upenn.edu
• School of Medicine Departments:
  Biochemistry/Biophysics
  Cell and Developmental Biology
  Radiology

VACANT – TEAM LEADER
  (SEE PAGE 8 OF THIS NEWSLETTER)
• School of Medicine Departments:
  Department of Medicine

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  (SEE PAGE 8 OF THIS NEWSLETTER)
• Annenberg School
  Annenberg Center
  Graduate School of Education
  Law School
  Morris Arboretum
  School of Social Work
  University Museum
  School of Arts and Sciences: Chemistry, Linguistics
  School of Medicine Departments:
  Center for Bioinformatics, Institute for Medicine & Engineering

LATASHA TOWLES - GRANT ACCOUNTANT
(215) 573-6716 OR towles@pobox.upenn.edu
• School of Nursing
• Institute of Contemporary Art
• Vice Provost of University Live
• School of Medicine Departments:
  Cancer Center
  Center for Sleep
  Neurosurgery
  Obstetrics and Gynecology
  Radiation Oncology
  Center for Research on Reproduction and Women's Health

FINANCIAL INVOICING AND REPORTING –Group 3:

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

JIM DIIENNO – TEAM LEADER
(215) 573-8957 OR diienno@pobox.upenn.edu
• School of Medicine Departments:
  Anesthesia, Center for Bioethics
  Center for Experimental Therapeutics, Institute for Aging, Institute for Human Gene Therapy, Family Practice, Molecular & Cellular Engineering,
  Center for Clinical Epidemiology and Biostatistics

MIKE HAY-GRANT ACCOUNTANT
(215) 898-6147 OR mhay@pobox.upenn.edu
• School of Veterinary Medicine
• School of Engineering and Applied Science
  Bioengineering, Chemical Engineering, Mechanical Engineering
  Materials Science & Engineering
  Minority Programs
• School of Medicine Departments: Emergency Service

SHANEAL WARREN – GRANT ACCOUNTANT,
(215) 573-6715 OR shaneal@pobox.upenn.edu
• The College
• General University
• Van Pelt Library
• School of Arts & Sciences:
  All except Chemistry, Linguistics, Economics and Physics
• School of Medicine Departments:
  -Diabetes
  -Cancer Biology
  -Rehabilitation Medicine

JASMINE BURNO -GRANT ACCOUNTANT
(215) 898-9214 OR burno@pobox.upenn.edu
• Graduate School of Fine Arts
• School of Dental Medicine
• Wharton School
• Law School
• School of Engineering and Applied Science:
  Electrical Engineering, Computer Science and Engineering
  Institute for Research in the Cognitive Sciences
  Systems Engineering
• School of Arts and Sciences:
  Economics, Physics
• School of Medicine Departments:
  Genetics, Penn Muscle Institute

DATA MANAGEMENT AND ACCOUNTS RECEIVABLES:

KEITH DIXON– ASSOCIATE DIRECTOR
(215) 898-1966 OR kdixon@pobox.upenn.edu

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

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

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

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

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

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

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

Our Mission

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

In this role, ORS

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

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

Office of Research Services
Quick Contact List:


Pamela S. Caudill, Executive Director, Office of Research Services: 215-573-6706, caudill@pobox.upenn.edu

Donald Deyo Esq., Director, Corporate Contracts: 215-573-9970, deyo@pobox.upenn.edu

Deborah Fisher, Director of Pre-Award Non-Financial Administration: 215-746-0234, dfisher2@pobox.upenn.edu

Robert McCann, Director of Cost Studies: 215-898-1469, mccannr@pobox.upenn.edu

Kim Garrison, Director of Post Award Financial Administration: 215-898-2344, kimmg@pobox.upenn.edu

Todd Swavely, Director –ERA Systems: 215-573-9764, tswavely@pobox.upenn.edu

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